

<b>质量管理体系认证客户须知</b> <b>Notice of QMS certification clients</b>		
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### 背景 Background

根据国家认证认可监督管理委员会发布的《质量管理体系认证规则》(CNCA-QMS-01:2025) 及《中华人民共和国认证认可条例》等法律法规的要求, 认证机构在实施认证审核前, 必须与申请组织订立具有法律效力的书面认证合同, 并在合同中明确双方的责任、权利和义务。

According to the requirements of the "Quality Management System Certification Rules" (CNCA-QMS-01:2025) issued by the Certification and Accreditation Administration of the People's Republic of China (CNCA) and the "Regulation on Certification and Accreditation of the People's Republic of China" as well as other relevant laws and regulations, before implementing certification audits, the certification body must enter into a written certification contract with legal force with the applicant organization, and specify the responsibilities, rights, and obligations of both parties in the contract.

为保障认证活动的规范性、公正性和有效性, 明确申请认证的组织(以下简称“客户”或“获证组织”)在认证全过程中的责任与义务, 特制定本《质量管理体系认证客户须知》。本须知作为认证合同的重要组成部分, 旨在帮助客户充分理解其应履行的承诺和责任, 确保认证过程的顺利进行及认证结果的持续有效。

In order to guarantee the standardization, impartiality, and effectiveness of certification activities, and to clarify the responsibilities and obligations of the organization applying for certification (hereinafter referred to as the "Client" or "Certified Organization") throughout the certification process, this "Notice to Clients for QMS Certification" is hereby formulated. As an important component of the certification contract, this Notice aims to assist the Client in fully understanding the commitments and responsibilities they should fulfill, ensuring the smooth conduct of the certification process and the continuous effectiveness of the certification results.

### 适用范围 Scope of Application

本须知适用于所有向认证机构申请质量管理体系(QMS)认证的组织。自提交认证申请之日起, 客户应全面了解并遵守本须知的各项规定。在认证证书有效期内, 获证组织应持续履行本须知所列的各项义务和责任。

This Notice applies to all organizations applying to the certification body for Quality Management System (QMS) certification. From the date of submitting the certification application, the Client shall fully understand and comply with the provisions of this Notice. Within the validity period of the certification certificate, the Certified Organization shall continuously fulfill the various obligations and responsibilities listed in this Notice.

### 目标 Objectives

制定本须知的主要目的和目标如下:

The main purposes and objectives of formulating this Notice are as follows:

1. 明确责任义务: 清晰界定客户在认证申请、审核实施及获证后各阶段应履行的责任和义务, 确保客户知晓其法律和合同责任。

Clarify responsibilities and obligations: Clearly define the responsibilities and obligations that the Client should fulfill at various stages such as certification application, audit implementation, and after obtaining certification, ensuring that the Client is aware of its legal and contractual responsibilities.

2. 保障认证有效性: 通过客户的承诺和配合, 确保证审核能够真实、客观地评估客户的质量管理体系, 保障认证结果的权威性和公信力。

Guarantee certification effectiveness: Through the Client's commitments and cooperation, ensure that the certification audit can truthfully and objectively evaluate the Client's quality management system, safeguarding the authority and credibility of the certification results.

3. 维护公正公平: 规范客户行为, 防止利用认证证书进行误导宣传等不正当行为, 维护认证市场的公平竞争环境。

Maintain fairness and justice: Regulate Client behavior, prevent improper acts such as misleading publicity using certification certificates, and maintain a fair competition environment in the certification market.

4. 确保持续合规: 促使获证组织在证书有效期内持续保持质量管理体系的运行有效性, 及时报告重大变更和事故, 确保证资格的持续合规。

Ensure continuous compliance: Urge the Certified Organization to continuously maintain the operational effectiveness of the quality management system within the validity period of the certificate, report major changes and accidents in a timely manner, and ensure the continuous compliance of the certification qualification.

## 客户须知 Notice to Clients

客户在申请认证过程中及获证后, 应知悉并认可以下:

The Client shall be aware of the following during the certification application process and after obtaining certification:

本次认证服务将严格遵守国家认证认可监督管理委员会发布的《质量管理体系认证规则》(CNCA-QMS-01:2025)及相关法律法规。

This contract will strictly comply with the Quality Management System Certification Rules (CNCA-QMS-01:2025) and relevant laws and regulations issued by the National Certification and Accreditation Administration.

客户应遵守认证程序要求, 如实提供相关材料和信息, 配合认证行政监管部门的监督检查和认证机构对投诉的调查, 及时向认证机构通报管理体系及认证申请条件变更情况, 承担选择的认证机构资质被撤销而带来的认证活动终止、认证证书无法使用的风险。

The Client shall comply with the requirements of the certification procedures, truthfully provide relevant materials and information, cooperate with the supervision and inspection conducted by certification administrative supervision authorities and the investigations into complaints carried out by the certification body, timely notify the certification body of any changes to its management system and certification application conditions, and bear the risks of the termination of certification activities and the inability to use the certification certificate resulting from the revocation of the qualification of the selected certification body.

客户应遵守认证程序要求, 如实提供相关材料和信息, 通过认证后持续有效运行管理体系, 配合认证行政监管部

门的监督检查和认证机构对投诉的调查，在广告、宣传等活动中正确使用认证证书、认证标志和有关信息，及时向认证机构通报体系条件的变更情况，承担选择的认证机构资质被撤销而带来的认证证书无法使用的风险。

The Client shall comply with the requirements of the certification procedures, truthfully provide relevant materials and information, continuously and effectively operate the management system after obtaining certification, cooperate with the supervision and inspection conducted by certification administrative supervision authorities and the investigations into complaints carried out by the certification body, correctly use the certification certificate, certification mark and relevant information in advertising, promotion and other activities, timely notify the certification body of any changes to the management system conditions, and bear the risk of being unable to use the certification certificate resulting from the revocation of the qualification of the selected certification body.

提出认证申请时的基本条件包括：

- (1) 取得合法主体资格，并处于有效期内；
- (2) 取得相关法律法规规定的行政许可（适用时），并处于有效期内；
- (3) 已按认证标准建立体系，且运行满三个月；
- (4) 因获证组织自身原因被原发证机构暂停或撤销认证证书已满一年（适用时）；
- (5) 原体系认证证书发证机构被国家认监委撤销体系认证资质已满三个月（适用时）；
- (6) 当前未被行政监管部门责令停产停业整顿；
- (7) 当前未列入“国家企业信用信息公示系统”和“信用中国”发布的严重违法失信名单；
- (8) 一年内未发生被行政监管部门责令停产停业整顿的重大质量事故（QMS 适用）；
- (9) 一年内申请认证范围内的产品未发生产品质量国家监督抽查不合格，或发生产品质量国家监督抽查不合格但已按相关规定整改合格（QMS 适用）；
- (10) 其他应具备的条件。

The basic conditions for submitting a certification application include:(1) Having obtained legal subject qualification, which is within the valid period;(2) Having obtained the administrative licenses required by relevant laws and regulations (if applicable), which are within the valid period;(3) Having established the management system in accordance with the certification standards, and the system has been in operation for at least three months;(4) It has been at least one year since the certification certificate was suspended or cancelled by the original certification body due to the certified organization's own reasons (if applicable);(5) It has been at least three months since the management system certification qualification of the original management system certification certificate-issuing body was cancelled by the Certification and Accreditation Administration of the People's Republic of China (CNCA) (if applicable);(6) Not currently ordered to suspend production and business for rectification by administrative supervision authorities;(7) Not currently included in the list of serious illegal and untrustworthy entities published by the National Enterprise Credit Information Publicity System (NECIPS) and Credit China;(8) No major quality accident that resulted in being ordered to suspend production and business for rectification by administrative supervision authorities has occurred within one year (applicable to QMS);(9) Within one year, no unqualified result has been found for products within the scope of the certification application in the national supervisory random inspection of product quality; or if an unqualified result was found, the products have been rectified and qualified in accordance with relevant provisions (applicable to QMS);(10) Other required conditions.

基于以上基本条件，认证委托人或接受认证审核的组织应进一步明确（适用时）：

- (1) 无合法主体资格的单位（如无营业执照的内设部门）申请认证，应以合法主体资格证照上载明的主体作为认证委托人。认证委托人申请签发证书的场所，也应取得合法主体资格。
- (2) 因获证组织自身原因，认证证书被暂停、撤销、注销满一年后，原获证组织方可重新申请认证。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。
- (3) 因重大质量事故被行政监管部门责令停产停业整顿后，应积极整改违法违规行为，消除相应后果。提出认证申请时，应处于正常开展生产经营活动状态，且在 1 年内未发生重大质量事故。
- (4) 申请 QMS 认证覆盖范围内的产品发生产品质量国家监督抽查不合格的，认证委托人（产品生产者、销售者）应立即停止生产、销售同一产品，并按市场监管部门要求在限期内整改合格。整改是否合格，以市场监管部门书面结论为准。

Based on the basic conditions as above, the Certification Applicant or the organization undergoing certification audit shall further confirm the following (if applicable):(1) For entities without legal subject qualification (e.g., internal departments without a business license) applying for certification, the entity specified in the legal subject qualification certificate shall be deemed the Certification Applicant. Locations for which a sub-certificate is applied by the Certification Applicant shall also obtain legal subject qualification;(2) If a certification certificate is suspended, cancelled, or cancelled due to the certified organization's own reasons, the original certified organization may reapply for certification only after one (1) year from the date of such suspension, revocation, or cancellation. If the certification certificate is cancelled after the suspension period expires, the one-year period shall be calculated from the date the certification certificate was suspended;(3) After being ordered to suspend production and business for rectification by administrative supervision authorities due to a major quality accident, the entity shall actively rectify illegal and irregular acts and eliminate the corresponding consequences. When submitting a certification application, it shall be in a state of normal production and business operations, with no major quality accidents occurring within one (1) year;(4) If products within the scope of QMS certification are found unqualified in the national supervisory random inspection of product quality, the Certification Applicant (product producers and sellers) shall immediately stop producing and selling the same product, and rectify and meet the requirements within the time limit specified by the market supervision authority. The qualification of rectification shall be subject to the written conclusion of the market supervision authority.

认证委托人或接受认证审核的组织应提供以下信息和文件资料：

- (1) 认证申请，包括认证委托人或接受认证审核的组织的名称、地址、认证依据的标准、申请的认证范围、认证范围内人员数量及影响体系有效性的外包过程；
- (2) 法律地位的证明文件，若当 QMS 覆盖多个法律实体时，则应提供每个法律实体的法律地位证明文件；
- (3) 申请认证范围所涉及的质量法律法规要求的行政许可件、资质证书、强制性产品认证证书等；
- (4) 组织机构及职责；
- (5) 生产/服务的流程、班次及轮班情况和季节性信息；
- (6) QMS 运行满三个月的证据；
- (7) 一年内在所发生的质量事故、与质量相关的行政处罚、产品质量国家监督抽查不合格、其他质量抽查不合格的情况以及整改情况（适用时）；
- (8) 其他需要提供的文件。

The Certification Applicant or the organization undergoing certification audit shall provide the following information and documents:(1) Certification application, including the name and address of the Certification Applicant or the organization undergoing certification audit, the certification standards as the basis for certification, the applied certification scope, the number of personnel within the certification scope, and the outsourcing processes that affect the effectiveness of the management system;(2) Documents proving legal status; if the QMS covers multiple legal entities, documents proving the legal status of each legal entity shall be provided;(3) Administrative licenses, qualification certificates, compulsory product certification certificates, etc., required by quality laws and regulations involved in the applied certification scope;(4) Organizational structure and responsibilities;(5) Production/service processes, shift arrangements, rotation schedules, and seasonal information;(6) Evidence that the QMS has been in operation for at least three months;(7) Information on quality accidents, quality-related administrative penalties, unqualified results in national supervisory random inspections of product quality, unqualified results in other quality inspections, and the corresponding rectification status that occurred within one year (if applicable);(8) Other documents to be provided.

通过认证后, Intertek 将通过以下网站地址向社会公布认证证书信息: <https://certs.intertek.com.cn>。

因认证机构批准资质注销或被撤销导致获证组织 QMS 认证证书无法保持有效的, Intertek 将及时告知获证组织并做出妥善处理, 并承担由此导致的获证组织在合同上约定或法律认定的经济损失。

发生下列情况的, Intertek 将终止审核:

- (1) 认证委托人对审核活动不予配合, 审核活动无法进行;
- (2) 认证委托人的最高管理者或经授权的高级管理层成员缺席首、末次会议;
- (3) 认证委托人实际情况与申请材料有重大不一致;
- (4) 其他导致审核程序无法完成的情况。

After the certification is granted, Intertek will publish the certification certificate information to the public via the following website: <https://certs.intertek.com.cn>. If the QMS certification certificate of the certified organization cannot remain valid due to the cancellation or revocation of the certification body's approved qualification, Intertek shall promptly notify the certified organization, take appropriate measures, and bear the economic losses of the certified organization that are either agreed upon in the Contract or legally recognized.

Intertek shall terminate the audit in the following circumstances:(1) The Certification Applicant fails to cooperate with the audit activities, making the audit impossible to conduct;(2) The top management or authorized senior management members of the Certification Applicant are absent from the opening or closing meeting;(3) There is a material inconsistency between the actual circumstances of the Certification Applicant and the application materials;(4) Other circumstances that result in the inability to complete the audit procedures.

您或接受认证审核的组织可在 Intertek 官网或 Intertek 不时公布的下述信息查询或咨询:

- (1) Intertek 可开展的认证业务范围, 获得认可的情况, 以及分包境外认证机构业务的情况;
- (2) Intertek 开展 QMS 认证活动所依据的认证标准以及相关的认证方案、认证流程;
- (3) 授予、拒绝、保持、更新、暂停(恢复)、注销、撤销认证证书以及扩大或缩小认证范围的程序规定;
- (4) 拟向您或接受认证审核的组织获取的信息以及保密规定;
- (5) 认证收费标准;
- (6) 认证证书、认证标志及相关的规定;
- (7) 对认证过程和结果的申诉、投诉规定;

- (8) 认证标准换版的规定 (适用时);
- (9) “提前较短时间通知的审核” 的情形;
- (10) 其他需要公开的信息。

You or the organization undergoing certification audit may inquire about or consult the following information published on Intertek’ s official website or as Intertek updates from time to time:(1) The scope of certification services that Intertek is qualified to conduct, its accreditation status, and the outsourcing of services to overseas certification bodies;(2) The certification standards on which Intertek’ s QMS certification activities are based, as well as relevant certification schemes and certification processes;(3) Procedural provisions for awarding, refusing, maintaining, renewing, suspending (and reinstating), cancelling, revoking certification certificates, and expanding or reducing the certification scope;(4) The information to be collected from you or the organization undergoing certification audit, and confidentiality provisions;(5) Certification fee standards;(6) Usage provisions for certification certificates, certification marks and related items;(7) Appeal and complaint provisions regarding the certification process and results;(8) Provisions for certification standard revisions (if applicable);(9) Circumstances for "short-notice audits";(10) Other information requiring disclosure.

说明：以上内容直接引用自《质量管理体系认证规则》(CNCA-QMS-01:2025) 第 5.1 条“认证申请”中规定的合同必须包含的内容。本文件是认证合同的补充文件，与认证合同具有同等法律效力。客户签署认证合同，即视为已充分理解并同意遵守本《质量管理体系认证客户须知》的全部内容。认证机构与客户双方应共同遵守本须知的各项规定，确保证认证活动的规范有效进行。

Note: The above content is directly quoted from the content that must be included in the contract as stipulated in Article 5.1 “Certification Application” of the “Quality Management System Certification Rules” (CNCA-QMS-01:2025). This document is a supplementary document to the certification contract and has equal legal force as the certification contract. The Client’ s signing of the certification contract shall be deemed as having fully understood and agreed to comply with all contents of this “Notice to Clients for QMS Certification” . Both the certification body and the Client shall jointly comply with the provisions of this Notice to ensure the standardized and effective conduct of certification activities.

客户确认 Client Confirmation:

同意 Agree. 其他 Others:

公司名称 Company name:

确认签字 Signature: (客户签字)

联系电话 Tel.:

日期 Date: