

信息处理规则

Information Processing Rules

1 目的

Purpose

为规范CMD在管理体系、产品和服务认证过程中与认证组织、监管部门或其他相关方就认证相关信息处理的流程，并确保各相关方提供信息的及时、准确、完整，特制定本文件。

To standardize the process of information processing related to certification between CMD and certification organizations, regulatory authorities, or other relevant parties during the management system, product, and service certification processes, and to ensure that all relevant parties provide information in a timely, accurate, and complete manner, this document is formulated.

2 范围

Scope

本文件适用于CMD开展管理体系、产品和服务过程中，与认证组织、监管部门或其他相关方信息处理。

This document applies to the information processing conducted by CMD in the course of management system, product, and service certification, in relation to certification organizations, regulatory authorities, or other relevant parties.

3 职责

Responsibilities

- 3.1 市场服务部负责 CMD 官网公开信息的维护及初次申请认证客户的信息沟通；

The Marketing Department is responsible for maintaining publicly available information on the CMD official website and for communication with initial certification applicants.

- 3.2 审核策划组负责监督过程维护、再认证客户的信息沟通；

The Audit Planning Group is responsible for surveillance process maintenance and communication with recertification clients.

- 3.3 综合部负责认证信息上报工作；

The Administration Department is responsible for the reporting of certification

information.

3.4 质量委员会负责监管部门或其他相关方索要信息的请求受理、处置。

The Quality Committee is responsible for receiving and handling requests for information from regulatory authorities or other relevant parties.

3.5 质量委员会负责受理申诉、投诉、争议和抱怨。

The Quality Committee is responsible for handling appeals, complaints, disputes, and grievances.

3.6 各部门负责人负责索要信息的提供等。

The head of each department is responsible for providing the requested information, etc.

4 管理要求

Management Requirements

4.1 公开信息

Public Information

4.1.1 CMD在其运营的所有地理区域中通过CMD官方网站、CMD认证通讯等方式主动公布下列信息，市场部应根据实际情况及时对相关的公开信息进行维护，确保其准确有效。

CMD actively publishes the following information through the CMD official website, CMD certification communications, and other means in all geographical areas where it operates. The marketing department should timely maintain relevant public information based on actual circumstances to ensure its accuracy and effectiveness.

- a) 审核过程，包括认证的工作流程和程序、申请条件、申请组织和获证组织的权利及义务、CMD向申请人或客户认证收费及审核人日的要求等；

The audit process includes the workflow and procedures for certification, application conditions, the rights and obligations of the applying organization and the certified organization, as well as CMD's requirements for certification fees and auditor days charged to applicants or clients.

- b) 评价客户组织的管理体系和/或产品、服务所依据的准则，用于管理体系认证和/或产品、服务认证的授予、拒绝、保持、更新、暂停、恢复或撤消认证或者扩大或缩小认证范围的审核过程和认证过程做出说明的信息；

Information that describes the criteria for evaluating the management system and/or products and services of the client organization, used for the audit process and certification process for granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing certification, or for expanding or reducing the scope of certification.

- c) CMD运作涉及的认证活动、管理体系和/或产品、服务类型，同时还包括认证方案（包括规则和程序）、产品检验要求；

Certification activities, management systems, and/or types of products and services involved in CMD operations, including certification programme (including rules and procedures) and product inspection requirements

- d) 使用CMD认证机构名称和认证标志或徽标的使用以及认证结论引用方式的规定；

Regulations regarding the use of the CMD certification body name and certification mark or logo, as well as the manner of referencing certification conclusions.

- e) 对索要信息的请求、投诉和申诉的处理过程；

The handling process for requests, complains, appeals of requested information.

- f) 公正性政策。

Policy of Impartiality.

4.1.2 在特殊情况下，如出于安全原因或根据客户的请求对某些信息的公开程度做出限制。如其运作涉及的地理区域，特定认证的状态，特定获证客户的名称、相关的规范性文件、认证范围和地理位置（国家和城市）等信息，CMD根据其它监管部门或有关的相关方的请求时向其提供。

In special circumstances, such as for security reasons or at the request of the customer, the degree of disclosure of certain information is restricted. CMD shall provide information such as the geographical areas involved in its operations, the status of specific certifications, the names of specific certified clients, relevant normative documents, the scope of certification, and geographical locations (countries and cities) at the request of other regulatory authorities or relevant parties.

4.1.3 在法律法规或认证相关监管部门要求的情况下，综合部应向认证监管部门（如CNAS、

IAS等）提供有关认证授予、拒绝、保持、更新、暂停、恢复或撤销认证或者扩大或缩小认证范围的认证状态的信息。

In accordance with legal regulations or requirements from certification-related regulatory authorities, the Administrative Department shall provide information regarding the status of certification grants, refusals, maintenance, renewal, suspensions, restorations, or withdrawal of certification, or the expansion or reduction of the scope of certification to certification regulatory authorities (such as CNAS, IAS, etc.).

4.1.4 CMD的认证审核管理专用软件保持了所有管理体系认证获证客户的目录，并包括每个管理体系认证获证客户的名称、认证用的标准和其他规范性文件、认证范围和地理位置（如国家和城市）或多场所认证范围内总部和所有场所的地理位置的信息、证书编号、证书有效期、证书状态。以及产品认证获证产品的目录，包括每个产品、服务认证获证客户名称和地理位置、获证产品的名称和规格型号及服务过程、认证标准、认证模式、证书编号、证书有效期、证书状态。CMD与认证过程有关的信息，CMD通过档案管理及认证审核管理专用软件确保相关信息的准确性和可追溯性。获证客户的目录公布在CMD网站和CMD认证通讯上，可公开获取。该目录是CMD的专有资产，在有请求时CMD还可提供该目录的进一步信息。

The certification audit management software of CMD maintains a directory of all certified clients for management system certifications, including the name of each certified client, the standards and other normative documents used for certification, the scope of certification, and geographical information (such as country and city) or the geographical locations of headquarters and all sites within multi-site certification scope, certificate number, certificate validity period, and certificate status. As well as a directory of certified products for product certification, including the name and specifications of each product, the names and geographical locations of service-certified clients, the name and specifications of certified products and service processes, certification standards, certification models, certificate numbers, certificate validity periods, and certificate statuses. Information related to CMD and the certification process, where CMD ensures the accuracy and traceability of relevant information through document management and specialized software for certification audit management. The directory

of certified clients is published on the CMD website and in the CMD certification newsletter, and is available for public access. This directory is the proprietary asset of CMD, and further information about the directory can be provided by CMD upon request.

4.1.5 CMD在向客户进行认证宣传或向市场提供信息时制定的宣传文件（包括广告），应经过审批，以保证准确且不使人产生误解。

Promotional documents (including advertisements) developed by CMD for client certification promotion or for providing information to the market must be approved to ensure accuracy and prevent misunderstandings.

4.1.6 索要信息请求的流程管理

Process management of request for information

- a) 当监管部门或其他相关方需进一步获得除公开信息以外的其他信息时，请求人应以书面文件形式就请求用途等提出申请并盖章。通常情况下CMD对口头请求不予受理。

When regulatory authorities or other relevant parties need to obtain information beyond what is publicly available, the requester must submit a written application detailing the purpose of the request and affix a seal. Generally, CMD does not accept verbal requests.

- b) 质量委员会受理索要信息的请求，并对其真实性等进行确认，并上报总经理进行批准。

The Quality Committee handles requests for information and verifies their authenticity, subsequently reporting to the General Manager for approval.

- c) 经批准索要信息的请求，相关职能部门提供资料，最终由质量委员会主任或副主任进行评审后对外提供。并对索要请求相关人员明确应对索要非公开的信息负有保密的责任。

Requests for information that have been approved will be provided by the relevant functional departments, and ultimately reviewed by the Director or Deputy Director of the Quality Committee before being disclosed. And make it clear to the relevant personnel requesting information that they have the responsibility to keep confidential the requested non-public information.

- d) 当涉及到客户请求的保密信息时，必要时，向客户进行报告。

When the request involves the client's confidential information, report it to the

customer as necessary.

e) 索要信息受理部门: CMD质量委员会 联系电话: (010) 62013856

Information Request Handling Department: CMD Quality Committee Contact Number: (010) 62013856

4.1.7 认证审核过程中发生投诉、申诉、抱怨等, 执行《申诉、投诉和争议处理规则》。

In the event of complaints, appeals, or grievances during the certification audit process, the 'Rules for Handling Appeals, Complaints, and Disputes' shall be implemented.

4.2 认证过程和要求的信息

Information for the certification process and requirements

4.2.1 CMD制定和保持管理体系认证方案和产品认证方案, 并确保在这一过程中充分考虑了各利益相关方的意见。CMD通过公开文件向客户提供并为其更新以下信息:

CMD establishes and maintains management system certification programs and product certification programs, ensuring that the opinions of all stakeholders are fully considered in this process. CMD provides and updates the following information to clients through public documents:

4.2.1.1 对管理体系认证和/或产品、服务认证活动整个过程的详细说明, 包括申请、初次审核、监督审核和授予、拒绝、保持认证、缩小或扩大认证范围、更新、暂停或恢复或撤销认证以及再认证(复评)的过程;

A detailed description of the entire process of management system certification and/or product and service certification activities, including application, initial audit, surveillance audit, granting, refusing, maintaining certification, reducing or expanding the scope of certification, renewing, suspending or restoring, or withdrawing certification, as well as the process of re-certification (re-evaluation).

4.2.1.2 认证依据的规范性要求(管理体系认证依据标准和/或产品、服务认证依据标准、产品认证实施规则、服务认证方案等);

The normative requirements on which certification is based (standards for management system certification and/or standards for product and service certification, implementation rules for product certification, service certification schemes, etc.).

4.2.1.3 申请、初次认证和保持认证资格所需费用的信息；

Information on the costs required for application, initial certification, and maintaining certification qualifications.

4.2.1.4 CMD对拟接受审核的客户的要求：

CMD's requirements for clients to be audited

a) 遵守认证要求；

Compliance with certification requirements.

- b) 为实施审核做出所有必要的安排，包括在初次认证、监督、再认证和解决投诉时，为检查文件和接触所有过程与区域、记录及人员提供条件；也包括产品认证时的产品检验安排、服务认证时的服务特性测评等；

Make all necessary arrangements for the audit, including providing conditions for document inspection and access to all processes and areas, records, and personnel during initial certification, surveillance, re-certification, and complaint resolution. Also includes arrangements for product inspection during product certification and service characteristic evaluation during service certification.

- c) 为接纳到场的观察员（如认可评审员或实习审核员）提供条件。

Provide conditions for the acceptance of on-site observers (such as accreditation assessors or trainee auditors).

4.2.1.5 对获证客户或获证产品、服务按照认证资格的引用和标志的使用的要求在各类沟通中引用认证资格时的权利和责任（包括要求）予以说明的文件；

Documents that clarify the rights and responsibilities (including requirements) when referencing certification qualifications in various communications regarding certified clients or certified products and services in accordance with the use of certification marks.

4.2.1.6 投诉和申诉处理过程的信息。

Information on the complaint and appeal handling process.

4.2.2 市场服务部负责初次申请认证客户受理过程的信息沟通，具体联系方式详见官网公布的联系方式。

The Marketing Department is responsible for the information communication process for initial certification applicants, and specific contact details can be found on the official website.

4.2.3 审核策划组负责获证客户监督过程维护、再认证客户受理、项目各阶段审核安排等的信息沟通，具体联系方式详见官网公布的联系方式。

The Audit Planning Group is responsible for maintaining the surveillance process for certified clients, handling re-certification applicants, and arranging audits at various stages, with specific contact details available on the official website.

4.2.4 质量委员会负责后期档案审定、证书制作等过程的沟通，具体联系方式详见官网公布的联系方式。

The Quality Committee is responsible for communication regarding the later stages of file review and approval, certificate production, and other processes, with specific contact details available on the official website

4.2.5 客户也可以通过CRM客户端进行沟通联系，链接<http://47.93.223.173:22000/index>

Clients can also communicate through the CRM client-side, with the link being <http://47.93.223.173:22000/index>

4.3 认证机构变更的信息

Certification body changes Information

4.3.1 当管理体系认证标准和/或产品、服务认证标准变更或由于认可要求变化而导致认证要求变更时，CMD应制定针对变更事项做出安排。审核策划组负责将变更及变更事项安排通过书面文件（邮件等形式）通知到每一获证客户，使其了解变更情况及变更事项安排。必要时通过公开文件的形式在CMD官网进行公开，以供相关方进行查询。

When there are changes to the management system certification standards and/or product and service certification standards, or when certification requirements change due to changes in accreditation requirements, CMD should make arrangements regarding the changes. The Audit Planning Group is responsible for notifying each certified client of changes and arrangements related to changes through written documents (such as emails) to ensure they are informed about the changes and arrangements. If necessary, public documents may be published on the CMD official

website for relevant parties to consult.

4.3.2 CMD按照变更事项安排验证每个获证客户是否符合新的要求。

CMD verifies whether each certified client meets the new requirements according to the arrangements for changes.

4.4 获证客户的变更信息

Certified Clients Changes Information

4.4.1 CMD在公开文件《申请、获证组织的权利和义务》及与认证客户签订认证合同中明确获证客户的信息通报义务，以确保获证客户及时将可能影响管理体系和/或产品、服务持续满足认证标准要求的能力的事宜通知CMD，具体执行详见《信息通报规则》。

CMD clarifies the information reporting obligations of certified clients in the public document 'Rights and Obligations of Applicants and Certified Organizations' and in the certification contract signed with certification clients, to ensure that certified clients promptly notify CMD of any matters that may affect their ability to continuously meet the certification standards for the management system and/or products and services. For specific implementation details, please refer to the 'Information notification rules.'

4.4.2 CMD对获证体系或产品、服务影响认证的变更应采取适宜的措施（如文审、现场审核、较短时间通知的审核、突击审核等），必要时对所采取措施进行评价，CMD质量委员会对所采取措施进行复核和决定，确保持续满足体系或产品、服务认证要求后保持对其的认证。

CMD should take appropriate measures (such as document review, on-site audits, short-notice audits, surprise audits, etc.) for changes that affect the certified system or products and services. If necessary, evaluate the measures taken, and the CMD Quality Committee will review and decide on the measures taken to ensure that the certification requirements for the system or products and services continue to be met.