

管理体系认证后的监督和再认证及证书保持、扩大、缩小、

暂停、注销及撤销认证的规则

Rule for the Management of Surveillance and Recertification Audit and Maintaining, Extending, Reducing, Suspending, Canceling and Withdrawing of the Certificate after the Management Systems Certification

1 新世纪检验认证有限责任公司（以下简称 BCC）对获证客户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。BCC Inc. (BCC hereinafter) will conduct the surveillance audit and recertification audit of the management system of the certified client within the certificate validity and verify the competence to conform to the certification requirements continually.

1.1 根据相关规定，初次发证的认证证书的有效期为三年，三年周期自初审或再认证的认证决定批准之日算起。再认证证书的生效日期为再认证决定批准之日起，终止日期为上一次证书的终止日期加三年。The validity of initial certificate is three years according to the relevant requirements. The three-year certification cycle begins from the date of approval of the initial or recertification decision. The effective date of recertification begins from the certification decision and the expiry date is three years after the expiry date of the last certificate.

1.2 监督审核：除社会责任管理体系（SA 8000）的项目，其他管理体系的获证组织应进行第一年和第二年的监督审核和第三年的再认证审核。监督审核应至少每个日历年（应进行再认证年份除外）进行一次。第一次监督审核建议在第二阶段审核或再认证审核最后一天起 10-12 个月内进行，最晚应在认证决定日期起 12 个月内进行；第二次监督审核应在第一次监督审核最后一天起 12 个月内进行。当获证组织因停产、搬迁等原因不能在 12 个月之内进行的，两次监督审核的时间间隔不得超过 15 个月。对于社会责任管理体系（SA 8000）：的获证组织 1) 多场所认证组织，应每 6 个月进行一次监督审核，第一次监督审核应自初次认证或再认证决定 6 个月内进行。同时，每年至少一次监督审核应在组织活动的旺季或高峰。当获证组织发生投诉、重大变更或严重不符合时，有可能需要额外增加不通知审核。2) 单场所认证组织，第一次监督审核应自初次认证或再认证决定 6 个月内进行，之后为一年一次现场监督审核。其中两次现场监督审核之间有一次跟踪评审。The surveillance audits: The management system certified clients except SA management system (SA 8000) shall accept the surveillance audits in 1st and 2nd year and recertification in 3rd year. The surveillance audit shall be carried out at least once every calendar year (except for the year in which recertification is due). The 1st surveillance audit following initial certification is suggested to be conducted in the 10-12 months from the last day of the stage 2 audit or recertification, and shall not be more than

12 months. The 2nd surveillance shall be in the 12 months from the last day of the 1st surveillance. If the certified client cannot accept surveillance audit within 12 months due to reasons such as stop production and relocation, the surveillance audit shall be finished at least in every calendar year. The time interval between the two surveillance audits shall not exceed 15 months. For certified organizations of social responsibility management system (SA 8000):1) Multi-site certification organizations should conduct surveillance audits every 6 months, and the first surveillance shall be conducted within 6 months from the date of first certification or recertification. At the same time, at least one surveillance audit in each year shall be in the peak or peak of organizational activities. When a complaint, a major change, or a serious inconformity happened in the certified organization, it may be necessary to add additional non notification to the client.2) For single-site certification organizations, the first surveillance audit should be conducted within 6 months of the initial certification or recertification decision, and then the site surveillance audit once a year. There was a follow-up review between the two on-site supervision audits.

1.3 再认证：获证客户应在证书有效期满前三个月内向 BCC 提出书面申请，并签订再认证合同、签订再认证合同、接受现场审核、缴纳认证费用并符合认证条件以确保完成认证批准。因获证客户未按期履行前述义务导致认证无法批准的，乙方不承担任何责任。再认证审核应在第二次监督审核最后一天起 12 个月内进行。当甲方因停产、搬迁等原因不能在 12 个月之内进行的，再认证审核的结束日期不能超过当前认证终止日期。当可获证客户的体系或运作环境（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。

1.3 Recertification: The certified client shall present the written application to BCC three months before the validity of the certificate and sign the recertification contract. The client shall accept recertification onsite audit. Pay the fees and meet the certification requirements to insure to be approved. If the certified client has not fulfilled the previous obligations under the schedule, which leads to the failure of approval of the certificate, BCC will not bear any responsibility. The recertification audit shall be conducted within 12 months from the last date of the second surveillance audit. When the certified client is unable to carry out within 12 months due to the reasons for stop production or relocation, etc., the end date of the recertification audit shall not exceed the date of the expiry date of the current certification. If there is significant change in the system or operation environment of the clients, such as laws, regulations, standards, etc., a first stage audit will be necessary for the recertification after evaluation.

1.4 如获证客户未按期接受监督、再认证审核，应依据相关规定暂停、停止使用认证证书及标识。If the certified client, who has not accepted the surveillance and recertification audit as scheduled, shall suspend, stop using the certificate and certification marks in accordance with the relevant regulations.

1.5 监督、再认证的程序参照初次审核的程序进行。Surveillance and recertification procedures please refer to initial audit procedures.

2 如果获证客户对其管理体系进行了重大更改或者发生了影响认证基础的更改，监督活动应依据特别规定进行。If the significant variation of the certified client has affected the basis of management system, the surveillance audit shall be conducted against the special regulations.

2.1 体系发生重大更改的情况，如：The significant variation of the management system may include:

a) 更换主要负责人；The change of the primary responsible personnel of the certified client;

- b) 管理体系覆盖产品发生变化, 扩大或缩小范围; The signification variation of the product in the management system, e.g. the scope extended or reduced;
- c) 管理体系文件进行重大修改; Major revision to the management system documents;
- d) 顾客或相关方有重大投诉; Serious complaints by the customer or interested party;
- e) 组织机构进行了重大调整, 扩大或缩小范围(包括重要的人员、设备、设施或其他重要资源)。Important shift of the organizational structure, e.g. the structure extended or reduced (including the important personnel, equipment, facilities or other vital resources);

2.2 发生上述 2.1 中 a)-e)的情况时: Once any case mentioned in the above 2.1 a)- e)

- a) 获证客户应自行评价对法律法规要求的符合性, 并对不符合相关法律法规要求采取纠正措施; The certified client shall evaluate the conformity to the laws and regulations by itself and take corrective actions to the nonconformities.
- b) BCC 应确认获证客户在此方面运行的符合性、有效性; BCC shall verify the conformity and effectiveness of the operation conducted by the certified client.
- c) BCC 应同时确定是否需要增加非例行监督, 或在例行监督审核时加强相关内容的审核。BCC will simultaneously decide whether to conduct an unscheduled surveillance apart from a regular surveillance or to add any more contents in the regular surveillance.

2.3 对于确认不符合要求的或在监督审核中发现获证方存在严重不符合或其他重要问题, 视情节轻重和纠正情况, 可做出如下处理决定: The decisions will be made according to the nonconformities confirmed or the major nonconformities/serious problems of the surveillance in the certified client identified in the surveillance with the consideration of the severity and correction:

- a) 缩小认证范围; Reduction of the certification scope;
- b) 暂停使用认证证书和认证标志; Suspension of the use of certificate and certification marks;
- c) 撤销使用认证证书和认证标志。Withdrawal of the use of certificate and certification marks;

2.4 对于增加产品覆盖范围的可结合监督审核或专项审核扩大认证范围。For the extension of product scope, the certification scope may be extended through a surveillance audit or a special audit arranged.

2.5 对已获 QMS/EMS 认证且已满至少一个完整的认证周期的组织, 如该组织的 QMS/EMS 持续有效, 对其 QMS/EMS 的监督或再认证, BCC 可实施 QMS/EMS 高级监督和再认证程序, 与组织商定适宜的绩效参数和绩效指标, 利用组织的内部审核和管理评审结果, 适当减少审核人日。BCC may implement a QMS/EMS advanced surveillance and certification procedure to the certified client in QMS/EMS who has had a full certification circle with the condition that the certificate has been continually effective. BCC will consult with the certified client on the appropriate performance indicators to confirm that the performance targets had been achieved by the client, and utilize the results of internal audit and management review to reduce the audit may-day appropriately.

3 认证证书的变更, 扩大、缩小 The change, expansion and reduction of the certification certificate

凡出现体系认证标准、认证范围等变更时, 需要按规定, 由申请方提出书面申请, 经新世纪检验认证有限责任公司审查批准后准予换证, 换证的原因有以下几种情况: If there is any

change to the standards or certification scope, the certified client shall apply for renewal of accreditation certificates in accordance with the rules. The certificate will be re-issued with the confirmation and approval by BCC Inc. The causes of re-issuing the certificate include:

3.1 获证客户注册信息发生变更 Registration information of the certified client had been changed;

3.1.1 当组织名称发生变更时, 不涉及上述 2.1 所列情况, 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); Name of the certified client had been changed with the exclusion of the cases mentioned in 2.1. The registration information will be changed and the certificate will be re-issued after confirmation. (The re-issuing of the certificate will be conducted with the surveillance if necessary.)

3.1.2 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, 应评审适用的地方环境、职业健康安全是否发生变更。仅属于行政区域划分/地名变更, 而不涉及上述生产变更、适用的地方环境、职业健康安全发生变更的, 变更注册信息后换发证书; 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, 可结合获证客户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 business address of the certified client changed, BCC shall evaluate the change of production equipment and facilities to confirm the impact on the product quality, environment and occupational health and safety. BCC shall also evaluate whether the applicable local environmental and occupational health and safety regulations and requirements have been changed. The registration information will be changed and the certificate will be re-issued only if the administrative division/ geographical name has been changed but not involving in the change of production, change of applicable local environmental and occupational health and safety regulations and requirements. The change of the latter will be reviewed after the documents supplied by the certified client have been evaluated. The certificate will be re-issued after the evaluation and review. If necessary, the certificate will be re-issued after an on-site audit had been conducted and the registration information had been changed with the approval of review.

3.1.3 以上变更, 发生特殊情况时 BCC 会根据具体的情况决定评定的方式。 BCC will determine the device of certification review in the special case of the change mentioned above.

3.2 认证扩大 Extension of the Certification Scope

由获证客户提出书面申请, 提供与扩大认证范围相适应的管理手册, BCC 审查并决定是否受理, 受理后签订扩大认证范围合同。BCC 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, 具体实施按认证程序进行。审核结束后, 经 BCC 审定, 总经理批准后, 扩大认证范围并更换认证证书。BCC will review and decide whether to accept the application of extension when the certified client applies the extension in written and provide the management manual that is applicable to the scope extended. The contract of extension will be signed after the application has been accepted. BCC will arrange a certain auditor to conduct the document review and on-site audit. The on-site audit will focus on the relevant process, activity, department, production premises of the extension scope. The audit shall be conducted in accordance with the *General Procedure for Management System Certification*. The extension of certification scope will be approved by the General manager after the review and the certificate will be re-issued.

3.3 认证缩小 Reduction of the Certification Scope

3.3.1 BCC 在正常的监督/再认证审核时如发现获证客户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 BCC 审定，总经理批准后，缩小认证范围并更换认证证书。The certification scope may be reduced when BCC discovers that the audit scope of the certified client does not conform to the certification scope in regular surveillance/recertification audit, or some of the product is not in production. The reduction shall be stated in the audit report. The reduction of certification scope will be approved by the General manager after the review and the certificate will be re-issued

3.3.2 BCC 通过非例行监督审核或通过相关社会信息发现获证客户的部分认证范围不能满足法律、法规或标准要求时，经 BCC 核实、审定，总经理批准后，缩小认证范围并更换认证证书。The reduction of certification scope will be approved by the General manager after the review and the certificate will be re-issued when BCC discovers that the part of the scope of the certified client does not conform to the requirements of laws, regulations and standards through the unscheduled surveillance or social information collected.

3.3.3 获证客户欲缩小认证范围时，应及时向 BCC 提交书面报告，说明缩小范围的原因，BCC 接到获证客户报告后，经 BCC 审定，总经理批准，缩小认证范围并更换认证证书。The written application with the reason of reduction shall be submitted to BCC if the certified client requires reducing the certification scope. The reduction shall be stated in the audit report. When BCC received the application of the certified client, the reduction of certification scope will be reviewed. The certificate will be re-issued after the approval of the General manager.

4 当为调查投诉、对变更做出回应或对暂停的受审核方进行追踪时，BCC 可能安排较短时间通知受审核方的审核。BCC may be possible to conduct audit of certified client at short notice to investigate complaints, or in response to changes, or as follow up on suspended clients.

5 认证要求的变更,包括认证标准的换版 Change of certification requirements including transition of certification standards

当认证要求发生变更时，BCC 提前通知获证方和申请方以便获证客户在规定的时间内按新要求调整管理体系和采取措施，以保持认证资格的。未在转换有效期内新要求转换的获证组织，其注册资格的原截止日期如在转换有效期之后，则 BCC 将在转换期结束当天其注册资格办理失效并依据相关规定在相关网站上更新注册资格的信息。When the certification requirement changed, BCC Inc. shall notify the certified client and applicant in advance for the certified client to adjust the management system and apply the measurements in accordance with the new requirements to ensure the maintenance of the certificate. Not within the validity of the conversion, the new certification of the conversion of the certified organization, the original expiry date for registration of qualifications, such as after the conversion is valid, then the end of the conversion period BCC will expire the registration of their qualifications and in accordance with the relevant provisions of the relevant website to update the registration qualification information.

6 认证证书的保持 Maintenance of the certification

6.1 获证客户需要通过定期的监督审核保持认证证书的有效性；The effectiveness of the certificate will be ensured through the surveillance to the certified client.

6.2 获证客户监督审核通过并缴齐相关费用后，由 BCC 向获证客户发出“监督审核结论通知书”。BCC will issue the Notification of the Surveillance Result to the certified client after the certified client has been qualified in the surveillance and has paid the related fees.

7 认证证书的暂停 Suspension of the Certificate

凡有下列情况之一者,BCC 将暂停获证客户使用认证证书和标志的资格。通常情况下,认证证书的暂停期限不超过 6 个月,对于社会责任管理体系(SA8000)认证证书的暂停期限为 3 个月。BCC Inc. will suspend the certificate and marks of the certified client in any case of the following. Normally, the suspension period of the certification certificate does not exceed 6 months, and the suspension period of the social responsibility management system (SA8000) certification certificate is 3 months.

7.1 获证客户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,食品安全管理体系覆盖的产品、HACCP 体系或相关产品不符合认证依据要求的,将在确认相关情况后 5 日内暂停相应的认证证书; the customer management system of continuous or seriously does not meet the certification requirements, including requirements for the effectiveness of the management system, food safety management system covering products, HACCP system or related products do not meet the requirements of the certification basis;

7.2 获证客户持有的与管理体系有关的行政许可证明、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; When a certified client holds expired or invalid administrative licensing certificates, qualification certificates, compulsory certification documents, etc., related to the management system, and their re-submitted applications have been accepted but not yet replaced with new certificates;

7.3 获证客户不承担或不履行认证合同约定的责任和义务; Certified customer does not undertake or fail to fulfill the responsibilities and obligations stipulated in the certification contract.

7.4 获证客户被有关执法监管部门责令停业整顿; Certified clients were ordered to suspend business by supervision departments

7.5 组织发生重大产品质量事故、环境污染事故、职业健康安全事故、安全生产事故、食品安全事故、信息安全事件、知识产权事件的,出现事故造成重大影响正在接受行政机关调查的;组织发生与能源有关的重大事故,反应出组织的能源管理体系建立及运行存在重大缺陷的; In cases where the organization experiences major product quality incidents, environmental pollution accidents, occupational health and safety accidents, work safety incidents, food safety accidents, information security events, or intellectual property rights incidents, and when these incidents have caused significant consequences leading to administrative investigations by regulatory authorities; or when the organization faces major energy-related accidents reflecting substantial deficiencies in the establishment and operation of its energy management system;

7.6 未能正确使用认证证书和标志的,经指出后未予以纠正的; Fail to use the certification certificate and mark correctly, they are not corrected after pointed out;

7.7 获证客户未能按合同规定金额支付管理体系认证费用,且经指出后未予以纠正的(超过审核结束日期三个月);不承担、履行认证合同约定的监督审核过程中的责任和义务; The certified client fails to pay the management system certification fees in the amount stipulated in the contract, and after being notified, fails to rectify this non-payment (exceeding three months from the audit completion date); or the certified client fails to assume or fulfill the responsibilities and obligations agreed upon in the certification contract during the surveillance audit process;

7.8 出现顾客对产品的重大投诉未能妥善处理并造成用户严重不满; In the event of significant customer complaints regarding products that are not properly addressed, resulting in severe user dissatisfaction;

7.9 出现国家、地方、行业对产品质量、环境管理、职业健康安全、食品安全、信息安全等监

督查不合格； In cases where national, local, or industry-level supervision random inspections of product quality, environmental management, occupational health and safety, food safety, information security, etc., fail to meet standards;

7.10 获证客户在监督、再认证审核后，对发现的不符合不按期（超过审核结束 3 个月）提交纠正措施； If the certified client fails to submit corrective measures for identified non-conformities within the specified period (exceeding three months from the audit completion date) after surveillance or recertification audits;

7.11 未能在规定的时间内完成监督/再认证审核的； If the certified client fails to complete surveillance/recertification audits within the prescribed time intervals;

7.12 获证组织不接受或不配合认证认可监督管理部门的监督管理、见证评审及 BCC 的非例行审核的； If the certified organization refuses to accept or cooperate with supervision and management by certification accreditation regulatory authorities, witness audits, and unannounced audits conducted by BCC;

7.13 HACCP、社会责任管理体系（SA 8000）获证客户第二次收到 BCC 发出的不通知现场审核的《审核计划》时，并再次采取不接受审核行为的； For HACCP and SA 8000-certified clients, upon receiving the second instance of an unannounced on-site audit plan issued by BCC and subsequently refusing to accept the audit again;

7.14 社会责任管理体系（SA 8000）的客户在审核中或审核后被开具了关键不符合，或客户未能在约定期限内完成期限不符合的整改关闭； For SA 8000 clients, if issued with critical non-conformities during or after an audit, or if failing to complete rectification and closure of time-bound non-conformities within the agreed deadline;

7.15 获证客户未按要求对信息进行通报； If the certified client fails to report information as required;

7.16 获证客户主动请求暂停的； If the certified client voluntarily requests a suspension;

7.17 其他（如发生投诉经调查后属获证客户应负责任的、获证客户与认证机构双方同意暂停认证资格等）。

8 认证证书的恢复 Certification Reinstatement

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。对纠正/纠正措施的验证可以提交相关证据进行文件审核的方式，也可以进行现场专项审核的方式进行。When an organization implements corrections and corrective measures, and upon verification of compliance with requirements, its registration qualification shall be reinstated, along with the restoration of the use of the certification certificate and certification mark. Verification of the corrections/corrective measures may be conducted through submission of relevant evidence for document-based review, or via on-site special audits.

9 认证证书的撤销 Withdrawal of Certification Certificates

有下列情况之一者,BCC 将撤销获证客户使用认证证书和标志的资格:In any of the following cases, BCC shall withdraw the certified client's qualification to use the certification certificate and mark:

9.1 获证组织被注销或撤销法律地位证明文件的； The legal status documentation of the certified organization has been canceled or stripped;

9.2 组织在被暂停使用管理体系认证证书后，未按规定要求在规定期限内，采取适当的纠正措

施解决存在的问题或完成整改措施，即暂停认证证书的期限已满但导致暂停的问题未得到解决或纠正（包括持有的与获证管理体系范围有关的行政许可证明、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）； After suspension of the management system certification certificate, the organization fails to adopt appropriate corrective measures to resolve existing issues or complete rectification within the specified period as required, i.e., the suspension period has expired but the problems leading to the suspension remain unresolved or uncorrected (including instances where held administrative licensing certificates, qualification certificates, compulsory certification certificates, etc., related to the certified management system scope have expired and applications for renewal are not approved);

9.3 监督审核时发现获证客户管理体系多项严重不符合规定要求，且在短期内无法有效纠正的； During surveillance audits, multiple major non-conformities with requirements are identified in the certified client's management system, and effective correction cannot be achieved in the short term;

9.4 不按相关规定正确引用和宣传获得的认证信息，造成严重影响或后果，或者 BCC 已要求其纠正但超过 2 个月仍未纠正的； Incorrect citation or promotion of obtained certification information in violation of relevant regulations, causing serious consequences or impact, or failure to rectify such issues despite a request by BCC exceeding two months;

9.5 获证客户出现重大的产品和服务等质量安全事故，经执法监管部门确认是获证组织违规造成的； The certified client's product/service quality, environment, occupational health and safety, food safety, information security have serious consequences or significant social impact;

9.6 获证客户有其他严重违法违反法律法规行为的； The certified client has other serious violation of laws and regulations;

9.7 获证客户没有运行管理体系或者已不具备运行条件的； The certified client has not operated its management system or has had no operation condition;

9.8 因产品/服务质量、环境、职业健康安全、食品安全、信息安全、知识产权侵权造成严重后果或重大社会影响的； The certified client's product/service quality, environment, occupational health and safety, food safety, information security, and Intellectual property infringement causes serious consequences or significant social impact

9.9 食品安全管理体系/HACCP 认证的获证客户出现严重的食品安全卫生事故的； The certified FSMS/HACCP client's food safety management system has serious accident of food safety and health;

9.10 食品安全管理体系/HACCP 获证客户体系或体系覆盖的产品不符合认证依据或相关产品标准要求，需要立即撤销认证证书的； The certified FSMS/HACCP client's food safety management system and/or the products covered in the certificate does not conform to the requirements of the certification basis or related product standard, and need to be immediately withdraw the certificate;

9.11 发生 BCC 与获证客户之间合同/协议中特别规定的其他构成撤销认证证书和标志使用资格的有关情况； Other circumstances specified in the contract/agreement between BCC and the certified client that constitute grounds for revoking the certification certificate and logo usage qualification;

9.12 获证客户虚报、瞒报获证所需信息； The certified client provides false or conceals information required for certification;

9.13 获证客户违反国家食品安全管理相关法律法规； The certified client violates national food safety management laws and regulations;

9.14 获证客户申请撤销认证证书； The certified client applies for withdraw of the

certification certificate;

9.15 获证客户被国家市场监督管理总局列入质量信用严重失信企业名单 The certified client is listed by SMAR as an enterprise with severe quality credit deficiencies;

9.16 获证客户拒绝配合认证监管部门实施的监督检查或认证机构对其实施监督, 或者对有关事项的询问和调查提供了虚假材料或信息; The certified client refuses to cooperate with supervision and inspections conducted by certification regulatory authorities or the certification body, or provides false materials or information in response to inquiries or investigations;

9.17 获证客户拒绝接受国家产品质量监督抽查、拒绝配合认证认可监督管理部门的监督管理、见证审核, 或者对有关事项的询问和调查提供了虚假材料或信息; The certified client rejects national product quality supervision random inspections, refuses to cooperate with certification accreditation regulatory authorities' supervision or witness audits, or provides false materials or information in response to inquiries or investigations;

9.18 获证客户不再生产体系覆盖内所有产品; The certified client ceases production of all products covered by the system;

9.19 获证客户对相关方重大投诉未能采取有效处理措施; The certified client fails to take effective measures to address significant complaints from relevant parties;

9.20 获证客户发生了与能源有关的事故, 反映出组织的能源管理体系建立及运行存在重大缺陷, 且未能在规定时限内完成有效整改; The certified client experiences energy-related accidents reflecting significant deficiencies in the establishment and operation of its energy management system, and fails to complete effective rectification within the prescribed time limit;

9.21 获证客户的能源绩效未达到国家和地方政府发布的单位产品能源消耗限额标准要求或考核为“未完成”等级, 且未能在规定时间内完成有效整改; The certified client's energy performance fails to meet the energy consumption limit standards per unit product issued by national and local governments or is rated as "unfulfilled," and fails to complete effective rectification within the specified time;

9.22 获证客户在证书有效期内受到相关执法监管部门处罚, 且未能在规定时限内完成有效整改; The certified client receives penalties from relevant regulatory authorities during the certificate's validity period and fails to complete effective rectification within the prescribed time limit;

9.23 其他需要撤销认证证书的情况。 Other circumstances warranting withdrawn of the certification certificate.

10 认证证书失效 Invalidation of Certification Certificates

当发生下列情况时认证证书将自动失效: The certificate will be invalid automatically in the following case:

- a) 获证客户的认证证书自然到期时。 The certificate of the certified client comes to the expiration;
- b) 获证客户通过再认证审核, 并取得新的认证证书后, 旧认证证书将自动失效。 When the certified client has been qualified in the re-certification and has obtained a new certificate, the old certificate will be invalid automatically;
- c) 获证客户通过标准转换审核, 并取得新的认证证书后, 旧认证证书将自动失效。 When the certified client has been qualified in a standard transition audit and has obtained a new

certificate, the former certificate will be invalid automatically;

- 11 获证客户认证证书被暂停、撤销，相关信息将报国家及地方有关监管部门予以公布；If the certificate of the certified client has been suspended or withdrawn, the relevant information will be reported to the state or local supervisory department for publication;
- 12 获证客户认证证书被暂停、撤销及注销后，相关信息将在 BCC 外网上予以公布。If the certificate of the certified client has been suspended or withdrawn, the relevant information will be published in the website of BCC;
- 13 获证客户认证证书被撤销或注销后，应将 BCC 认证证书交回 BCC。The certification after customer approval certificate has been revoked or cancelled, BCC certification certificate shall be returned to the BCC.
- 14 依据国家有关规定，获证客户认证证书如果被暂停，则在暂停期内不得向其他认证机构提出认证证书转换申请；如果暂停期满后被撤销，则必须经过 12 个月以后，才可以向其他认证机构提出认证申请。对于社会责任管理体系（SA 8000）的获证客户，如果因违反道德标准被开具了关键不符合而导致证书被撤销，则必须在针对不符合所采取的纠正和纠正措施得到有效实施和验证之日起 12 个月以后才可以再次向 BCC 提出认证申请。According to the relevant provisions of the state, the client certificate if was suspended, is during the suspension period shall not apply to the other certification body certification conversion; If the suspension was revoked after the expiry of the must after 12 months later, just can apply for certification to other certification bodies. The SA management system (SA 8000) certified clients violate ethical standards and are issued critical nonconformity, resulting certificate is withdrawn, it can't be re-submit applications for certification to BCC unless 12 months after the correction and corrective measures are implemented and verified effectively.