

授予、拒绝、保持、更新、暂停、恢复、注销或撤销认证或者扩大或缩小认证范围规则

Rules for Granting, Refusing, Maintaining, Updating, Suspending, Reinstating, Cancelling or Withdrawing Certification or Extending or Reducing the Certification Scope

1 授予/批准 Granting/Approval

机构在有充分的证据确认认证委托人满足下列条件时，做出授予、更新、扩大认证范围/批准认证的决定：

When the organization has sufficient evidence to confirm that the certification client meets the following conditions, it shall make a decision to grant, update, extend the certification scope/approve certification:

1.1 认证委托人应符合相关认证规则中明确列出的所有申请条件；

The certification client shall meet all the application conditions explicitly listed in the relevant certification rules;

1.2 对于严重不符合，已评审、接受并验证了纠正措施的有效性；对于轻微不符合，已评审、接受了认证委托人的纠正措施或计划采取的纠正措施；

For major nonconformities, the effectiveness of the corrective actions has been reviewed, accepted and verified; for minor nonconformities, the corrective actions or planned corrective actions of the certification client have been reviewed and accepted;

1.3 认证委托人的管理体系符合认证依据标准要求且运行有效；

The management system of the certification client conforms to the requirements of the certification standard and is operating effectively;

1.4 认证委托人按照认证合同规定履行了相应义务；

The certification client has performed its corresponding obligations in accordance with the provisions of the certification contract;

1.5 产品认证除满足以上认证要求外，还应满足产品要求：认证方案列出的标准或其他规范性文件中规定的、与产品直接相关的要求。

For product certification, in addition to meeting the above certification requirements, the product requirements shall also be met: the requirements directly related to the product as specified in the standards or other normative documents listed in the certification scheme.

2 拒绝 Refusal

2.1 如果符合性的证据不充分，不满足条款 1 中的授予/批准认证条件，则不授予/批准认证。本机构将不授予/批准认证的决定书面通知认证委托人，并说明该决定的理由。

If the evidence of conformity is insufficient and the conditions for granting/approving certification in clause 1 are not met, the certification shall not be granted/approved. This organization shall notify the certification client in writing of the decision not to grant/approve certification and shall state the reason for the decision.

2.2 有机产品认证不批准的原因包括但不限于以下事项：

Reasons for non-approval of organic product certification include but are not limited to the following matters:

(1) 提供虚假信息（如伪造资质证件、监（检）测报告或票据等），存在不诚信行为（如将常规产品作为有机产品销售、主观故意使用违禁物质、隐瞒影响机构作出认证决定的关键信息等）。

Providing false information (such as forged qualification certificates, monitoring (inspection) reports or receipts, etc.), or engaging in dishonest conduct (such as selling conventional products as organic products, deliberately using prohibited substances, concealing key information that affects the organization's certification decision, etc.).

(2) 未建立管理体系或建立的管理体系未有效实施的。

Failing to establish a management system, or the management system established not being effectively implemented.

(3) 列入国家企业信用信息公示系统或“信用中国”公布的严重失信主体名录的。

Being included in the serious untrustworthy entity list published by the National Enterprise Credit Information Publicity System or “Credit China”.

(4) 生产、加工或经营过程使用了禁用物质或者受到禁用物质污染的。

Using prohibited substances or being contaminated by prohibited substances during production, processing or operation.

(5) 产品检测发现存在禁用物质的。

Prohibited substances being found in product testing.

(6) 申请认证的产品质量不符合国家相关法律法规和（或）技术标准强制要求的。

The quality of the product applying for certification not meeting the mandatory requirements of relevant national laws and regulations and/or technical standards.

(7) 存在认证现场检查场所外进行再次加工、分装、分割情况的。

Conducting further processing, repackaging or segmentation outside the certification on-site inspection site.

(8) 一年内出现重大产品质量安全问题，或因产品质量安全问题被撤销有机产品认证证书的。

Experiencing a major product quality safety issue within one year, or having the organic product certification certificate withdrawn due to product quality safety issues.

(9) 未在规定的期限完成不符合项纠正和/或纠正措施，或提交的纠正和/或纠正措施未满足认证要求的。

Failing to complete the correction and/or corrective actions for nonconformities within the specified time limit, or the submitted correction and/or corrective actions not meeting the certification requirements.

(10) 经检测（监测）机构检测（监测）证明产地环境受到污染的。

It being proven through testing (monitoring) by a testing (monitoring) body that the production environment is contaminated.

(11) 同一批产品同时在两家（含）以上认证机构重复认证的。

The same batch of products being certified repeatedly by two (including) or more certification bodies at the same time.

(12) 其他不符合认证规则和（或）有机产品标准要求，且无法纠正的。

Other requirements of the certification rules and/or organic product standards not being met and being incapable of correction.

3 保持 Maintenance

获证组织需要通过定期的审核/检查来保持认证证书的有效性。

Certified organizations need to maintain the validity of their certification certificates through periodic audits/inspections.

3.1 本机构对管理体系获证组织在证书有效期内对其管理体系运行情况实施监督及再认证审核以验证组织持续满足认证的要求。

This organization shall conduct surveillance and recertification audits on the operation status of the management system of certified organizations within the validity period of the certificate to verify that the organization continuously meets the certification requirements.

3.1.1 认证证书有效期：根据国家有关规定，管理体系认证证书的有效期最长为三年，三年周期自初审或再认证的证书签发之日算起。对于未能在原认证证书到期前完成再认证决定的，获证组织的管理体系认证证书到期后自动失效，直至获得新签发的再认证证书，新签发的再认证证书的终止日期不超过上一认证周期终止日期再加 3 年。

Validity period of the certification certificate: According to relevant national regulations, the maximum validity period of a management system certification certificate is three years, and the three-year cycle is calculated from the date of issuance of the initial certification or recertification certificate. If the recertification decision cannot be completed before the expiry of the original certification certificate, the management system certification certificate of the certified organization will automatically become invalid after expiry until a newly issued recertification certificate is obtained. The expiry date of the newly issued recertification certificate shall not exceed the expiry date of the previous certification cycle plus 3 years.

3.1.2 监督审核：初审之后，应进行第一年和第二年的监督审核及第三年的再认证审核。第一次监督审核建议在证书颁发日起 10-12 个月内进行，最晚应在认证证书签发日起 12 个月内进行；第二次监督审核的开始日期距上次监督审核的结束日期不超过 12 个月，且不超过证书签发之日起 24 个月。监督审核应至少每个日历年（应进行再认证的年份除外）进行一次，当最后一次监督审核与再认证审核间隔跨越日历年时，应进行第三次监督审核，且监督审核的开始日期距上次监督审核的结束日期不超过 12 个月。当获证组织发生投诉、重大变更或严重不符合等情况时，有可能需要额外增加监督、提前较短时间通知的审核或不通知审核。

Surveillance audits: After the initial certification, first and second year surveillance audits and a third year recertification audit shall be conducted. The first surveillance audit is recommended to be conducted within 10-12 months from the date of certificate issuance, and no later than 12 months from the date of issuance of the certification certificate; the start date of the second surveillance audit shall be no more than 12 months from the end date of the previous surveillance audit, and no more than 24 months from the date of certificate issuance. Surveillance audits shall be conducted at least once per calendar year (excluding the year in which recertification is to be performed). When the interval between the last surveillance audit and the recertification audit spans a calendar year, a third surveillance audit shall be conducted, and the start date of the surveillance audit shall be no more than 12 months from the end date of the previous surveillance audit. When a certified organization experiences complaints, major changes or major nonconformities, additional surveillance audits, audits with short notice or unannounced audits may be required.

3.1.3 再认证：获证组织应在认证证书有效期届满前三个月向机构提出再认证申请，并签订再认证服务合同。涉及

再认证审核的为确保认证委托人或获证组织在认证证书有效期到期前有足够的时间对审核不符合项采取有效的纠正和纠正措施，再认证审核时间宜在证书到期前 3 个月进行，并在证书到期前关闭不符合项，否则可能导致证书无法延续或有效期缩短、需实施补充审核或按初审重新认证的风险，因获证组织未履行前述义务导致认证无法批准的，相应后果本机构不承担任何责任。当获证组织的管理体系或运作环境（如法律法规、标准等）有重大变更时，经评价需要时，再认证需实施第一阶段审核。

Recertification: Certified organizations shall submit a recertification application to the organization three months before the expiry date of the certification certificate and sign a recertification service contract. Regarding recertification audits, to ensure that the certification client or certified organization has sufficient time to take effective correction and corrective actions for audit nonconformities before the expiry date of the certification certificate, the recertification audit should be conducted 3 months before the certificate expiry date, and nonconformities should be closed before the certificate expiry date. Otherwise, this may lead to risks such as the certificate being unable to be extended, its validity period being shortened, the need for supplementary audits, or recertification as an initial certification. If the certification cannot be approved due to the certified organization's failure to perform the foregoing obligations, this organization shall not bear any corresponding consequences. When there are major changes to the certified organization's management system or operating environment (such as laws, regulations, standards, etc.), a Stage 1 audit shall be implemented for recertification when necessary after evaluation.

3.1.4 如获证组织未按期接受监督、再认证审核，或无正当理由不接受提前较短时间通知的审核、不通知审核，本机构将暂停获证组织使用认证证书及认证标志。

If a certified organization fails to accept surveillance or recertification audits on time, or refuses to accept audits with short notice or unannounced audits without justifiable reason, this organization shall suspend the certified organization's right to use the certification certificate and certification mark.

3.1.5 部分认证领域证书有效期和监督周期有特殊规定的，以相应的认证实施规则要求为准。对 HACCP 体系等认证规则有特殊要求的认证领域，获证组织还应接受并配合机构实施不通知审核，不通知审核可以结合监督审核或再认证审核实施。

For certification fields where special provisions exist regarding the validity period of certificates and surveillance cycles, the requirements of the corresponding certification implementation rules shall prevail. For certification fields with special requirements for certification rules such as the HACCP system, certified organizations shall also accept and cooperate with the organization in implementing unannounced audits. Unannounced audits may be implemented in conjunction with surveillance audits or recertification audits.

3.2 本机构对获证组织在证书有效期内按认证方案要求对其获证产品情况实施监督或再认证检查，以验证获证产品持续满足认证的要求。

This organization shall conduct surveillance or recertification inspections on the certified products of certified organizations within the validity period of the certificate in accordance with the requirements of the certification scheme, to verify that the certified products continuously meet the certification requirements.

3.2.1 产品认证证书有效期见具体认证方案及认证规则规定。以认证证书有效期为五年举例说明，五年周期自初审的认证决定批准之日算起。初审之后，应进行第一年、第二年、第三年、第四年的监督检查。作为最低要求，初次认证后的第一次监督检查建议在首次发证最后一天起 12 个月内进行；此后，监督检查应至少每个日历年进行一次。

The validity period of the product certification certificate shall be as specified in the specific certification

scheme and certification rules. Taking a five-year validity period of the certification certificate as an example, the five-year cycle is calculated from the date of approval of the initial certification decision. After the initial certification, surveillance inspections shall be conducted in the first, second, third and fourth years. As a minimum requirement, the first surveillance inspection after initial certification is recommended to be conducted within 12 months from the last day of initial certification issuance; thereafter, surveillance inspections shall be conducted at least once per calendar year.

3.2.2 获证组织应在证书到期前 3 个月向本机构提出书面申请，并签订证书保持或再认证合同。机构对申请组织安排认证评价，获证组织应完成不合格项的整改和提交证实性资料，由机构完成认证决定工作。在对客户进行监督及再认证管理时，机构将对获证组织认证证书和标志的使用情况进行监督。

Certified organizations shall submit a written application to this organization 3 months before the certificate expires, and sign a certificate maintenance or recertification contract. The organization shall arrange certification evaluation for the applicant organization. The certified organization shall complete the rectification of nonconformities and submit supporting information, and the organization shall complete the certification decision work. When conducting surveillance and recertification management on clients, the organization shall supervise the use of certification certificates and marks by certified organizations.

3.2.3 获证组织应向机构提供的获证产品变更的信息，为监督或再认证活动提供获取获证产品的途径。

Certified organizations shall provide information on changes to certified products to the organization, and provide access to certified products for surveillance or recertification activities.

3.3 管理体系监督、再认证的程序参照初次审核的程序进行；产品认证依据具体产品认证方案要求进行，可能参照初始检查程序监督、再认证，或监督可能采用评价、复核、认证决定等程序进行。

The procedures for management system surveillance and recertification shall refer to the procedures for initial certification audits; product certification shall be carried out in accordance with the requirements of the specific product certification scheme, and may refer to the initial inspection procedures for surveillance and recertification, or surveillance may be carried out using procedures such as evaluation, review, and certification decision.

4 更新 Updating

管理体系的更新：机构将根据再认证审核的结果，以及认证周期内的体系评价结果和认证使用方的投诉，做出是否更新认证的决定。

Updating of management systems: The organization shall make a decision on whether to update the certification based on the results of the recertification audit, as well as the system evaluation results during the certification cycle and complaints from certification users.

5 认证证书的变更，扩大、缩小 Changes to certification certificates, extension and reduction

凡出现认证标准、认证范围等变更时，需要按规定由申请方提出书面申请，经机构审查批准后准予换证。换证的原因有以下几种情况：

Whenever changes occur to the certification standard, certification scope, etc., the applicant is required to submit a written application in accordance with the regulations, and a certificate replacement shall be permitted after review and approval by the organization. The reasons for certificate replacement are as follows:

5.1 获证组织注册信息发生变更: Changes to the registered information of the certified organization:

a) 当组织名称发生变更时, 经评审确认后, 变更注册信息, 换发认证证书 (必要时需结合监督审核);

When the organization name changes, after review and confirmation, the registered information shall be changed and a new certification certificate shall be issued (a surveillance audit shall be combined when necessary);

b) 当组织的经营地址发生变更时, 应评审生产设施、设备变更, 是否造成对产品质量影响、环境影响、职业健康安全影响等, 并评审适用的地方环境、职业健康安全是否发生变更。若仅属于行政区域划分/地名变更, 不涉及上述生产变更及适用的地方环境、职业健康安全发生变更的, 变更注册信息后换发证书; 若涉及上述生产变更、适用的地方环境、职业健康安全发生变更的, 可结合获证组织提供的相关评价进行评定, 换发证书, 必要时需结合现场审核, 在评定通过后办理变更手续并换发认证证书;

When the organization's business address changes, changes to production facilities and equipment shall be reviewed to determine whether they have affected product quality, the environment, occupational health and safety, etc., and whether applicable local environmental and occupational health and safety requirements have changed. If the change is solely due to administrative division/place name changes and does not involve the aforementioned production changes or changes to applicable local environmental and occupational health and safety requirements, the registered information shall be changed and a new certificate shall be issued; if the change involves the aforementioned production changes or changes to applicable local environmental and occupational health and safety requirements, an assessment may be conducted in conjunction with relevant evaluations provided by the certified organization, and a new certificate shall be issued. If necessary, an on-site audit shall be combined, and the change procedures and certificate replacement shall be carried out after the assessment is passed;

c) 以上变更, 发生特殊情况时机构会根据具体的情况决定评定的方式。

For the above changes, in special circumstances, the organization will determine the assessment method based on the specific situation.

5.2 有机认证证书变更: 有机获证产品在认证证书有效期内, 有下列情形之一的, 认证委托人应在 15 日内向认证机构申请变更。机构应当自收到认证证书变更申请之日起 30 日内, 对认证证书进行变更:

Changes to organic certification certificates: Within the validity period of the certification certificate for certified organic products, if any of the following circumstances occur, the certification client shall apply to the certification body for a change within 15 days. The body shall make the change to the certification certificate within 30 days from the date of receipt of the application for change of the certification certificate:

a) 认证委托人或者有机产品生产、加工单位名称或者法人性质发生变更的;

Changes to the name or legal personality of the certification client or the producer or processor of organic products;

b) 产品种类和数量减少的; Reduction in the type or quantity of products;

c) 其他需要变更认证证书的情形。 Other circumstances requiring a change to the certification certificate.

5.3 认证扩大 Extension of certification

由获证组织提出书面申请, 提供与扩大认证范围相适应的申请资料, 机构审查并决定是否受理, 受理后签订合同更改补充协议。机构将安排专人进行文件审查, 并进行现场审核, 现场审核重点是审核扩大认证范围相关过程、活动和部门、生产现场, 具体按认证程序进行。审核结束后, 经机构审定批准后, 扩大认证范围并更换认证

证书。

The certified organization shall submit a written application and provide application materials appropriate for the extension of the certification scope. The organization shall review and decide whether to accept it. If accepted, a supplementary agreement for contract change shall be signed. The organization shall arrange for designated personnel to conduct a document review and an on-site audit. The on-site audit shall focus on reviewing the processes, activities, departments and production sites related to the extension of the certification scope, and shall be conducted specifically in accordance with the certification procedures. After the audit is completed, upon review and approval by the organization, the certification scope shall be extended and the certification certificate shall be replaced.

5.4 认证缩小 Reduction of certification

5.4.1 机构在正常的监督/再认证审核时如发现获证组织的审核范围与认证证书不符、审核计划中规定的部分审核范围没有生产工作现场，审核组可缩小认证范围，并在审核报告中说明。审核结束后，经机构审定批准后，缩小认证范围并更换认证证书。

If, during normal surveillance/recertification audits, the organization finds that the audit scope of the certified organization does not match the certification certificate, or that part of the audit scope specified in the audit plan has no production work site, the audit team may reduce the certification scope and state this in the audit report. After the audit is completed, upon review and approval by the organization, the certification scope shall be reduced and the certification certificate shall be replaced.

5.4.2 机构通过非例行监督审核或通过相关社会信息发现获证组织的部分认证范围不能满足法律、法规或标准要求时，经机构核实、审定批准后，缩小认证范围并更换认证证书。

If the organization finds, through non-routine surveillance audits or through relevant social information, that part of the certification scope of a certified organization cannot meet the requirements of laws, regulations or standards, after verification, review and approval by the organization, the certification scope shall be reduced and the certification certificate shall be replaced.

5.4.3 获证组织欲缩小认证范围时，应及时向机构提交书面报告，说明缩小范围的原因，机构接到获证组织报告后，经机构审定批准后，缩小认证范围并更换认证证书。

When a certified organization wishes to reduce its certification scope, it shall promptly submit a written report to the organization explaining the reasons for the reduction. After receiving the report from the certified organization, upon review and approval by the organization, the certification scope shall be reduced and the certification certificate shall be replaced.

6 提前较短时间通知的审核 Audits with short notice

6.1 当为调查投诉或严重事件(质量事故、产品质量在国家监督抽查中被查出不合格、突发环境事件、安全事故、重大及以上的网络安全事件、食品安全事故、与能源有关的重大事故、医疗器械安全事故、产品含有害物质等产品缺陷引发的重大事故，或虽未造成实际事故但已引发重大舆情的，以及发生导致监管部门介入的事件或违法行为(如受到行政处罚)的情况)、对变更做出回应或对暂停的受审核方进行追踪时，机构可能安排较短时间通知受审核方的审核。

When investigating complaints or serious incidents (quality accidents; product quality being found unqualified in national supervision and spot-checks; environmental emergencies; safety accidents; major or above cyber security incidents; food safety accidents; energy-related major accidents; medical device safety

accidents; major accidents caused by product defects such as products containing hazardous substances; or incidents that have not caused actual accidents but have aroused major public opinion; as well as situations where events leading to regulatory intervention or illegal acts (such as receiving administrative penalties) have occurred), responding to changes, or following up on suspended auditees, the organization may arrange audits with short notice to the auditee.

6.2 获证组织认证范围内的产品在产品质量国家监督抽查中被查出不合格时，自市场监督管理部门发出通报 30 日内，应对该组织实施提前较短时间通知的审核。

When products within the certification scope of a certified organization are found to be unqualified in national supervision and spot-checks for product quality, an audit with short notice shall be conducted on the organization within 30 days from the date of notification by the market supervision and administration department.

7 认证要求的变更 (包括认证标准的换版) Changes to certification requirements (including version changes of certification standards)

当认证要求发生变更时，机构将提前通知获证方和申请方，以便获证组织在规定的时间内按新要求调整管理体系、产品认证涉及的变更和采取措施，以保持认证资格。对于不能保持资格的，给予暂停或注销；对于组织主动提出不再保持认证资格且不存在暂停或撤销情形的，予以注销。

When certification requirements change, the organization will notify certified parties and applicants in advance, so that certified organizations can adjust their management systems, make changes related to product certification and take measures according to the new requirements within the specified time to maintain certification status. For those unable to maintain status, suspension or cancellation shall be applied; for organizations that voluntarily propose no longer to maintain certification status and where there are no grounds for suspension or withdrawal, cancellation shall be applied.

8 认证证书的暂停 Suspension of certification certificates

凡有下列情况之一时，机构将暂停获证组织使用认证证书和标志的资格。通常情况下，认证证书暂停期限不超过 6 个月：

If any of the following circumstances occurs, the organization shall suspend the certified organization's qualification to use the certification certificate and mark. Under normal circumstances, the suspension period of a certification certificate shall not exceed 6 months:

a) 获证组织管理体系持续或严重地不满足认证要求，包括对管理体系有效性的要求（如文件与实际业务运作严重脱离）；

The certified organization's management system continuously or seriously fails to meet the certification requirements, including requirements for the effectiveness of the management system (e.g., serious disconnect between documentation and actual business operations);

b) 不满足获得的认证适用的法律法规要求，且未采取有效纠正措施的情况；

Failure to meet the applicable legal and regulatory requirements for the certification obtained, without taking effective corrective actions;

c) 拒绝配合市场监管部门的认证执法监督检查，或者提供虚假材料或信息的；

Refusing to cooperate with market supervision authorities in certification law enforcement supervision and inspections, or providing false materials or information;

d) 针对监督审核中发现的不符合项（严重不符合项），获证组织未在 3 个月内采取相应纠正和纠正措施；或在商定的时间内所采取的纠正、纠正措施未被审核组接受(或未被证实有效)；

For nonconformities (major nonconformities) found during surveillance audits, the certified organization fails to take corresponding correction and corrective actions within 3 months; or the correction and corrective actions taken within the agreed time are not accepted by the audit team (or are not verified as effective);

e) 未按本合同约定接受监督、再认证等为保持证书进行的审核（或检查、审查）；

Failing to accept surveillance, recertification or other audits (or inspections, reviews) for maintaining the certificate as agreed in this contract;

f) 未按机构公开文件规定正确使用和宣传获得的认证证书和有关信息，包括认证标志、认证标签的使用；

Failing to correctly use and publicize the obtained certification certificate and related information, including the use of certification marks and certification labels, as specified in the organization's public documents;

g) 获证组织及其管理体系运行的内、外环境发生重大变更，已不满足原认证范围要求，且未及时通知机构妥善处理；

Major changes in the internal or external environment of the certified organization and its management system operation have occurred, such that the original certification scope requirements are no longer met, and the organization has not promptly notified the organization for proper handling;

h) 发生影响相应认证领域的产品质量、食品安全、能源绩效；发生突发环境事件、较大生产安全事故（反映获证组织 OHSMS 运行存在重大缺陷）、重大及以上级别网络安全事件（反映获证组织 ISMS 运行存在重大缺陷）、医疗器械安全事故、产品含有害物质等产品缺陷引发的重大事故，或虽未造成实际事故但已引发重大舆情的，以及发生导致监管部门介入的事件或违法行为（如受到行政处罚未完成相应整改）的情况；

Occurrence of incidents affecting product quality, food safety, or energy performance in the corresponding certification field; occurrence of environmental emergencies, relatively major work safety accidents (reflecting major deficiencies in the certified organization's OHSMS operation), major or above cyber security incidents (reflecting major deficiencies in the certified organization's ISMS operation), medical device safety incidents, major accidents caused by product defects such as products containing hazardous substances, or incidents that have not caused actual accidents but have aroused major public opinion, as well as situations where events leading to regulatory intervention or illegal acts (such as receiving administrative penalties without completing corresponding corrective actions) have occurred;

i) 被有关行政监管部门责令停业整顿的；

Being ordered by the relevant administrative supervision department to suspend business for rectification;

j) 被地方认证监管部门发现认证范围相关活动存在问题，或国家、地方监督抽查中获证产品出现严重质量问题；

The local certification regulatory authority finding problems with activities related to the certification scope, or serious quality problems being found with certified products in national or local supervision and spot-checks;

k) 持有的行政许可证明、资质证书、强制性认证证书等过期失效，重新提交的申请已被受理但尚未换证的情况；

The administrative license certificates, qualification certificates, compulsory certification certificates, etc., held have expired and become invalid, new applications submitted have been accepted but new certificates

have not yet been issued;

l) 存在对获证组织的其他投诉或任何其他信息证实表明获证组织不符合机构的相关规定要求;

Other complaints against the certified organization exist, or any other information confirms that the certified organization does not meet the relevant requirements of the organization;

m) 未按合同约定及时交纳有关认证费用;

Failing to pay the relevant certification fees in a timely manner as agreed in the contract;

n) 不承担、不履行认证合同约定的责任和义务;

Not assuming or not fulfilling the responsibilities and obligations agreed in the certification contract;

o) 主动请求暂停的;

Voluntarily requesting suspension;

p) 无正当理由拒绝机构实施现场审核, 包括但不限于提前较短时间通知或不通知的审核;

Refusing the organization to conduct on-site audits without justifiable reason, including but not limited to audits with short notice or unannounced audits;

q) 出现认证实施规则中规定的须暂停认证证书的情况;

Occurrence of circumstances specified in the certification implementation rules that require suspension of the certification certificate;

r) 未按照规定使用认证证书或者认证标志的;

Failing to use the certification certificate or certification mark in accordance with regulations;

s) 有机认证获证产品的生产、加工、销售等活动或者管理体系不符合认证要求, 且经认证机构评估在暂停期限内能够采取有效纠正或者纠正措施的;

For certified organic products, activities such as production, processing, sales or the management system do not meet certification requirements, and the certification body assesses that effective correction or corrective actions can be taken within the suspension period;

t) 其他应当暂停认证证书的情形。

Other circumstances where the certification certificate should be suspended.

9 认证证书的恢复 Reinstatement of certification certificates

当组织采取纠正和纠正措施后, 经验证符合要求后, 给予恢复注册资格, 恢复认证证书和认证标志的使用。必要时, 对纠正/纠正措施的验证可以采取提交相关证据进行文件审核的方式, 也可以采取现场专项审核的方式进行。

After the organization takes correction and corrective actions, once it is verified that the requirements are met, its registration status shall be reinstated, and the use of the certification certificate and certification mark shall be reinstated. When necessary, the verification of correction/corrective actions may be carried out by submitting relevant evidence for document review, or by conducting a special on-site audit.

10 认证证书的注销 Cancellation of certification certificates

凡出现下列情况之一时, 机构应注销证书持有者使用认证证书和标志的资格, 收回认证证书:

If any of the following circumstances occurs, the organization shall cancel the certificate holder's qualification to use the certification certificate and mark, and recover the certification certificate:

a) 获证组织在认证证书有效期满前未向本机构提出再认证申请的（有机产品认证适用）；

The certified organization fails to submit a recertification application to this organization before the expiry date of the certification certificate (applicable to organic product certification);

b) 获证组织正式提出注销认证的，机构经评审不存在暂停或撤销情形的；

The certified organization formally requests cancellation of certification, and the organization finds through review that there are no grounds for suspension or withdrawal;

c) 获证组织再认证取得新证书后，注销旧证书；

After the certified organization obtains a new certificate through recertification, the old certificate shall be cancelled;

d) 获证产品不再生产的（产品认证适用）。

The certified product is no longer produced (applicable to product certification);

e) 其他需要注销的情况。

Other circumstances requiring cancellation.

11 认证证书的撤销 Withdrawal of certification certificates

有下列情况之一者，机构将撤销获证组织使用认证证书和标志的资格：

If any of the following circumstances occurs, the organization shall withdraw the certified organization's qualification to use the certification certificate and mark:

a) 被注销或撤销法律地位证明文件的，或者持有的行政许可证明、资质证书、强制性认证证书等已经过期失效但申请未获批准；

The legal status document has been cancelled or withdrawn, or the administrative license certificate, qualification certificate, compulsory certification certificate, etc., held have expired and become invalid and the application for renewal has not been approved;

b) 被“国家企业信用信息公示系统”和“信用中国”列入严重违法失信名单的，适用时还包括获证组织的生产、加工或经营的受委托方发生前述情形；

Being included in the serious illegal and untrustworthy list by the “National Enterprise Credit Information Publicity System” and “Credit China”, including, when applicable, the same situation occurring with a subcontractor engaged by the certified organization for production, processing or operation;

c) 被应急管理部门列入安全生产严重违法失信主体名单的；（OHSMS 适用）

Being included in the serious illegal and untrustworthy entity list for work safety by the emergency management department (applicable to OHSMS);

d) 审核时发现获证组织没有运行管理体系或者已不具备运行条件，结论为否定意见；

During an audit, it is found that the certified organization is not operating a management system or no longer has the conditions to operate, and the audit conclusion is negative;

e) 严重违反国家法律法规、或本机构有关规定；

Seriously violating national laws and regulations or the relevant provisions of this organization;

f) 经行政监管部门确认，因获证组织违规造成产品/服务等与认证范围直接相关的重大质量安全事故；(QMS 适用)

Confirmed by the administrative supervision department that the certified organization's violation has caused a major quality safety accident related to products/services directly related to the certification scope (applicable to QMS);

g) 发生突发环境事件，经生态环境主管部门确认因获证组织违规而造成的；(EMS 适用)

g) An environmental emergency occurring and confirmed by the ecological environment competent authority to be caused by the certified organization's violation (applicable to EMS);

h) 发生重大安全事故的；(OHSMS 适用)

A major safety accident occurring (applicable to OHSMS);

i) 经行政监管部门确认因获证组织违规而造成重大及以上级别网络安全事件的；(ISMS 适用)

Confirmed by the administrative supervision department that the certified organization's violation has caused a major or above cyber security incident (applicable to ISMS);

j) 或出现与认证范围直接相关的重大舆情；

Or the emergence of major public opinion directly related to the certification scope;

k) 认证证书的暂停期限已满，但导致暂停的问题未得到解决或有效纠正的；

k) The suspension period of the certification certificate has expired, but the issues that led to the suspension have not been resolved or effectively corrected;

l) 不能满足认证实施规则要求，或出现认证实施规则中规定应撤销的情况；

Failure to meet the requirements of the certification implementation rules, or the occurrence of circumstances specified in the certification implementation rules that require withdrawal;

m) 因认证依据、标准、规则失效，认证证书应撤销；

Due to the invalidation of the certification basis, standards or rules, the certification certificate shall be withdrawn;

n) 因政策或法规调整，证书所属认证领域不再适宜认证活动；

Due to policy or regulatory adjustments, the certification field to which the certificate belongs is no longer suitable for certification activities;

o) 无正当理由拒绝机构实施现场审核，包括但不限于提前较短时间通知或不通知的审核；

Refusing the organization to conduct on-site audits without justifiable reason, including but not limited to audits with short notice or unannounced audits;

p) 获证产品质量不符合国家相关法规、标准强制要求或者被检出有机产品国家标准禁用物质（有机认证适用）；

The quality of the certified product does not meet the mandatory requirements of relevant national regulations or standards, or prohibited substances under the national standard for organic products are detected (applicable to organic certification);

q) 获证产品生产、加工活动中使用了有机产品国家标准禁用物质或者受到禁用物质污染（有机认证适用）；

Prohibited substances under the national standard for organic products are used in the production or

processing of the certified product, or the product is contaminated by such substances (applicable to organic certification);

r) 获证产品的认证委托人虚报、瞒报获证所需信息;

The certification client for the certified product falsely reports or conceals information required for certification;

s) 获证产品的认证委托人超范围使用认证标志;

The certification client for the certified product uses the certification mark beyond the certified scope;

t) 获证产品的产地 (基地) 环境质量不符合认证要求 (有机认证适用);

The environmental quality of the origin (base) of the certified product does not meet the certification requirements (applicable to organic certification);

u) 获证产品的生产、加工、销售等活动或者管理体系不符合认证要求, 且在认证证书暂停期间未采取有效纠正或者纠正措施 (有机认证适用);

The production, processing, sales or other activities of the certified product, or the management system, does not meet the certification requirements, and effective correction or corrective actions are not taken during the suspension period of the certification certificate (applicable to organic certification);

v) 获证产品在认证证书标明的生产、加工场所外进行了再次加工、分装、分割 (有机认证适用);

The certified product undergoes further processing, repackaging or segmentation outside the production or processing site indicated on the certification certificate (applicable to organic certification);

w) 获证产品的认证委托人对相关方重大投诉且确有问题未能采取有效处理措施;

The certification client for the certified product receives a major complaint from a relevant party, and there is indeed a problem, and it fails to take effective handling measures;

x) 获证产品的认证委托人从事有机产品认证活动因违反国家农产品、食品安全管理相关法律法规, 受到相关行政处罚 (有机认证适用);

The certification client for the certified product, when engaging in organic product certification activities, violates relevant national laws and regulations on agricultural product and food safety management and receives an administrative penalty (applicable to organic certification);

y) 获证产品的认证委托人拒不接受市场监督管理部门或者认证机构对其实施监督;

The certification client for the certified product refuses to accept supervision by the market supervision and administration department or the certification body;

z) 其他应当撤销认证证书的情形。

Other circumstances where the certification certificate should be withdrawn.

12 认证证书失效 Invalidity of certification certificates

当发生下列情况时, 认证证书将自动失效:

The certification certificate will automatically become invalid in the following circumstances:

a) 获证组织的认证证书自然到期时;

When the certification certificate of the certified organization naturally expires;

b) 获证组织通过再认证审核并取得新的认证证书后，旧认证证书将自动失效；

After the certified organization passes the recertification audit and obtains a new certification certificate, the old certification certificate will automatically become invalid;

c) 获证组织通过标准转换审核并取得新的认证证书后，旧认证证书将自动失效。

After the certified organization passes the standard conversion audit and obtains a new certification certificate, the old certification certificate will automatically become invalid.

13 获证组织认证证书被暂停、撤销或注销，相关信息将报国家及地方有关监管部门予以公布并在机构官网上予以公布。获证组织应将认证证书交回机构并停止使用该证书及认证标志。 If the certification certificate of a certified organization is suspended, withdrawn or cancelled, the relevant information will be reported to the relevant national and local regulatory authorities for publication and will also be published on the organization's official website. The certified organization shall return the certification certificate to the organization and stop using the certificate and certification mark.

14 认证记录的保存 Retention of certification records

为了证实认证活动的实施，除了认证机构要保持认证记录外，获证组织应留存认证证书有效期内相应的认证记录，至少包括：

In order to demonstrate the implementation of certification activities, in addition to the certification body maintaining certification records, the certified organization shall retain the corresponding certification records within the validity period of the certification certificate, including at least:

- (1) 认证合同； Certification contract;
- (2) 审核计划； Audit plan;
- (3) 首、末次会议签到表； Opening and closing meeting sign-in sheets;
- (4) 不符合报告及原因分析和纠正措施； Nonconformity report, root cause analysis and corrective actions;
- (5) 审核报告； Audit report;
- (6) 暂停、撤销通知（适用时）。 Suspension or withdrawal notice (when applicable).

15 重新申请认证的限制条件 Restrictions on re-application for certification

15.1 认证转换与再申请限制：若获证组织的认证证书被暂停，在暂停期内，组织不得向其他认证机构申请转换该证书。若暂停期满后证书被撤销，则自暂停生效之日起满 12 个月后，组织方可重新提出认证申请。

Restrictions on certification transfer and re-application: If the certification certificate of a certified organization is suspended, during the suspension period, the organization shall not apply to other certification bodies for transfer of that certificate. If the certificate is withdrawn after the suspension period expires, the organization may not re-apply for certification until 12 months have passed from the effective date of the suspension.

15.2 因组织自身原因导致证书状态异常的处理：依据国家认证认可监督管理委员会（CNCA）发布的认证实施规

则，因获证组织自身原因被原发证机构暂停、撤销或注销认证证书的，认证机构（包括原发证机构）不能在原认证证书被暂停、撤销或注销未满一年时，受理该获证组织新提交的认证申请。认证证书暂停期满后被撤销的，按认证证书被暂停的日期起算满一年。

Handling of abnormal certificate status due to the organization's own reasons: In accordance with the certification implementation rules issued by the Certification and Accreditation Administration of China (CNCA), if the certification certificate of a certified organization is suspended, withdrawn or cancelled by the original certification body due to the certified organization's own reasons, the certification body (including the original certification body) shall not accept a new certification application submitted by that certified organization until one year has passed since the suspension, withdrawal or cancellation of the original certification certificate. If the certification certificate is withdrawn after the suspension period expires, the one-year period shall be calculated from the date of suspension of the certification certificate.

15.3 证书失效后的再申请：若认证证书被暂停后未办理恢复手续，认证证书有效截止日期后失效的，在其认证证书暂停满一年后方可向认证机构（包括原认证机构）重新提出认证申请。

Re-application after certificate invalidation: If the certification certificate is suspended and reinstatement procedures are not carried out, and it becomes invalid after the validity end date, a new certification application may be submitted to the certification body (including the original certification body) only after the suspension of the certification certificate has lasted for one full year.