

QSP28-Rights and Obligations of Certifications Clients

认证客户的权利和义务

1.0 Purpose 目的

The purpose of this document is to clearly describe the rights and obligations of clients applying for certifications. 本文档旨在清晰阐述申请认证的客户所拥有的权利与应履行的义务。

2.0 Scope 范围

This procedure applies to all clients applying for certifications within the business scope of ASCP. The applicant is not necessarily the certification auditee. 本程序适用于所有在 ASCP 业务范围内申请认证的客户。申请人不一定是认证审核的受审核方。

3.0 Referenced Documents & Documented Information 参考文件及文件化信息

ISO/IEC 17021-1:2015	Conformity assessment–Requirements for bodies providing audit and certification of management systems - Part 1 Requirements. 合格评定——管理体系审核与认证机构要求-第 1 部分：要求
ISO/IEC 17021-3:2013	Conformity assessment–Requirements for bodies providing audit and certification of management systems–Part 3: Competence requirements for auditing and certification of quality management systems. 合格评定——管理体系审核与认证机构要求-第 3 部分：质量管理体系审核与认证的能力要求
ISO/IEC 17065:2012	Conformity assessment–Requirements for bodies certifying products, processes and services. 合格评定——产品、过程和服务认证机构要求
ISO 19011:2018	Guidelines for Auditing Management Systems 管理体系审核指南
National Law	国家法律
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QM-PC-ASCP	Quality Manual 质量手册

4.0 Terms and Definitions 术语和定义

4.1. Client: certification applicant, auditee and certified organisation. 客户：认证申请人、受审核方及获证组织。

4.2. Applicant: Organisation or person who is requesting and/or commissioning an audit. Applicant is not necessarily the Auditee. 申请人：提出审核请求和/或委托审核的组织或个人。申请人不一定是受审核方。

4.3. Auditee: Organisation being audited. 受审核方：被审核的组织。

4.4. CNAS: China National Accreditation Service for Conformity Assessment. CNAS：中国合格评定国家认可委员会

5.0 Roles and Responsibilities 角色与责任

Customer Service Unit is responsible for explaining rights and obligations to applicants,

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answering questions and receiving complaints.客户服务部负责向申请人解释权利与义务、解答疑问并受理投诉。

6.0 Rights of Certification Applicants 认证申请人的权利

- 6.1. To access to public documents and information of ASCP.有权获取 ASCP 的公开文件和信息。
- 6.2. Non-discrimination in the process of applying, audit and certification decisions.在申请、审核及认证决策过程中享有不被歧视的权利。
- 6.3. To request for adjustments or changes against audit plans and audit team members what or who may affect the impartiality of certification.当审核计划或审核组成员可能影响认证公正性时，有权要求调整或变更。
- 6.4. To clarify facts of audit non-conformities and give comments on audit reports.有权对审核发现的不符合项进行事实澄清，并对审核报告发表意见。
- 6.5. To lodge complaints/appeals to the ASCP until the national regulatory authorities regarding the certification audit, audit conclusions and staff violations of ASCP;针对认证审核、审核结论及 ASCP 工作人员的违规行为，有权向 ASCP 直至国家监管机构提出投诉/申诉。
- 6.6. To use the certificate and logo correctly after being certified;获得认证后，有权正确使用证书和标志。
- 6.7. To propose to the ASCP the scopes extending or reducing of certificates based on changes of products and/or services, management systems, etc;基于产品和/或服务、管理体系等方面的变化，有权向 ASCP 提出扩大或缩小认证范围的申请。
- 6.8. To apply for re-certification or to stop maintain certification, before certificates expiry.证书到期前，有权申请再认证或停止保持认证。

7.0 Obligations of Certification Applicants 认证申请人的义务

- 7.1. To always abide by national laws, regulations and ASCP contracts and provisions;始终遵守国家法律法规以及 ASCP 的合同与规定；
- 7.2. After choosing service of ASCP, the applicant shall submit a written application, documented management system information, and information of activities in management system, such as quality/environment/occupational health safety, as well as performed internal audits and management reviews covering all procedures.选择 ASCP 的服务后，申请人应提交书面申请、文件化的管理体系信息、管理体系活动相关信息（如质量/环境/职业健康安全等信息）；同时已完成覆盖所有程序的内部审核和管理评审。
- 7.3. When required, to accept the witness review of AB and provide necessary support, to accept the supervision and inspection from the superior governance agencies and the special audit from ASCP, and to provide cooperation for onsite evaluators if necessary;必要时，接受 AB 的见证评审并提供必要支持；接受上级监管机构的监督检查及 ASCP 的专项审核；必要时为现场评价人员提供配合；
- 7.4. Accept ASCP supervision audit and re-certification audit on time.按时接受 ASCP 的监督审核和再认证审核。

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- 7.5.** According to the requirements of certification contracts, timely to pay certification fees.
按照认证合同的要求，及时支付认证费用。
- 7.6.** To provide necessary cooperation for audit, including the preparation and providing of system documents for initial audits, surveillance, re-certification and special audits, to give access to all areas within the scopes and all the operation records (including internal audit reports) and evidence of the system, etc.为审核工作提供必要配合，包括为初次审核、监督审核、再认证及专项审核准备并提供体系文件，允许审核人员进入认证范围内的所有区域，提供所有运行记录（包括内部审核报告）及体系相关证据等。
- 7.7.** To restrictedly propagandise within the certification scope, to publicise the certification results without damage the reputation of ASCP, and not to make misleading or unauthorised statements.在认证范围内规范宣传，公开认证结果时不得损害 ASCP 的声誉，不得作出误导性或未经授权的声明。
- 7.8.** When received notice of certificate suspending or withdrawal(for any reason), to stop using certificates and certification marks immediately, cease any propaganda, or using any advertising materials quoting certification qualifications. When certificate withdrawn, to return certificates as required by the ASCP. When the scope of the certification is reduced, all related advertising materials shall be modified;收到证书暂停或撤销通知（无论何种原因）后，立即停止使用证书和认证标志，终止任何相关宣传，或停止使用任何引用认证资质的广告材料。证书被撤销时，按照 ASCP 的要求返还证书。认证范围缩小时，所有相关广告材料须进行相应修改。
- 7.9.** To ensure that certification documents, logos or reports are not misused or partly misused. To correctly quote certification content in the media (e.g. documents, brochures or advertisements, etc.) by following the requirements of the ASCP. Not to imply uncertified products/services or processes have been certified by ASCP, when quoting their management system certification qualifications. Not to imply certifications applies to activities beyond the certified certification scope;确保认证文件、标志或报告不被误用或部分误用。需按照 ASCP 的要求，在媒体（如文件、宣传册或广告等）中正确引用认证内容。引用管理体系认证资质时，不得暗示未经认证的产品/服务或过程已通过 ASCP 认证，也不得暗示认证适用于超出认证范围的活动。
- 7.10.** Certified clients shall provide ASCP with complaints records and records of corrective actions in accordance with management system standards or other citation documents as required.获证客户应按要求，依据管理体系标准或其他引用文件，向 ASCP 提供投诉记录及纠正措施记录。
- 7.11.** Certified clients shall notify ASCP with following changes in management system. The changes include (but are not limited to) the following:获证客户应将管理体系的以下变更通知 ASCP。变更包括（但不限于）：
 - a) Legal status, operating status, organisational status or changes of ownership;法律地位、经营状态、组织状态或所有权的变更；
 - b) Organisational names, registration/business addresses, contact addresses, contact information and sites; 组织名称、注册/经营地址、联系地址、联系方式及场所的变更；
 - c) Legal representatives, management representatives and management, such as key management, decision-making or technical personnel;法定代表人、管理代表及管理層（如关键管理人员、决策人员或技术人员）的变更；
 - d) Major changes in management systems and processes;管理体系及过程的重大变更。
 - e) Major changes in the organisation's business activities, products, processes, technology

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and environment;组织经营活动、产品、过程、技术及环境的重大变更;

- f) Quality accidents, environmental accidents, safety accidents and non-conformities found in national supervision and sampling inspections shall be notified within 2 days. Major accidents shall be notified within 24 hours;质量事故、环境事故、安全事故以及国家监督抽检中发现的不符合项，应在 2 日内通知；重大事故应在 24 小时内通知；
- g) Client's customers/stakeholders' major complaints against the management systems; 客户的顾客/利益相关方对管理体系提出的重大投诉；
- h) Products/services are failed to satisfy the statutory requirements judged by the law enforcement regulatory authorities, lead to serious incidents or violations causing intervention of supervision authorities and are judged as illegal;产品/服务被执法监管部门判定不符合法定要求，导致严重事件或违规行为引发监管部门介入并被认定为违法的情况；
- i) Information of defect products withdrawal and handling;缺陷产品召回及处理信息；
- j) Other changes, etc.其他变更等。

7.12. Responsible for the authenticity, comprehensiveness and accuracy of the provided application materials and audit evidence (including but not limited to the authenticity of the employee numbers covered by system). Clients shall take fully responsibilities for the certificate suspending or withdrawal due to falsified certificates/licenses, false inaccurate, incomplete evidence or data.对所提供的申请材料及审核证据（包括但不限于体系覆盖的员工人数的真实性）的真实性、完整性和准确性负责。若因证书/许可证伪造、证据或数据虚假、不准确、不完整导致认证被暂停或撤销，客户应承担全部责任。

7.13. Clients fail to complete the certification change within stipulated time will cause suspending or withdrawal of the certification.客户未在规定时间内完成认证变更的，将导致认证被暂停或撤销。

Revision History 修订历史

Revision # 修订号	Effective date 生效日期	Section 章节	Change Description 变更说明
A00	01/12/2020	All	Initial edition released.初始版本发布