公正性控制程序

SOP for Impartiality Management

编　制 Prepared By	审　核 Reviewed by	批　准 Approved by
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文件修改履历 Revision list

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	
B0	结合 CNCA 最新要求进行改版 Revised in accordance with the latest requirements from the CNCA	2020.05.06	王正谷	夏劼清	
B1	增加 CNAS 认可相关要求 Add requirements relating to CNAS accreditation	2021.1.10	王正谷	夏劼清	
C0	1.根据 IECQ 评审结果(NCR 7)，进行修订 According to NCR 7 from IECQ Assessment, revise the context, 2.文件格式调整，使用新文件格式 Update the format	2022.9.10	王正谷	周延冲	
D0	增加温室气体和产品碳足迹规定要求 Enhanced requirements regarding greenhouse gas emissions and product carbon footprints	2024.1.15	张芹	周延冲	
D1	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.	2026.1.1	张芹 Zhang Qin	钱芳 Qian Fang	
D2	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	张芹 Zhang Qin	钱芳 Qian Fang	

1 目的 Purpose：

为确保认证/审定或核查结果公平、公正、有效，特制定本程序，本程序规定了与认证/审定或核查/审定或核查全过程公正性有关的管理要求。

Establish a procedure to ensure the fairness, impartiality and effectiveness of the certification /Validation and Verification/Validation and Verification results. This procedure specifies the requirements of the impartiality of the whole certification /Validation and Verification process.

2 范围 Scope：

本程序适用于苏州莱标标准认证/审定或核查有限公司认证/审定或核查服务项目的公正性管理。

This procedure is applicable to the impartiality management of the certification /Validation and Verification/Validation and Verification activities

3 职责 Duties：

3.1 管理委员会负责公司公正性的管理，对影响公正性（包括公开性和公众认证/审定或核查）的事情给出征询意见；

Management Committee is responsible for the management of the impartiality, consulting advice on matters affecting impartiality including openness and public perception.

3.2 管理部为管理委员会日常/联系部门，负责把相关信息传递到相关部门，并进行跟踪落实。

Administration dept is responsible to contact with Management committee and deliver the requirements of impartiality to relevant departments and follow-up

3.3 技术部组织相关部门根据客户的满意程度采取相应的措施。

Technical dept shall organize all departments to take actions to raise customer satisfaction.

3.4 技术部负责客户满意程度分析审核及改进措施的验证工作。

Technical dept is responsible for reviewing client satisfaction and the verifying the improvement action

4 程序 Procedure：

4.1 公司投资人、管理者应充分理解认证/审定或核查公正性对认证/审定或核查结果有效性和公司认证/审定或核查品牌建立的重要性，承诺在本公司投资期间，不再另办认证/审定或核查机构、产品生产企业或形成竞争关系的其他行业的企业。公司的投资者不得为禁止进入认证/审定或核查行业的人员和组织。

4.1 the investors and top management shall fully understand the importance of certification /Validation

and Verification impartiality to the effectiveness of certification /Validation and Verification results and the public acceptance of the company. During the investment , they promise not to set up another certification /Validation and Verification body, manufacturing entity or other industries that form a competitive relationship. The investors of the company shall not be the persons or organizations in certification /Validation and Verification industry.

4.2 公司管理者承诺，保证接受认证/审定或核查申请的所有拟认证/审定或核查组织，与本公司不存在任何资产关系和管理关系。

4.2 Top management promises to ensure that any applicant does not have any assistance relationship and management relationship with LQA.

4.3 管理委员会由与认证/审定或核查活动有利益关系的组织，包括获证客户代表、客户的顾客、政府监督机构或其他政府部门代表或非政府部门代表、社会公众团体（行业协会、消费者协会）代表、本公司代表和专家代表组成。成员组成应考虑各方利益均衡的原则、包括不同认证/审定或核查体系的利益代表，管理委员会在人员构成上任何一份不得处于支配地位。

The Management Committee is composed of interests parties of the certification /Validation and Verification activities, including representatives of certified client, customer of organization, representatives of administration agencies or other government departments or NGO, representatives of public organizations (industry trade associations, consumer organization), representatives of LQA, and industry expert representatives. n. The composition of members shall take into account the principle of a balance of the interests of all parties, including the representatives of the interests of all certification /Validation and Verification systems, Neither of parties is in a dominant position.

委员会设主任一名，通过全体委员会议选举产生，领导管理委员会的工作。管理委员会的成员和主任的任期为 3 年，可以连选连任。

The committee have a chair, who shall be elected through the meeting of all members to lead the work of the management committee. Every session of members serve for three years, and the member and director can be re-elected.

管理委员会每年应开会一次，至少三分之二的委员参加。三分之二人数必须确保满足各方利益均衡的原则，决议的通过至少应获得半数赞成。决议有主任确认、签发。可以现场参加或远程方式进行参加。对公司影响公正性（包括公开性和公众认证/审定或核查）的事宜进行评价，并给出意见。

委员会的工作，具体见《管理委员会章程》(文件编号：LQA-QM-003)

The meeting of the management Committee shall be held at least once a year, with at least two-thirds of its members participating. Two-thirds must ensure that the balance of interests of all parties is met. Any resolution must be passed at least half of participant. The resolution shall be approved by the director. Meeting can be participated by on site or off-site. The member can advise on

the matters affecting impartiality including openness and public preception .

Detail of operation refer to the Management committee constitution (doc no: LQA-QM-003)

4.4 公司制定的《公正性声明》(文件编号.: LQA-JL-09-01)，应作为公开文件，向社会发布。

4.4 the impartiality statement (doc No: LQA-JL-09-01) is issued by the company and be released as a public document.

4.5 公司聘用各类认证/审定或核查人员，需签署《认证/审定或核查/管理人员执业声明和保密承诺》（文件编号：LQA-JL-09-02）并存档。

4.5 It is required for all personnel involved the certification /Validation and Verification activities to sign a Occupational Declaration and Confidentiality Commitment for certification /Validation and Verification during recruiting.

4.6 认证/审定或核查业务开展应保证公开透明，认证/审定或核查规则、流程、人员行为及其它应公开信息应及时公开，接收社会监督。

4.6 The certification /Validation and Verification business should be open and transparent, and the certification /Validation and Verification rules, procedures, personnel behavior and other information that can be disclosed, should be disclosed in a timely manner.

4.7 审核人员在实施审核活动前，应承诺并签署《公正性声明及保密承诺》(表格编号：Form No.: LQA-JL-17-12-01 for IECQ HSPM /表格编号：LQA-JL-16-15 针对其他体系审核)，不得有任何影响公正性的形为。

4.7 the member of audit team shall promise and sign an impartiality statement and confidentiality commitment (form no.: LQA-JL-17-12-01 for IECQ HSPM/ LQA-JL-16-15 for other system) before the implementation of audit activities, and shall not have any behavior that may affect the impartiality.

4.8 公司支持和鼓励遵守认证/审定或核查公正性要求的行动和维护认证/审定或核查公正性的努力，反对任何损害公正性的行为。对违反公正性行为人员将予以处理，造成严重后果的将辞退。违反公正性行为人员需承担相应的经济和法律责任。

4.8 It is supported and encouraged to comply with the requirements of impartiality and maintain impartiality, and be against any violence of impartiality. Those who violate impartiality will be punished, and those who be serious will be fired. Those who violate impartiality shall bear corresponding economic and legal responsibilities.

4.9 本公司成立了技术委员会，负责认证/审定或核查决定，技术委员会独立于公司各个部门。认证/审定或核查决定人员不能是参加该项目管理体系审核的人员。

4.9 A technical committee is founded and takes charge of certification /Validation and Verification decision making. The technical committee is independent to any department of the company. The

person that make certification /Validation and Verification decision are different from those who carried out the audits.

4.10 参加认证/审定或核查审核的人员，必须确保其在两年内未向申请和拟接受认证/审定或核查的组织提供过咨询服务，并且与这些组织没有影响公正性和独立性的利害关系。

4.10 the auditor participating in the audit must ensure that they have not provided consulting services to the applicant intending to accept the certification /Validation and Verification within two years, and that they have no interests conflict with the organizations which may affect their impartiality and independence.

4.11 本公司所有可以影响认证/审定或核查活动的人员包括审核员、认证/审定或核查决定或复核人员、申诉投诉管理人员、部门管理人员和高级管理人员等承诺公正行事，不因来自商业、财务和其他 方面的压力损害本公司的公正性。

4.11 all the personnel involving the certification /Validation and Verification activities, including auditors, technical reviewers or decision maker, appeal and complaint management personnel, department management personnel and senior management personnel, shall promise to be impartiality and not to violate the impartiality due to the pressure from business, finance and other aspects.

4.12 本公司不提供任何关于管理体系的咨询服务，本公司和咨询机构没有任 何利益上的关系。

4.12 LQA does not provide with any consulting services related to the management system, and LQA has no interest relationship with any consulting agency.

4.13 本公司不接受客户或潜在客户的馈赠、捐款和财务上的转让。

4.13 LQA does not accept any gifts, contribution and financial invests from clients or potential clients.

4.14 为确保公正性，本公司不对其它认证/审定或核查机构的管理体系进行认证/审定或核查。

4.14 to ensure impartiality, LQA does not certify the management systems to other CBs.

4.15 当某种关系对本认证/审定或核查机构的公正性构成不可接受的威胁时，本认证/审定或核查机构将不为其提供认证/审定或核查。

4.15 This organization will not accredit a potential client where it poses an unacceptable threat to the impartiality of the certification /Validation and Verification body

4.16 本公司不向获证客户提供内部审核。如果本公司对某个组织的管理体系提供了内部审 核，则不在内部审核结束后两年内对该组织的管理体系进行认证/审定或核查。

4.16 LQA does not provide an internal audit for client, If an relevant internal audit service has been provided from LQA, LQA will not certify the organization's system within two years of the completion of

the internal audit service.

4.17 本公司不将审核外包给管理体系咨询机构。

4.17 LQA will not outsource the audit to the management system consulting agency.

5 记录/附件 Record & Annex：

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-09-01-02	公正性声明	Statement of Impartiality
2	LQA-JL-09-02-02	认证/审定或核查/管理人员执业声明和保密承诺	Occupational Declaration and Confidentiality Commitment for certification /Validation and Verification
3	LQA-QM-003	管理委员会章程	Management Committee Constitution
4	LQA-QM-004	技术委员会章程	Technical Committee Constitution
5	LQA-JL-16-15	QES 《公正性声明及保密承诺》	an impartiality statement and confidentiality commitment of QES
6	LQA-JL-17-12-01	IECQ HSPM 《公正性声明及保密承诺》	an impartiality statement and confidentiality commitment of IECQ HSPM