QSP12-Product Certification General Procedure

产品认证通用程序

1.0 Purpose 目的

The purpose of this document is to describe the general procedure for the Product Certification (PC).本文档的目的是描述产品认证（PC）的通用程序。

2.0 Scope 范围

This procedure covers all the product to be certified and staff of ASCP.本程序涵盖 ASCP 的所有待认证产品和工作人员。

2.1. This procedure does not apply to specific requirements for variety products.本程序不适用于品种产品的特定要求。

3.0 Referenced Documents & Documented Information 参考文件和文件化信息

ISO/IEC 17021-1:2015	Conformity assessment–Requirements for bodies providing audit and certification of management systems - Part 1 Requirements. 合格评定。管理体系审核和认证机构的要求 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-提供管理体系审核和认证机构的要求-第 3 部分：质量管理体系审核和认证的能力要求
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的要求。
ISO/IEC 17067:2013	Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes 合格评定 产品认证的基础和产品认证方案的指南
QM-PC-ASCP	Quality Manual 质量手册
QSP20	Surveillance, Re-certification Management Procedures and ASRP 监督、再认证管理程序和 ASRP
QSP30	Appeals, Complaints and Disputes Management 申诉、投诉及争议管理
FR-CS 01	Certification Project Reviews Planning Textile Exchange TE 产品认证项目评审策划表
FR-DM 02	Certification Audit Review Confirmation Form 认证审核复核确认表
FR-DM 03	Textile Exchange Certification Decision Approval Form TE 认证决定审批表

4.0 Terms and Definitions 术语和定义

4.1. **QME:** Quality Management Executive.质量管理主管。

4.2. **EM:** Executive Manager.行政经理。

4.3. **AB:** Accreditation body.认可机构。

4.4. **LA:** Audit team leader. 审核组组长。

4.5. **A&T:** Audit and Testing.审核和测试。

4.6. **CAF:** Certification Application Form.认证申请表

4.7. **Multi-site Certification:** For companies that operate several facilities, designate a "Head Office", and manage one certificate. These kind of company is commonly large enterprise. 多场所认证：对于经营多个场所的公司，指定一个"总部"，并管理一个证书。这类公司一般都是大型企业。

4.8. **Group Certification:** Allows small, independent operations to join together to designate a "Group Manager" who oversees conformity of group members on a single certificate.联合认证：允许小型的、独立的操作联合起来，指定一个"团体经理"，负责监督团体成员在单个证书上的一致性。

4.9. **Inspection:** compliance evaluation based on observation and judgment, appropriately accompanied by measurement, detection and measurement.检验：在观察和判断的基础上进行符合性评价，并适当辅以测量、检测和测量。

4.10. **Surveillance visit and Inspection:** the inspection carried out by CB under on-site Surveillance of inspector using organisation's testing facilities.监督访问和检验：认证机构在检查员的现场监督下使用机构的检测设施进行的检验。

5.0 Roles and Responsibilities 角色和职责

5.1. DM is responsible for final review and approval of certification decisions of each process. 认证决定人负责对每个过程的认证决定进行最终审核和批准。

5.2. QME is responsible for management audit program, audit team composition, and report to EM.QME 负责管理审核程序，审核小组组成，并向执行经理报告。

5.3. Decision Support Unit/ Certification Unit is responsible for management audit team and provide advice of operation and/ or technology.决策支持组/认证组负责管理审核小组，并提供操作和/或技术建议。

5.4. Audit/inspection team is responsible for implementation of each audit/inspection project.审核/检查组负责每个审核/检查项目的实施。

5.5. LA is responsible for audit team management, leading the audit activities, report to Head of Certification Unit and QME, and completeness of audit report.审核组长负责审核组的管理，领导审核活动，向认证组和 QME 汇报，完成审核报告。

6.0 Application 申请

The process of Product Certification (PC) will commence with the receipt of application in the prescribed application form with information covering the common aspects as shown below by the applicant, along with an application fee.产品认证（PC）的程序将从收到申请人提交的规定申请表开始，申请表上的信息包括以下常见方面，以及申请费。

A variety of media and mechanisms can be used to collect this information at various times.

The applicant shall provide the following information:可以使用各种媒体和机制在不同时间收集这

些信息。申请人应当提供下列资料：

a) The product(s) to be certified, for some certification standard, name of the product should be scientific name;待认证产品，对于某些认证标准，产品名称应为学名

b) The standard(s)/ scheme(s) for which certification is sought,要求认证的标准/方案；

c) Name and the address of its physical location(s), significant aspects of its process and operations,其实际位置的名称和地址、其过程和操作的重要方面；

d) The applicable legal obligations,适用的法律义务；

e) Information relevant for the field of certification applied for, concerning the applicant, such as its activities, human and technical resources including laboratories and /or inspection facilities, functions and relationship in a larger corporation, if any;申请人与申请认证领域相关的信息，如其活动、人力和技术资源（包括实验室和/或检验设施）、在较大企业中的职能和关系（如有）；

f) Information concerning all outsourced processes used by the applicant that will affect conformity to requirements,申请人使用的影响符合要求的所有外包过程的相关信息；

g) The ASCP can establish appropriate contractual controls over that legal entity(ies). If such contractual controls are needed they can be established prior to providing formal certification documentation,ASCP 可以对该法律实体建立适当的合同控制。如果需要这种合同控制，可以在提供正式的证明文件之前建立。

h) Necessary information, data and files listed in questionnaire.问卷中所列的必要信息、数据和文件。

6.1. Multi-site or Group Certification 多场所或联合认证

For a multi-site/ group certification, it shall be fulfilled precisely with the name, address, activities and number of employees of each concerned sites in the application form.对于多场所或联合认证，应在申请表中准确填写各相关场所的名称、地址、活动和员工人数。

In order to have a precise and clear overview of the multi-site organisation, a chart displaying any available documentation justifying hierarchy and schemes will be required.为了对多场所组织有一个精确和清晰的概述，需要一个图表来显示任何证明层次结构和方案的可用文档。

The managerial chart, describing the hierarchy between different sites, must be submitted with one application form questionnaire per site within the scope of the certification.管理图表，描述不同场所之间的层次结构，必须与认证范围内每个场所的申请表问卷一起提交。

Certification management procedure at the site level shall be transmitted as well.还应传递现场级的认证管理程序。

Any available specifically document for certification to evaluate the dispositions of organisation(s) will also be submitted, in particular concerning the Chain of Custody or monitoring of products and the responsibilities taken at group level and at the level of each group member or of each site.还将提交任何可用的专门用于评估组织处置的认证文件，特别是关于监管链或产品监控以及集团层面和每个集团成员或每个场所层面所承担的责任。

7.0 Application Review 申请评审

The assigned responsible application reviewer shall conduct a review of the information obtained with the application to ensure that:指定的负责的申请审核员应对从申请中获得的信息进行评审，以确保：

a) The information about the applicant and the product is sufficient for the conduct of the certification process;关于申请人和产品的信息对认证过程的实施是足够的；

b) The differences, if any, in understanding between ASCP and the Client is resolved including agreement regarding standard;解决 ASCP 与客户在理解上的分歧，包括关于标准的协议；

c) The scope of certification sought is defined;确定要求认证的范围；

d) The competent ASCP personnel to perform all evaluation activities are available;具备执行所有评价活动的合格 ASCP 人员；

e) The competence and capability to undertake the certification activity such as review and decision making process.承担评审、审核等认证活动的能力和能力

When new category product application is received, ASCP will identify product, processes and services, national standards and certification scheme if the ASCP has no prior experience. ASCP will start the process of developing national standards and certification scheme for such areas. 当收到新类别产品申请时，如果 ASCP 之前没有经验，ASCP 将识别产品，流程和服务，国家标准和认证方案。ASCP 将启动制定这些领域的国家标准和认证计划的进程。

When ASCP lacks competence for the certification activities applied for, the application will be declined to undertake certification in such areas.当 ASCP 对所申请的认证活动缺乏能力时，将拒绝其在该领域进行认证的申请。

❖ **Exemption 豁免**

When applicant has exception request for exemption of certain scheme or application reviewer believe the possibility of exemption of certain scheme, applicant is required to submit the justification and all necessary supporting information.当申请人提出豁免某些计划的例外要求或申请评审员认为豁免某些计划的可能性时，申请人必须提交理由和所有必要的证明资料。

Application reviewer shall verify the solid evidences and provided information to confirm the feasibility of exemption. Review shall refer to standard requirements for verification, if there are stipulated exemption requirements in relevant standard.申请评审员应核实其提供的确凿证据和信息，以确认豁免的可行性。评审参照标准要求进行验证，相关标准中有规定豁免要求的。

According to requirements of some standards, some specific exemption shall be granted by approval of scheme owner.根据某些标准的要求，某些特定的豁免需经方案所有者批准。

If there is a scope exemption already covered the applicant's situation, application review can grant exemption directly.如果豁免范围已经涵盖申请人的情况，申请评审可以直接给予豁免。

The result shall be informed to the applicant, if exception request is denied, the justification shall be explained too. The exemption applicant shall also be notified and acknowledge that each granted exemption is ONLY applicable for each application and NOT auto-granted in further application. 评审结果应当告知申请人，驳回例外请求的，还应当说明理由。豁免申请人亦须获通知，并承认每项获批的豁免只适用于每项申请，而不会在进一步的申请中自动获批。

All issued exemptions shall be recorded and reported to scheme owner.所有已发出的豁免均应记录并报告给计划所有者。

7.1. Application Rejection 拒绝申请

ASCP may reject an application for certification when there are fundamental or known reasons such as illegal activities, inappropriate behavior, outstanding payment, etc.ASCP 可以在有根本原因或已知原因的情况下拒绝认证申请，如非法活动、不当行为、未付款等。

ASCP may reject an application for certification of management units or sites that are already covered by a valid or suspended product certification, except where a certification transfer

process is ongoing.ASCP 可以拒绝已经获得有效或暂停产品认证的管理单位或场所的认证申请，但正在进行认证转移过程的除外。

Additionally, the application will be rejected for following cases before the compliance settlements upon these specific cases with solid evidences:此外，以下案件的申请将被拒绝，在这些具体案件有确凿证据的合规解决之前：

- certification ban from standard/ scheme owner;标准/方案所有者禁止认证；
- a conflict of interest that could undermine the impartiality of certification decisions;可能破坏认证决定公正性的利益冲突；
- a geographical location that makes certification technically impossible or risky for those involved;地理位置使认证在技术上不可能或对相关人员有风险；
- the lack of qualified personnel to meet the specific requirements of the request;缺乏符合具体要求的合格人员；
- a termination of contract following a decision by ASCP with 3 years period;在 ASCP 决定后终止合同，期限为 3 年；
- other ongoing or about to happened conditions of force majeure within the planned certification evaluation period, such as nature disaster, serious epidemic explosion, etc 其他在计划认证评估期内正在发生或即将发生的不可抗力情况，如自然灾害、严重疫情爆炸等。

The rejection can be temporary or permanent depends on the nature and serious level of cases falling into the scope of rejection.根据属于排除范围的案件的性质和严重程度，排除可以是暂时的，也可以是永久性的。

7.2. Application Registration 申请登记

When application reviewer confirms the application fulfilling the requirements of the certification scheme, the application will be registered and provided a unique application number.当申请评审员确认申请符合认证计划的要求时，申请将被注册并提供唯一的申请编号。

The unique number will be alpha numeric, for example, standard-ID-yyyyyy-01, which will be the number for the first application.唯一的数字将是字母数字混合，例如，TE-16-201201-01，这将是第一个申请的编号。

The application Register Form is used record applications in a chronological order.申请注册表用于按时间顺序记录申请。

7.3. Application Closure 申请关闭

If application does not progress for grant of certificate within 6 months or other period required by specific standard, the application should be considered for closure. And the applicant will be notified two times:如果申请在 6 个月内或特定标准规定的其他期限内未取得进展，则应考虑终止申请。申请人将获两次通知：

a) When the time near application closure, ASCP will remind the applicant and confirm the intention of continuing certification;临近申请结束时，ASCP 会提醒申请人并确认继续认证的意图；

b) After application closure, ASCP will notify the applicant about the closure of application. 申请结束后，ASCP 将通知申请人申请结束。

7.4. Proposal to Agreement 协议提案

Upon the return of the duly filled and signed application form, ASCP will prepare a certification proposal along with a quotation based on the information provided by the applicant. The quotation may fluctuate due to changes in audit workload caused by particular cases and/ or different evaluation types. 在申请人提交填妥并签署的申请表后，ASCP 将根据申请人提供的信息准备一份认证建议和报价。报价可能会因特定案例和/或不同评估类型导致的审核工作量变化而波动。

The applicant shall review, confirm and sign the proposal and quotation developed by ASCP. When the signed proposal is sent back, the proposal becomes a legitimate contract between the Client(previous called "applicant") and ASCP.申请人对 ASCP 制定的方案和报价进行审核、确认并签字。当签署的提案被发回时，该提案成为客户（以前称为"申请人"）与 ASCP 之间的合法合同。

At this step, the Preliminary Audit (Pre-audit) is optional and will be conducted by ASCP upon the request of the Client.在这一步，初步审核（预审核）是可选的，应客户要求由 ASCP 进行。

7.5. Document review (DR) and Risk assessment 文件评审和风险评估

By receipt of fulfilled application form, questionnaire, and their appendixes along with supporting documents, leader auditor (audit team leader) shall conduct document review and risk assessment to grade the risk level of auditee(site). This is an very important and necessary step to evaluate the complexity and maturity of the auditee, which allowing LA to make an appropriate and professional audit plan.审核组组长（审核组组长）收到填写完整的申请表、调查问卷及其附件及证明文件后，进行文件评审和风险评估，对被审核组（现场）进行风险等级评定。这是评估被审核方的复杂性和成熟度的一个非常重要和必要的步骤，它允许审核组长制定适当和专业的审核计划。

Through DR and risk assessment, LA can also make a basic sampling plan, if required by the standard, which shall be sufficient and typical. Where a calculated sample size is required, the calculated sample size shall only be rounded up to the next integer. (e.g. a calculated sample of 5.2 means a sample size of 6 shall be sufficient for the audit.)通过文件评审和风险评估，审核组长也可以制定一个基本的抽样计划，如果标准要求，该计划应该是充分的和典型的。需要计算样本量的，计算样本量只能四舍五入到下一个整数。（例如，计算样本为 5.2 意味着 6 个样本就足够进行审核了。）

7.6. Audit Plan 审核计划

Based on the outcomes of DR and risk assessment, an audit plan shall be developed by LA and send to client/site for confirmation. If a reasonable objection raised, LA has right to change audit plan or not, but must explain the reason to client/site. Final audit plan must be agreed on the consensus of all parties. The changing shall be recorded in the audit report.根据文件评审和风险评估的结果，由审核组长制定审核计划并发送给客户/现场确认。如果提出合理的反对意见，审核组长有权更改或不更改审核计划，但必须向客户/现场解释原因。最终的审核方案必须经过各方的一致同意。变更应记录在审核报告中。

Different schemes may have different requirements of audit plan, but basic information shall be listed as below:不同方案对审核计划的要求可能不同，但应列出以下基本信息：

- audit team;审核小组；
- standard and version;标准及版本；
- audit type;审核类型；
- audit duration;审核时间;
- audit mode;审核模式；
- ASCP outsourcing information;ASCP 外包信息；
- audit manday(s);审核人日；

- audit timetable;审核时间表；
- notification.通知。

8.0 Main Audit Program Establishment 主审核程序的建立

8.1. QME shall establish Audit Program, according to application information, certification service contract of each certification project.QME 应根据申请资料、各认证项目的认证服务合同建立审核程序。

8.2. Objectives of the Audit Programme include:审核方案的目标包括：

a) To meet requirements for audit implementation process control and provide necessary guidance for audit;满足审核实施过程控制的要求，为审核提供必要的指导；

b) To meet the requirements of PC standards/ schemes;满足 PC 标准/方案的要求；

c) To meet requirements of laws and legal regulations, requirements of AB and CNCA/CNAS for audit work, and needs of certification contracts and the auditee;满足法律法规的要求，满足 AB 和 CNCA/CNAS 对审核工作的要求，满足认证合同和被审核方的需要；

To control risks of audit activities and certification work.控制审核活动和认证工作的风险。

8.3. The scope and level of Audit Program shall take into account following factors:审核计划的范围和水平应考虑以下因素：

a) PC inspection, sampling and testing;产品认证检验、抽样和测试；

b) Initial, Surveillance and re-certification;初始、监督和再认证；

c) audit of PC;产品认证的审核；

d) Systematic and complete audit/inspection, audit with targeted part(s);系统、完整的审核/检查，有针对性的部分进行审核；

e) Size, nature of auditee, complexity of product and activity processes to be certified;被审核方的规模、性质、待认证产品和活动过程的复杂程度；

f) Single site, multi-site audit/inspection;单场所、多场所审核/检查；

g) Results of previous certification or its received previous audit/inspection;以前的认证结果或以前接受的审核/检查结果；

h) Monitoring on audit/inspection frequency and cycle interval, and timing of re-certification;审核/检查频率、周期间隔、再认证时间的监控；

i) Adjustment of applicable standards, laws and regulations, policies, and changes in accreditation and certification requirements;适用标准、法律法规、政策的调整，认可和认证要求的变化；

j) Client and stakeholders concerns and complaints, results of government agency's surveillance spot check or inspection;客户和利益相关者的关注和投诉，政府机构监督抽查或检查的结果；

k) Linguistic, cultural and social factors.语言、文化和社会因素。

8.4. Content to be identified usually includes:要识别的内容通常包括：

a) Frequency and timing of initial, Surveillance and re-certification audits;初始、监督和再认证审核的频率和时间安排；

b) Purpose, scope and guidelines of the audit;审核的目的、范围和指导方针；

c) Client categories and risk levels;客户类别和风险等级；

d) Time and other resources required to complete audit;完成审核所需的时间和其他资源；

e) Multi-site and sampling arrangements;多场所和采样安排；

f) Related to auditors, including: 与审核员相关，包括：

i. Identification of LA;审核组长的识别；

ii. audit team professional competency; and 审核组专业能力；

iii. audit team member(s).审核小组成员。

g) Arrangement of each audit, including Audit Program, combined audit, joint audit, etc. 每次审核的安排，包括审核方案、结合审核、联合审核等。

8.5. Responsibilities for Quality Management Executive (QME): 质量管理主管（QME）职责：

a) QME is responsible for determining purpose and scope of Audit Program;QME 负责确定审核方案的目的和范围；

b) project administrator is responsible for appointing LA and selecting the audit team and shall clearly state the tasks of audit team and provide documents and information for audit/inspection;项目管理负责任命审核组长和选择审核组，明确审核组的任务，提供审核/检查所需的文件和资料；

c) LA is responsible for communicating with QME, auditee, the on-site implementation and conclusion of audit/inspection;审核组长负责与 QME、被审核方、审核/检查的现场实施和结论进行沟通；

d) QME is responsible for reviewing the relevant records of each audit;QME 负责对每次审核的相关记录进行评审；

e) Audit Program shall be supervised (but not limited to) by:审核程序应由（但不限于）以下人员监督：

i. Evaluation of audit/inspection team performance and competence by project administrator;项目管理者对审核/检查组绩效和能力的评价；

ii. Feedback from auditee and audit team members.被审核方和审核组成员的反馈。

iii. Evaluate of performance and competency of auditor/inspector or audit team by evaluator.评估员对审核员/审核员或审核组的绩效和能力进行评估。

8.6. QME shall make adjustment and supplement of Audit Program and its management information for following cases:针对以下情况，QME 应对审核方案及其管理信息进行调整和补充：

a) When expanding new certification field or the certification business scope ;拓展新的认证领域或认证业务范围时；

b) When part of content is not applicable or changed;拓展新的认证领域或认证业务范围时；

c) QME own needs of management, operation process, information management system, etc. QME 自身对管理、运行流程、信息管理体系等方面的需求。

8.7. Operating documents shall be prepared and clarify the following contents : 编制操作文件，明确以下内容：

a) Responsibilities and competency requirements of audit/inspection team, team leader,

member;审核/检查组、组长、成员的职责和能力要求；

b) Key points and methods of document review;文件评审要点和方法；

c) Audit Program and development requirements;审核方案和开发要求；

d) Site audit/inspection procedures and professional instructions;现场审核/检查程序和专业规程；

e) Procedures for product/sample extraction, marshaling, on-site Surveillance and inspection;产品/样品提取、编组、现场监视和检查程序；

f) Requirements and procedures of certification process professional management ;认证过程专业化管理的要求和程序；

g) Review the arrangements for follow-up activities, including guidelines on value-added services;审查后续活动的安排，包括关于增值服务的准则；

h) Contingency plan;应急计划;

i) Monitoring, review and improvement for Audit Programme and each audit/inspection; 审核方案和每次审核/检查的监督、评审和改进；

j) Collection, review and transmission of audit records;审核记录的收集、评审和传递；
Supporting documents:

- ✓ manufacture quality assurance capability inspection report;制造质量保证能力检验报告；
- ✓ inspection commission;检查委员会;
- ✓ inspection sampling sheet.检验抽样单。

Specific requirements refer to documents of each specific PC standards/ schemes.具体要求参考各具体产品认证标准/方案的文件。

8.8. Multi-site (or Group) certification 多场所（或联合）认证

If the applicant applies for a Multi-site (or Group) certification, the CAF shall be filled precisely with names of sites, address, numbers of employees and activities of all the participating sites falling into the scope of certificate.如果申请人申请多场所（或联合）认证，则申请表应准确填写证书范围内所有参与场所的名称、地址、员工人数和活动。

In order to have a clear overview of the Multi-site (or Group) organisation, an documented organigram will be required to indicate any hierarchy and schemes.为了对多场所（或联合）组织有一个清晰的概述，将需要一个文档化的组织图来指示任何层次结构和方案。

ASCP will evaluate the sampled site(s) to be audited in according with the standards requirements of product to be certified. ASCP 将根据待认证产品的标准要求对待审核的取样场所进行评估。

9.0 Main Audit 主要审核

Main Audit can be onsite audit or remote audit (if applicable and permitted by standard/ scheme).主审核可以是现场审核或远程审核（如果标准/方案允许的话）。

Remote audit will require supporting evidence from the Organisation prior to remote audit.远程审核需要组织在远程审核前提供支持性证据。

The ASCP based on the information provided in the application and the preliminary audit report determines the mandays required for a complete audit process. A team is then constituted of Technical auditors competent to carry out audit.ASCP 根据申请中提供的信息和初步审核报告确定完成审核过程所需的工作日。然后由技术审核员组成一个小组，负责进行审核。

If any valid reasons for change in the team composition are received from the Client it is examined on the basis of any conflict of interest.如果从客户处收到任何变更团队组成的正当理由，则根据是否存在利益冲突进行审查。

The Audit Team will carry out full factory audit of the products against the requirements covered by the scope defined in its application including requirements specified in the certification scheme as follows:审核组将根据其应用范围所规定的要求，对产品进行全面的工厂审核，包括以下认证计划中规定的要求：

a) General information about company and its product;公司及其产品的一般情况；
b) Raw materials used for the production;用于生产的原材料；
c) Manufacturing process or other business activities;生产过程或其他经营活动；
d) Inspection on competency of laboratory and testing personnel;实验室和检测人员的胜任能力检查；
e) Equipment of manufacturing and testing;制造和检测设备；
f) Natures of packing and marking of products;产品的包装和标识性质；
g) Sampling at the factory;工厂抽样；
h) Third party test reports;第三方检测报告；
i) In-house test records;内部检测记录；
j) Calibration and certificates of equipment;设备的校准和证书；
k) Other information such as storage facilities, marketing and hygienic conditions etc.;其他信息，如储存设施、销售和卫生条件等；
l) Inspection/ testing charges;检验/测试费用；
m) Recommendation and points for action.建议和行动要点。

10.0 Sampling 抽样

10.1. Product Sample 产品样本

Product Certification team shall arrange competent inspectors or inspectors of outsourced inspection institutions to fill out sampling forms and take sampling based on requirements of Product Certification Program. Samples shall be sent to the designated testing subcontractor.产品认证组根据《产品认证计划》的要求，安排有资质的检验人员或委托检验机构的检验人员填写抽样表，进行抽样。样品应发送给指定的测试分包商。

The team shall take samples for independent testing in accordance with specific guidelines of standard/ scheme for Drawl, Coding, Sealing and Dispatch of Samples.团队应按照样品抽取、编码、密封和发送的具体标准/方案的指导方针进行独立测试。

10.2. Interview Sample 采访样本

Where interview is required, LA shall assign employee interview task, besides management interview. Interview of all employees is impossible and unfeasible due to the audit schedule limitation. Interview sample shall be adopted and consider gender, age, position, some individual situation, etc.如果需要面试，除了管理层面试外，审核组长还要安排员工面试任务。由于审核进度的限制，对所有员工进行面谈是不可能的，也是不可行的。采用访谈样本，并考虑性别，年龄，职位，一些个人情况等。

When a sample plan has been made as per Clause 7.5, LA shall decide to change sample plan or not based on the actual conditions of auditee. If a change is made, LA shall describe the justification in the audit report.当样品计划已按第 7.5 条的规定制定后，审核组长应根据被审核方的实际情况决定是否更改样品计划。如果进行了变更，审核组长应在审核报告中说明变更的理由。

A brief report (NC Report)of the audit especially indicating the nonconformities (NCs) will be

provided to the Client and seeking time taken for corrective action by the Client.审核的简要报告（NC 报告），特别注明不符合项（NC），将提供给客户，并争取客户采取纠正措施的时间。

Depending on the nature of NCs and if the Client expresses interest in continuing the certification process, ASCP shall decide whether additional evaluation tasks needed to verify that NCs have been corrected at site.根据不符合项的性质，如果客户表示有兴趣继续进行认证过程，ASCP 应决定是否需要额外的评估任务来验证不符合项已在现场得到纠正。

11.0 Review and Recommendation 复核和建议

The ASCP shall assign at least one person to review all information and results related to the evaluation. The review shall be carried out by personnel who have not been involved in the evaluation activities.ASCP 应指派至少一人审核与评价有关的所有信息和结果。评审应由未参与评价活动的人员进行。

The results of all evaluation activities as given below shall be documented prior to review. This documentation can provide the basis whether product requirements have been fulfilled:所有评价活动的结果如下所示，应在评审前形成文件。本文件可为产品要求是否得到满足提供依据：

a) NC Report/audit Report;不符合报告/审核报告;
b) Review evidence when necessary;必要时的审核证据；
c) Report of samples tested in an independent laboratory.在独立实验室检测样品的报告。

The report reviewer will submit the reviewed report including recommendations for consideration by the DM.报告复核将提交审查后的报告，包括供认证决定人审议的建议。

12.0 Certification Decision 认证决定

Certification decision shall be the sole responsibility of the ASCP and the decision shall be taken by the internal person competent for the job. The ASCP shall be responsible for and shall retain authority for its decisions relating to certification.认证决定由 ASCP 全权负责，并由内部胜任该工作的人员作出决定。ASCP 应负责并保留其与认证有关的决定的权力。

The certification decision is carried out by a qualified certification decision make or a qualified member of Certification Committee which has not been involved in the evaluation process. Any one who has been involved in the evaluation process shall abstain from the meeting to avoid any conflict of interest.认证决策由合格的认证决定人员或认证委员会的合格成员执行，该成员未参与评估过程。任何参与评估过程的人员应回避会议，以避免任何利益冲突。

The decision maker will take the certification decision on the recommendations of LA based on all information related to the evaluation, its review, and any other relevant information.Client will be notified the decision made by ASCP and the reason if certificate is not granted.决策者将根据与评估、审查和任何其他相关信息相关的所有信息，根据审核组长的建议做出认证决定。

- For Multi-site (or Group) certification, Five (5) or more issued Major NCs to the Head Office of a group or multi-site will result in the suspending of the entire certification. Five (5) or more issued Major NCs to the participating site of a group or multi-site will result in suspending certification of that certain participating site but will not necessarily result in the suspending of the entire certificate. If NC of the participating-site level is identified to be the consequence of the Head Office's performance, this NC may result in the NC at the Head Office level.对于多场所（或组）认证，向组或多场所的总部发出五(5)个或更多主要不符合将导致整个认证暂停。五(5)个或更多的主要不符合颁发给一个组或多场所的参与场所将导致暂停该特定参与场所的认证，但不一定导致暂停整个证书。如果参与现场级别的不符合认定是总部绩效的结果，则该不符合可能导致总部级别的不符合。

13.0 Certificate Granting 证书发放

ASCP will ensure completion of the following actions for granting certificate:ASCP 将确保完成以下授予证书的操作：

a) The factory is satisfactory;工厂令人满意；

b) The corrective actions on NCs raised have been implemented and verified either by site visit or other appropriate forms of verification;已通过实地考察或其他适当的核查形式实施和核实所提出的不符合项纠正措施；

c) NCs pointed out during Main Audit have been addressed and verified by field visits to the Client or through submission of necessary evidence by the Client;主审核期间指出的不符合项已通过对客户的实地考察或客户提交的必要证据得到解决和核实；

d) The test report(s) of the sample(s) drawn by the technical auditor during the Main Audit and follow-up visits, if any is found to be satisfactory; If samples of more than one variety were drawn for testing, the grant of certificate shall be recommended restricting to the variety/ group/ sizes(s)/ type(s) found satisfactory in testing,技术审核员在主审核和跟踪访问期间抽取的样品的检测报告（如有满意的）；如抽取多于一个品种的样本作测试，则建议只发给测试结果满意的品种/组别/大小/类型；

e) The testing charges as well as charges for all visits to the Client before the grant of certificate have been paid;检测费用以及颁发证书前所有拜访客户的费用；

f) the Client has got all the testing facilities or has made arrangements for carrying out all the tests to the satisfaction of the ASCP;客户已获得所有测试设施或已安排进行所有测试，使 ASCP 满意；

g) the Client has declared the brand names/ trade mark which would carry the Standard Mark and has declared their manufacturing machinery and testing equipment;客户已申报将带有标准标志的品牌名称/商标，并已申报其生产机械和检测设备；

h) the Client has maintained updating with ASCP, whenever any machinery or equipment declared is taken out of the scopes due to any reason;客户在其申报的任何机器或设备因任何原因被移出范围时，保持向 ASCP 进行更新；

i) the Client has accepted the scheme of Audit and Testing(A&T) and the rate of marking fee;客户已接受审核和测试方案及阅卷费费率；

j) Necessary approval has been obtained from statutory authorities under product specific guidelines, if required.如果需要，已根据产品特定指南从法定机构获得必要的批准。

After the certificate is granted, ASCP will notify the firm about the grant of certificate. The certificate document will be sent to the auditee signed by GM.证书颁发后，ASCP 将通知公司颁发证书的情况。证书文件将由总经理签署后发送给被审核方。

In the event ASCP declines to grant certification, ASCP shall notify the Client about the decision indicating the reasons for not granting certificate.如果 ASCP 拒绝授予认证，ASCP 应将决定通知客户，并说明不授予认证的原因。

14.0 Surveillance Audit & Use of Certification Mark 认证标志的监督审核和使用

Every licensee will be visited at least once a year for Surveillance Audit to ensure that the same auditor will not visit the same factory successively. Frequency may be adjusted depending on the performance of the licensee and sensitivity of the product.每个持证人每年至少接受一次监督审核，以确保同一审核员不会连续访问同一工厂。频率可根据持证人的性能和产品的灵敏度进行调整。

If sufficient information regarding product conformity is not available before recertification, a surveillance visit shall be carried out after giving notification to the licensee.如果在再认证前没有足够的产品符合性信息，应在通知持证人后进行监督访问。

14.1. Preparation for Surveillance Audit 监督审核准备

Before proceeding for Surveillance Audit, the auditors shall,在进行监督审核之前，审核员应：

a) Study the relevant certification standard and the requirements prescribed therein thoroughly;深入学习相关认证标准及其规定的要求；

b) Acquaint themselves completely with the laboratory procedures that have to be adopted to test the requirements given in the specification;完全熟悉为测试规范中规定的要求而必须采用的实验室程序；

c) Examine conditions, if any, imposed at the time of grant of certificate/re-certification/ expending and any other aspects requiring verification during the subsequent visit;检查在颁发证书/再认证/消费时施加的条件（如果有的话）以及在随后的访问中需要验证的任何其他方面；

d) Study at least the last two surveillance visits reports as well as any contact reports of the visits and note down the corrective actions which the licensee had been asked to take;至少研究最近两次监督访问报告以及访问的任何联系报告，并记录持证人被要求采取的纠正措施；

e) Study the correspondence exchanged communication records with the licensee after last audit and note down the points on which action by licensee is pending, such as, dispatch of samples drawn, payment of bills, etc.; and 研究上次审核后与持证人的通信交流记录，记下持证人待采取行动的要点，如样品的发放、账单的支付等；和

f) Check whether any sample had failed in independent tests and the correspondence and actions taken regarding the failure.检查是否有样品在独立测试中不符合，以及针对该不符合所采取的对应措施。

14.2. Onsite Surveillance Audit 现场监督审核

During the onsite visit, the auditors should:在现场考察过程中，审核员应：

a) Inspect thoroughly with respect to raw materials, storage and manufacturing process; 对原材料、贮存和生产过程进行彻底检查；

b) Check available relevant standards, A&T etc. and examine the various test procedures that are being followed to ensure that these procedures are according to the specification;检查现有的相关标准、审核和测试等，检查所遵循的各种测试程序，确保这些程序符合规范；

c) Check records of production, laboratory testing and calibration of equipment/ instruments;检查设备/仪器的生产、实验室检测和校准记录；

d) Check if there is any change regarding materials, products, and the manufacturing machinery and test equipment declared earlier;检查之前申报的材料、产品、生产机械和检测设备是否有变更；

e) Sign records indicating the date of visit and record observations about any improvements needed in maintaining the records;在记录上签名，注明访问日期，并记录记录维护中需要改进的意见；

f) Draw samples of the material in adequate quantity with the Standard Mark and test it in the factory, if necessary;抽取足够数量的样品并打上标准标志，必要时在工厂进行测试；

g) Draw another sample with the Standard Mark preferably of different type/ size/ grade/ lot/ control unit should be drawn for independent testing;重新绘制有标准标志的样品，最好绘制不同类型/尺寸/等级/批号/控制单元的样品进行独立检测；

h) If applicable, take down names and addresses of the consumers to whom the product with the Standard Mark has been recently supplied to facilitate market sampling;在适用的情况下，记录最近向其供应带有标准标志产品的消费者的姓名和地址，以便于市场抽样；

i) Ensure that the Standard Mark is removed from the batches or control units which are failed to pass testing;确保从检测不符合的批次或控制单元上除去标准标志；

j) Ensure that samples drawn during previous onsite audit(s) and left with the auditee if any, have been dispatched to the desired laboratory;确保在以前的现场审核中抽取的样品和留给被审核方（如果有的话）的样品已送到所需的实验室；

k) Discuss on details of improvements made in management/ process/ quality/ supply chain control with specific requirements on the NCs observed during surveillance visits and testing of samples.讨论管理/过程/质量/供应链控制方面的改进细节，并对在监督访问和样品测试期间观察到的不符合品提出具体要求。

14.3. Multi-site or Group Certification 多场所或联合认证

If new participating sites being added to the scope of a multi-site or group certificate at the time of a surveillance evaluation or re-evaluation, new sites shall be considered as an independent set for the determination of the sample size. After the inclusion of new participating sites in the certificate scope, the new sites will be added to existing sites to finalise the sample size of future surveillance evaluations or re-evaluations.如果在监测评估或重新评估时，新的参与场所被添加到多场所或联合证书的范围中，则新场所应被视为确定样本量的独立集合。在将新的参与场所纳入证书范围后，新场所将添加到现有场所中，以最终确定未来监测评估或重新评估的样本量。

An increase or decrease in the Participating Sites of a group certification will not be considered as a change of scope unless, in the opinion of ASCP, the change of site numbers will require significant changes to the group certification licensee's management systems.联合认证参与场所的增加或减少不视为范围的变化，除非 ASCP 认为，场所数量的变化将要求联合认证持证人的管理体系发生重大变化。

14.4. Surveillance Audit Report 监督审核报告

After Surveillance audit, LA should complete report, and the conclusions regarding the licensee's operation of the certificate, particularly, if the operation is not satisfactory. Surveillance audit report should focus on both current operation status and NCs of last audit (even if NC is corrected).监督审核后，审核组长应完成报告，并就持证人对证书的操作得出结论，特别是如果操作不令人满意。监督审核报告应关注当前运行状况和上次审核的不符合项（即使不符合项已被纠正）。

14.5. Surveillance Audit Review and Decision 监督审核复核和决定

Certification reviewer of Surveillance audit shall follow the procedure of Section 12.0.监督审核的认证审核员应遵循第 12.0 条的程序。

Certification decision maker shall follow the procedure of Section 13.0. It is suggested that decision maker assignment should follow the requirement of auditor rotation for maintaining impartiality of certification.认证决定人员应遵循第 13.0 节的程序。建议决策者分配应遵循审核员轮转的要求，以保持认证的公正性。

14.6. Sampling and Failure of Manufacture/Market Sample 生产/市场样品的抽样和失效

In the event that manufacture samples drawn from the production line or market samples collected from authorised dealers fail in the laboratory tests then the matter shall be recorded and submitted to ASCP for recommendations from the EM.如果从生产线上提取的生产样品或从授权经销商处收集的市场样品在实验室测试中不符合，则应记录此事并提交给 ASCP，由执行经

理提出建议。

A notification shall be sent to the factory regarding the failure of the samples and a decision based on the severity of the case.如果样品不符合，应通知工厂，并根据情况的严重程度作出决定。

14.7. Supervision 监督

The Head of the Certification Unit may assign different auditors to pay periodic surprise visits to the licensees for new products brought under certification and licensees whose performance is inconsistent to ensure that the procedures are strictly followed both by the licensees and the auditors.认证组主管可指派不同的审核员，定期突访核证新产品的持证人及表现不一致的持证人，以确保持证人及审核员均严格遵守认证程序。

14.8. Surveillance of Certification Mark Usage 认证标志使用的监督

Besides monitoring certification maintenance, product quality and Conformity of certification,it is also necessary to supervise the use of certification marks.

除监控认证保持、产品质量和认证符合性外，还需要对认证标志的使用进行监督。

a)the organisation have procedures in place to provide a clear and accurate guidance on using "Logo(s)".组织制订程序，就“标志”的使用提供清晰及准确的指引。

b)The format, color, size, position and accuracy of language of the standard logo.标准标志的格式、颜色、尺寸、位置、文字使用的准确性。

c)Make a commitment to the use of the corresponding marks and use the copyright symbols of the Textile Exchange correctly.对相应标志的使用做出承诺并正确的使用纺织品交易所版权符号。

d)The application of the standard mark complies with the requirements of the General Guidelines. If a copy of the mark is required, it shall be obtained through a certification body.标准标志的应用符合《通用指引》的要求，如需标志副本则是通过认证机构获得。

15.0 Renewal 年审

A renewal notice as per prescribed proforma will be issued to the licensee Three(3) months before the expiry of current certificate.本机构会在现行证书届满前三(3)个月，按订明的形式向持证人发出续期通知。

The licensee should submit the prescribed renewal application at least One(1) month in advance of the expiry of the certificate.持牌人须在牌照有效期届满前最少一(1)个月提交订明的续期申请。

15.1. Review of Application for Recertification 重新认证申请的复核

All information regarding the surveillance visits carried out during the valid period and the manufacture and market samples drawn and tested during the valid period should be given.应提供在有效期内进行的监测访问以及在有效期内抽取和检测的生产和市场样本的所有信息。

The information about pending actions, and samples under test at the time of previous renewal shall also be included.还应包括之前更新时待定行动的信息和正在测试的样品。

15.2. Renewal and Deferment of Renewal 续期和延期续期

Certificate is considered for renewal when the renewal application is received before the date of expiry with satisfied performance and cleared dues stand.如在证书期满前收到续期申请，而证书

的表现令人满意，并已结清欠费，则证书会获考虑续期。

Certificate shall not be considered for renewal when the application is not received even after One (1) month of the expiry date or when the application is received and overall assessment of performance is unsatisfactory and there exist no or little possibility of improvement.如果在到期日一(1)个月后仍未收到申请，或者收到申请，但总体绩效评估不令人满意，没有或几乎没有改进的可能性，则不考虑证书的续期。

After the renewal orders, necessary endorsements shall be prepared for signatures of the ASCP on the original certificate submitted by the licensee within One (1) month.在续签令下达后，应在一(1)个月内准备必要的批注，以便在持证人提交的原始证书上签署 ASCP。

Certificate Renewal will be deferred if:在下列情况下，证书续期将被推迟：

a) Renewal application is not submitted within the validity period or before the expiry date, the submitted renewal application is an incomplete form;未在有效期内或期满前提交续期申请的，提交的续期申请表格不完整；
b) The certificate is under suspension at the end of validity period the renewal will be deferred for a period of Six (6) months;在证书有效期结束时，证书处于暂停状态，续签将延迟六(6)个月；
c) Renewal application has been received but overall performance needs improvement which may require not more than Two (2) months from the expiry date.已收到续期申请，但整体性能需要改善，从到期日起可能需要不超过两(2)个月的时间。

15.3. Cancellation of Certificate 取消证书

Certificate will be canceled when the normal operation of a certificate is not feasible due to violation and also on account of following reasons:因下列原因导致证书无法正常运行时，证书将被取消：

a) NC of serious nature affecting health and safety is observed during audit or independent testing;在审核或独立检测中发现严重影响健康和安全的不符合因素；
b) Any violation of the certification provisions or the A&T are considered serious in nature; 违反认证规定或 A&T 规定情节严重的；
c) The corrective action towards the NC and/ or observation are found inadequate or time taken is too long (Six (6) months or more).发现不符合的纠正措施和/或观察不足或时间过长（六(6)个月或更长）。
d) If the licensee does not wish to maintain the certificate and should notify ASCP to that effect;如果持证人不希望保留证书，并应就此通知 ASCP；
e) If the standard is amended/ revised and implemented and the licensee either will not or cannot ensure compliance to the new requirements;如有关标准经修订/修订及实施，而持证人不会或不能确保符合新规定；
f) If a complaint against ASCP certified product is found to be genuine, cancellation of the certificate may be considered depending upon the seriousness of the complaint.如果发现对 ASCP 认证产品的投诉是真实的，根据投诉的严重程度，可能会考虑取消证书。

The cancellation notice on the recommendations of the Head of Certification Unit should be issued by GM. The cancellation notice shall give Fourteen (14) days consideration to the licensee. 根据认证组负责人的建议，取消通知应由总经理发出。取消通知应给予持证人十四（14）天的考虑时间。

15.4. Suspension of Licence 暂停许可

Suspension shall be based on unsatisfactory performance of the product and/ or management system, and when product and/ or management system does not conform to specific standards/ schemes:当产品和/或管理体系表现不理想时，当产品和/或管理体系不符合特定标准/方案时，应暂停：

a) Marked product for varieties not covered under the certificate;证书上未注明品种的标识产品；
b) Violation of bond provisions;违反担保规定的；
c) Violation of certification maintenance conditions;违反认证保持条件的；
d) Suspension based on unforeseen situations.基于意外情况的暂停。

A certificate may be suspended on the request from the licensee, if the operation(s) within scopes can no longer be carried due to:如持照人因下列原因不能继续进行范围内的业务，可应持证人的要求暂停签发证书：

a) Force majeure such as flood, fire, earthquake etc.;洪水、火灾、地震等不可抗力；
b) A suspension declared by the licensee's management;持证人管理层宣布的暂停牌照；
c) Closure of operations directed by a competent court or statutory authority.由有管辖权的法院或法定当局下令关闭业务。

16.0 Fee Structure 费用结构

The fee is charged per product per brand. The amount of each process of certification variety based on specific fee structure of different standards/ schemes.该费用按每个产品、每个品牌收取。根据不同标准/计划的具体收费结构，每个流程的认证种类的金额。

17.0 Changes 变更

ASCP will consider all changes and circumstances affecting certification and decide upon the appropriate action in accordance with the requirements of this standard and other applicable TE requirements. This includes evaluation and the issuance of revised certificates to extend or reduce the scope of certification. The evaluation processes are consist of: ASCP 将考虑影响认证的所有变化和情况，并根据本标准的要求和其他适用的 TE 要求决定适当的措施。这包括评估和颁发修订证书，以扩大或缩小认证范围。评估过程包括：

a) evaluation;评价
b) review;复核
c) decision;决定
d) issuance of revised formal certification documentation to extend or reduce the scope of certification; 签发经修订的正式认证文件，以扩大或缩小认证范围
e) issuance of certification documentation of revised surveillance activities (if surveillance is part of the certification scheme).签发经修订的监督活动的证明文件（如果监督是认证计划的一部分）。

❖ If changes from scheme owner, 如方案所有者作出更改，

ASCP shall communicate changes with Licensees certified on this standard, and inform Licensees that they will be verified about the implementation of the changes after a adaptive period.ASCP 应与通过本标准认证的持证人就变更进行沟通，并告知持证人，将在一段适应期后对变更的实施情况进行核实。

❖ If changes from Licensees, 如果持证人有变更，

they are required, in the certification contractual agreement, to inform ASCP about changes timely. Such changes may be Changes related to legal, commercial, organisational status or ownership, organisation and management, address and sites, scope of operations under certified products, major changes to certified products and processes, and the environmental and social impact of the certified CLIENT caused by incidents or events (if applicable to the audit scope).在认证合同协议中，要求他们及时将变更通知 ASCP。这些变更可能是与法律、商业、组织地位或所有权、组织和管理、地址和场所、经认证产品的经营范围、经认证产品和过程的重大变更以及由事件或事件（如果适用于审核范围）引起的经认证客户的环境和社会影响相关的变更。

ASCP will evaluate these changes and decide the method of verification (document review or site visit).ASCP 将对这些变更进行评估，并决定验证方法（文件评审或现场考察）。

18.0 Appeal 申诉

The appeal made shall be reviewed and decided regarding acceptance by the Appeals/ Complaints Panel(A/CP). The detailed procedure is QSP30-Appeals, Complaints and Disputes Management.申诉/投诉小组应审查所提出的上诉，并就是否接受作出决定。详细程序见 qsp30 - 申诉、投诉和争议管理。

19.0 Complaints 投诉

Complaints may be from any source except the manufacturer of that particular product. Complaints shall be entertained only when submitted in writing. All complaints shall be referred to the A/CP if found genuine during the review. The detailed procedure is QSP30-Appeals, Complaints and Disputes Management.投诉可以来自除该特定产品的制造商以外的任何来源。投诉只有以书面形式提出时，方可受理。如果在审查过程中发现所有投诉是真实的，则应将其提交给申投诉小组。详细程序见 qsp30 -申诉、投诉和争议管理。

Revision History 修订历史

Revision #	Effective date	Section	Change Description
A00	01/12/2020	All	Initial edition released.
A01	08/08/2025	3.0Referenced Documents & Documented Information 参考文件和文件化信息	Adjust the file number and update the reference file.调整文件编号并更新参考文件
		8.0Preliminary Audit (Optional) 初步审核（可选） Annex 1:	Delete the non-applicable provisions and adjust the certification flowchart in Attachment 1.对不适用条款删除并调整附件 1 认证流程图。

		14.8Surveillance of Certification Mark Usage 认证标志使用的监督	Added 增加

Annex 1: Flow Chart of General PC Process 附件 1：通用 PC 工艺流程图