注册暂停、恢复、撤销或注销控制程序

SOP for Suspending, withdrawing or cancelling certification

编　制 Prepared By	审　核 Reviewed by	批　准 Approved by
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版本号 Version No	修改内容 Revision	生效日期 Effective Date	修改人 Prepared by	审批人 Approved by	备注 Remarks
A0	首版发布 First Published	2016-3-1	夏守艳	李惠、周延冲	
B1	增加 CNAS 认可相关要求	2021.1.10	黄宏量	夏劼清	
B2	增加 IECQ 对证书暂停、撤销的要求 翻译英文 Add requirements regarding the suspension and revocation of certificates to the IECQ Translate to English	2021.1.10	黄宏量 Huang hong liang	夏劼清 Xia jie qing	
C0	IECQ 办公室评审后，文件格式修订，重新发布 After IECQ office assessment, update the format of doc and republish it	2022.09.12	陈菊珍 Chen Jun zhen	周延冲 Zhou yan chong	
C1	根据 CNAS 办公室评审结果进行修订： 证书变化的上报时间和期限明确规定 Revised in accordance with the assessment results of the CNAS Secretariat: The reporting deadlines and timeframes for changes to certificates are clearly specified.	2023.1.10	陈菊珍 Chen Jun zhen	周延冲 Zhou yan chong	
C2	根据 CNAS 第一次办公室例行监督评审结果进行修订暂停、恢复、撤销（或注销）认证决定要求 Requirements for revising decisions to suspend, reinstate, revoke (or cancel) certification based on the results of the first routine surveillance assessment conducted by the CNAS Secretariat	2024.8.2	陆珍芳 Lu zhen fang	周延冲 Zhou yan chong	
C3	根据 CNAS 第二次办公室例行监督评审结果进行修订暂停、恢复、撤销（或注销）进一步细化认证决定管理要求 Revisions to the management requirements for certification decisions regarding suspension, reinstatement, withdrawal (or cancellation), based on the results of the second routine supervisory assessment by the CNAS Secretariat	2025.7.24	陆珍芳 Lu zhen fang	周延冲 Zhou yan chong	
C4	1. 根据 2025 年发布质量管理体系认证规则进行符合性修订。Amendments have been made to ensure compliance with the Quality Management System Certification Rules published in 2025. 2.文件审批人由周延冲变更为钱芳。The document approver has been changed from Zhou Yanchong to Qian Fang.	2025. 12. 15		周延冲 Zhou yan chong	
C5	根据 2026 年环境和职业健康安全管理体系认证规则进行符合性修订。Amendments to ensure compliance with the 2026 Certification Rules for Environmental and Occupational Health and Safety Management Systems.	2026. 3. 1	胡博、李飞 Hubo LI fei	钱芳 Qian Fang	

1 目的 Purpose：

规定客户认证注册的暂停、恢复、撤销和注销。

Establish a procedure to manage the Suspension or Cancellation or restore or withdrawal of certificate

2 范围 Scope：

适用于 LQA 所有注册组织。

This procedure is applied to all organization who hold a certificate from LQA

3 职责 Duties：

3.1 除了注册的组织不能还清财政债务以外，机构认证决定人员要对不能按时监督、复评的组织采取暂停，撤销和注销的措施，对已消除暂停原因的项目采取恢复的措施。

3.1 Except that an organizations cannot payoff his financial debts, the audit Department shall suspend, cancel or withdraw the certificate if surveillance and re-certification cannot be conducted on time，Take measures to restore projects whose suspension reasons have been eliminated

3.2 因客户未能履行财务要求，财务经理通知机构认证决定人员做出暂停和撤销的决定，对已消除暂停原因的项目采取恢复的决定，计划员负责通知客户。

3.2 Since the client fails to fulfill the financial requirements, Finance dept notifies Audit Dept to make the decision on Suspension or Cancellation,Take a decision to resume projects that have eliminated the reason for suspension,and the planner shall notify the client.

3.3 暂停、恢复、撤销在机构认证决定人员做出决定后，由总经理批准。

3.3 After the decision to suspend, resume, or revoke certification is made by the personnel, it shall be approved by the general manager.

3.4 LQA 审核员有责任完成监督审核推荐报告,并且在任何客户在监督审核过程中符合“推荐不维持注册”时与机构认证决定人员进行电话沟通。

3.4 LQA auditor has the responsibility to notify the manager of audit dept about the suggestion about recommending not registration after completing the process of audit.

3.5 对于发生获证组织发生相应行业属于重大（较大）级别以上的质量、职业健康安全、环境污染、医疗器械事故、有害物质严重超标等有关的事故/事件；和（或）引起新闻媒体及社会关注的事故/事件信息时，由技术委员会（必要时管理委员参加）组织成立调查组，实施调查和评价，报告调查结果。

3.5 In the event of an accident or incident occurring at a certified organisation within the relevant industry that is classified as major (or significant) or above — such as those relating to quality, occupational health and safety, environmental pollution, medical device incidents, or serious

exceedances of hazardous substance limits—and/or where such an accident or incident attracts media or public attention, the Technical Committee (with members of the Management Committee participating where necessary) shall establish an investigation team to conduct an investigation and assessment, and report the findings..

3.6 由技术部按规定的时机，上报相关信息。

3.6 The technical department shall report the information of event at the specified time.

4 程序 Procedure：

LQA 的政策是在写书面通知前，应加强与客户沟通以解决问题。尤其是：

LQA's policy is to strengthen communication with client to resolve problems before sending out a written notice, specially in following situations:

a）任何被提出要撤销或暂停或恢复的组织，计划员都要和注册组织的沟通后，由机构认证决定人员作出暂停或恢复或撤销的认证决定，通过总经理经理批准后再发暂停或恢复或撤销通知给注册组织。

A) Any organization that is proposed to be revoked, suspended, or reinstated must communicate with the registered organization, and the certification decision to suspend, restore, or revoke must be made by the organization. After approval by the general manager, a notice of suspension, restoration, or revocation must be issued to the registered organization.

b）任何接收到的可能是由注册组织自由决定的注销通知，计划员都要和注册组织的沟通后，由机构认证决定人员作出注销决定，通过总经理经理批准后再发注销通知给注册组织。

b ） Any cancellation notice received that may be freely decided by the registered organization, the planner must communicate with the registered organization, and the institution must make the cancellation decision. After approval by the general manager, the cancellation notice will be sent to the registered organization.

4.1 暂停 suspension：

4.1.1 机构在调查核实后 5 日内暂停其认证证书，可根据暂停的原因和性质确定暂停期限，暂停周期最长不得超过 6 个月。IECQ HSPM 证书暂停周期不超过 1 个月。

Following an investigation and verification, the organisation shall suspend the certificate within five days; the duration of the suspension shall be determined based on the cause and nature of the suspension, and shall not exceed six months. The suspension period for IECQ HSPM certificates shall not exceed one month..

4.1.2 在以下情况下，LQA 有权对注册组织决定暂停：

4.1.2 LQA own the right to suspend a certificate which is issued to client in following cases :

a.组织的重大变更，如：所有权，活动的中断等；

Major changes to the organization, such as: ownership, shutdown of scope of activities, etc.;

b.客户的获证管理体系持续地或严重地不满足认证要求，包含对管理体系有效性的要求，与实际业务运行严重脱离

The client’s certified management system consistently or seriously fails to meet certification requirements, including those relating to the effectiveness of the management system, and is significantly out of step with actual business operations

c.获证客户不按要求的频次实施监督或再认证审核；

Client does not conduct supervision or re-certification audit within the required timeline;

d.获证客户主动请求暂停。

D. the holder requests cancellation or suspension;

e.组织误导方式使用标志、符号、注册或注册文件。并未按要求按时改正（2 周内）；

It is used in a misleading way that certificate signs, symbols, registration and certificate, client fails to take corrective action in this respect within 2 weeks

f. 组织与 LQA 产生财政债务；

There is non-payment of outstanding fees

g. 证书被错误的使用

it has been issued in error;

H. 任何公然违反合同或认证规则；

Any flagrant violation of the certification contract or certification rules;

I 获证组织发生相应行业属于重大（较大）级别以上的质量/医疗器械安全、职业健康安全、环境污染等有关的事故/事件；和（或）引起新闻媒体及社会关注的事故/事件信息，经调查确认的结论为暂停或撤销。

Where a certified organisation experiences an accident or incident related to quality/medical device safety, occupational health and safety, environmental pollution, etc., in its relevant sector that is classified as major (or above); and/or where information regarding an accident or incident that has attracted media and public attention is investigated and confirmed to warrant suspension or revocation

J 不满足 QMS/MDQMS、EMS 和 OHSMS 适用的法律法规要求，且未采取有效纠正措施的；

Failure to comply with the applicable legal and regulatory requirements for QMS/MDQMS, EMS and OHSMS, and failure to implement effective corrective measures

K 受到与质量、环境和职业健康安全相关的行政处罚，且尚未完成整改的；

Entities that have received administrative penalties relating to quality, the environment and occupational health and safety, and have not yet completed the required rectification measures

L 发生重大质量、环境和职业健康安全事故，反映获证组织 QMS、EMS 和 OHSMS 运行存在重大缺陷的；

The occurrence of a major quality, environmental or occupational health and safety incident that indicates significant deficiencies in the operation of the certified organisation’s QMS, EMS and OHSMS

M 拒绝配合市场监管部门的认证执法监督检查，或者提供虚假材料或信息的；

refusing to cooperate with market regulation authorities during certification, law enforcement or supervisory inspections, or providing false materials or information;

N 持有的与认证范围有关的行政许可文件、资质证书、强制性认证证书等过期失效的；
Administrative licences, qualification certificates, mandatory certification certificates and other documents relating to the scope of certification that have expired or become invalid

O 不能按照规定的时间间隔接受监督审核的；
who are unable to undergo a supervisory audit at the prescribed intervals

P 未按相关规定正确引用和宣传获得的认证证书和有关信息，包括认证证书和认证标志的使用；
Failure to correctly cite and publicise the certification certificates and related information obtained in accordance with the relevant regulations, including the use of certification certificates and certification marks;

Q 不承担、履行认证合同约定的责任和义务的；
failing to assume or fulfil the responsibilities and obligations stipulated in the certification contract

R 被有关行政监管部门责令停业整顿的；
which has been ordered by the relevant administrative regulatory authorities to suspend operations for rectification

S 发生与质量相关重大舆情的；
In the event of significant public opinion incidents relating to quality

T 其他应暂停认证证书的。
Others for which certification should be suspended

注意：LQA 的政策是：
Note: LQA's policies are:

a.如果在规定的监审间隔内，未执行监督审核，组织的注册可能被暂停。不可抗力（比如自然灾害）可能能保证其延期，但是如果因为繁忙或者其他的商务原因则不能延期；
a. The certificate of Client may be suspended if the Surveillance audit is not conducted within the prescribed interval. Force majeure factors (such as natural disasters) may cause the delay, but it shall not be delayed due to busy or other business reasons;

b.在暂停期间，客户的管理体系认证暂时无效，认证机构应与其客户做出具有强制实施力的安排，

以确保暂停期间避免客户继续宣传认证资格。认证机构应使认证资格的暂停信息可公开获取，并采取其认为适当的任何其他措施。

b. During suspension period, the certification is temporarily invalid, and LQA will make a mandatory arrangements to ensure that client discontinues to publicize the certificate during this period. LQA will make the suspension information publicly available and take any further action as appropriate.

c.如果客户未能在认证机构规定的时限内解决造成暂停的问题，认证机构应撤销其认证证书；

c. If client fails to solve the problem caused by the suspension within the time limit set by LQA, LQA shall Cancellation its certificate;

4.1.3 LQA 在五天内要以书面形式通知组织。在暂停期间允许注册的组织保留证书。

4.1.3 LQA shall notify the client in writing notice within five days. Client are allowed to retain the certificate.

4.1.4 暂停恢复：组织如能采取有效的纠正措施，造成暂停的原因已消除的，LQA 将作出复原其注册决定批准后并通知组织，恢复其认证证书，并保留响应证据。

4.2 撤销 withdrawal：

4.2.1 机构在调查核实后 5 日内撤销其认证证书，并保留响应证书，在以下情况下，LQA 有权对注册组织决定撤销：

a.被注销或撤销法律地位证明文件的；

b.被“国家企业信用信息公示系统”和“信用中国”列入严重违法失信名单的；

c.认证证书的暂停期限已满，但导致暂停的问题未得到解决或有效纠正的；

d.经行政监管部门确认因获证组织违规而造成产品和服务等重大质量环境和职业健康安全事故的；

e.QMS、EMS 和 OHSMS 没有运行或者已不具备运行条件的；

f.其他应撤销认证证书的。

4.2.2 被 LQA 撤销的已注册组织必须立即停止使用 LQA 的标志及任何其已注册的相关之物，其中包括在组织广告等方面标志的使用。

4.2.2 Once the certificate is withdraw, Client shall immediately stop using the logo of LQA and any related objects in any Information materials, including certificate, IECQ Logo, etc.

4.2.3 LQA 要以书面形式通知组织其撤销或注销的公告。

4.2.3 LQA shall notify client in writing of its cancellation or withdrawal

4.2.4 撤销将致使组织重新执行全套注册步骤。

4.2.4 Withdrawal will cause the Client to resume another whole registration process when client resumes the certification activity.

4.2.5 IECQ 证书的撤销或取消状态是永久，不变更，不得恢复，

The Withdrawal or cancellation of an IECQ certificate is considered as a permanent change of status and shall not be reinstated.

4.3 注销 Cancellation

4.3.1 组织可以随时要求注销，并提交书面请求注销通告。

4.3.1 Client may request for cancellation at any time by submitting a written request.

4.3.2 LQA 应确认组织要求注销的书面形式,由机构作出注销决定批准后立即注销其对外公布的注册。

4.3.2 LQA should confirm the written form of the organization's request for cancellation, and immediately cancel its publicly announced registration upon approval of the cancellation decision by the institution.

4.3.4 获证组织主动申请不再保持认证证书时，认证机构应确认在不存在暂停或撤销情形后，注销其认证证书，并保留相应证据，注销的认证证书失效，且不可恢复。

Where a certified organisation voluntarily requests that its certificate of certification no longer be maintained, the certification body shall, after confirming that there are no grounds for suspension or withdrawal, cancel the certificate of certification and retain the relevant evidence; the cancelled certificate of certification shall cease to be valid and cannot be reinstated.

4.4 通则 General rules

4.4.1 LQA 将立即（以电话、传真和 email）通知已注册组织进行暂停、恢复、撤销或注销。

4.4.1 LQA shall immediately notify a client (by telephone, fax, and email) of a suspension, cancellation, or withdraw of certificate

4.4.2 LQA 有权公开关于暂停、撤销或注销的通知。

4.4.2 LQA own the right to disclose the notice of suspension, withdraw or cancellation.

4.4.3 已注册组织应得到对暂停或撤销提出上诉的机会。

4.4.3 An opportunity shall be given to the registered client to appeal on suspension or withdraw.

4.5 信息上报：reporting:

4.5.1 获得认可的获证组织发生人身安全和环境污染事故/事件时（4.1.2-I），在发生之日起十日内，将相关资料和自查结论报送 CNAS。 报送内容主要包括：发生事故/事件的原因背景，认证机构的调查结论、认证机 构采取的措施和处理意见等

4.5.1 In case of worker injury issue or environmental pollution accidents / events (4.1.2-I) of the certified client, submit relevant report and interal investigation conclusions to CNAS within 10 days from the date of occurrence. The submitted contents include: the cause reason, the investigation result of LQA, the action taken and the opinions, etc

4.5.2 获证组织的认证证书被暂停、撤销或暂停恢复的信息，及时，最迟于生效日期起两个工作日内，通过“CNCA 统一上报系统（http://report.cnca.cn/irj/portal）”进行报送，上报信息包括：证

书状态、认证审核活动代码、变更日期、变更类别代码、上报类型、受审核方和证书基本信息等，具体参见上报系统；

4.5.2 when the certificate of the certified client is suspended, withdrawed or restored, it shall be reported within two working days through the "CNCA reporting system (http://report.cnca.cn/irj/portal)" , the reporting information includes: certificate status, activity code, date of change, change category code, report type, the audited organization and the basic information of the certificate, details refer to the reporting system

5 记录 5 Records:

序号 SN	表格编号+版本号 Form No (w/ Version No)	中文记录名 Record name in Chinese	英文记录名 Record name in Chinese
1	LQA-JL-15-01-02	证书暂停通知	Certificate suspension notification
2	LQA-JL-15-02-02	证书撤销通知	Certificate revocation notice
3	LQA-JL-15-03-02	认证决定及审批意见	Certification Decision Approval Letter