

1. 认证及评审服务 Assessment and Certification Services

1.1 适用范围 Scope and Applicability

本规则适用于向 DQS 集团, 包括其分支机构及其授权合作伙伴向客户提供的认证及评审服务。目前 DQS 集团的所有成员清单可在 www.dqs-holding.com 网站获取。本规则适用于认证及评审的所有阶段, 包括但不限于客户与 DQS 所达成的提供服务和报价, 合同, 采购和/或工作单, 计划和补充内容; 有明确书面规定或法律规定的除外。

These DQS Assessment and Certification Regulations apply to all assessment and certification services offered and rendered to clients of the international DQS Group, including all its subsidiaries and partners. A current list of all members of the DQS Group is available at www.dqs-holding.com. These regulations apply throughout all stages of the certification or assessment process, including but not limited to service offers and quotations, contracts, purchase and/or work orders, schedules and addendums agreed to between DQS and Client, unless it is otherwise explicitly agreed in writing or so prescribed by statutory instruments.

本规则发布后, 即刻生效, 并且其有效性一直持续到新版本公开发布为止。

These Assessment and Certification Regulations become effective with immediate effect after their publication and remain valid until a new version is issued and published.

登录 <http://www.dqs-holding.com/en/pages/about-dqs-group/certification-rules.html>

或向相关 DQS 办公室提出要求, 便可获得最新的英文版规定。

The current version of these regulations is available in English language at <http://www.dqs-holding.com/en/pages/about-dqs-group/certification-rules.html> or upon request from every DQS office.

如果文件的翻译版本与英文版本之间存在任何差异, 以英文版本为准。

Should any discrepancy occur between a translated version and the English version of the document, the English version shall take precedence.

1.2 术语阐释 Definition of terms

- “客户”是指询问或接受任何 DQS 认证或评审服务的客户或组织, 包括其代表人。
“Client” stands for customers and any organization that inquires about or receives any DQS certification or assessment service, including their representatives, who act on their behalf.
- “DQS”是指向客户提供/交付认证和评审服务的任一 DQS 集团的成员, 包括其分支机构和授权合作伙伴。
“DQS” stands for any group member of the international DQS Group, including its subsidiaries and partners, who offer and/or deliver certification and assessment services to clients.
- “评审”是代表任何以获得客观证据并客观地评估以确定满足定义的标准准则的系统性的 DQS 活动; 它也可以称为“审核”。
“Assessment” stands for any systematic DQS activity for obtaining objective evidence and evaluating it objectively to determine the extent to which defined criteria are fulfilled; it may be also referred as “audit”.
- “审核员”是指被委派代表 DQS 参与认证和评审过程的评审人员, 审核人员及专家。
“Assessor” stands for assessors, auditors and experts, who are assigned to a certification and assessment process on behalf of the DQS group.

1.3 评审及认证服务 Assessment and Certification Services

由独立和专业的第三方, 如 DQS, 通过对管理体系、过程或产品的评审和认证使客户获益。DQS 证书可以证明合适有效的管理体系, 过程或产品能够持续满足客户期望和法律法规的要求。

The assessment and certification of a management system, a process or of a product by an independent, competent third party, such as DQS, generates valuable benefits for the client. A DQS certificate will serve as evidence for a suitable and effective management system, a process or compliant product with the capability to continuously meet customer expectations as well as regulatory and statutory requirements.

专业的审核员根据市场和环境的变化评审管理体系及其过程或产品的适合性和有效性。评审人员通过识别改进的潜力以提升组织满足既定目标的能力, 也以此来使客户不断取得成功。已通过公认的标准及规范审核而获得 DQS 相应证书的客户会对其客户和管理体系, 过程或产品充满信心。

During an assessment, qualified and experienced assessors review the management system and its processes or products for ongoing suitability and effectiveness in light of changing markets and environment. By identifying improvement potential, assessors enhance the organization's ability to meet established goals and objectives, thus enhancing sustainable success for the client. With a DQS certificate customers may place confidence on the client and the certified management system, process or product, which has been assessed and certified to recognized standards and specifications.

1.4 关于独立合同与商业条款; Reference to individual contract and commercial terms

本规则是客户与 DQS 所有评审认证协议的一部分。该协议将详细说明提供服务的类型及性质, 包括价格和时间。且双方需订立商业合同以明确履行服务的国家及/或合同方所在国家。该商业合同应包含法定代表人、司法管辖权、责任、税、付款等内容的条款; 上述内容可以直接在合同中定义, 也可参照相应的文件或补充协议。

These DQS Assessment and Certification Regulations are an integral part of any and all certification and assessment agreements between Clients and DQS. Such agreements will always specify the individual type and nature of services offered and rendered, including pricing and timing. Furthermore, the parties will establish commercial terms, which will usually be specific to the country of service delivery and/or the country of residence of the contractual partners. Such commercial terms may include clauses on legal representation, jurisdiction, liability, tax, terms of payment and others, defined in the agreement itself or a respective reference document and addendum to the agreement.

1.5 与获认可的 DQS 办公室的合同关系 *Contractual relationship to the accredited DQS office*

每当本地的 DQS 办公室基于另一个 DQS 办公室的授权或认可而提供服务时，该 DQS 办公室即是代表相应的获授权/认可的 DQS 办公室的名义开展相关活动。客户接受本地的合约和签署本地商务合同，既等同构成其与获授权/认可的 DQS 办公室之间的法律约束性认证合同。特定认可的认证活动的运营、财务和法律责任仍由获该认可的 DQS 办公室负责。

Whenever a local DQS office provides a service under authorization or accreditation of another DQS office, it acts in name and in behalf on the respective authorized/accredited office. The offer/quotation identifies the respective accredited office and its acceptance and signature of the local contract constitutes a legal binding certification contract between client and authorized/accredited DQS office. Operational, financial and legal responsibility for activities under a specific accreditation remain always under responsibility of the accredited DQS office.

2 认证流程 *The Certification Process*

DQS 通过客户的管理体系或其中一部分进行审核以确定其是否符合公认的要求，例如国际、国内或行业的标准或规范。各审核过程可能会涉及一个或多个流程，通常以发布记载审核结果的审核报告为终止。在确认客户的管理体系，过程或产品满足相关标准的所有适用要求后，DQS 将颁发客户特定的证书。

DQS assesses the Client's management system, processes, products or parts thereof, with the goal of determining its conformity with agreed and acknowledged requirements, such as international, national or sector-specific standards or specifications. The respective assessment process may involve one or more steps, usually ending with an assessment report, which documents the assessment results. In the case of certification services DQS will issue a customer-specific certificate, confirming conformity to the respective requirements, when the fulfillment of all applicable requirements has been evident.

如果在审核过程中识别出不符合项，客户必须在规定的时间内计划并实施纠正措施。只有在有效地落实了合适的纠正措施后才能颁发证书。必须在证书上注明认证的范围及有效期。

If nonconformities with requirements of the respective standard or specification have been identified during an assessment, corrective action shall be planned and carried out by Client within a specified time frame. Certificates will only be issued after the effective deployment of suitable corrective action has been demonstrated. The scope and duration of validity shall be stated on the certificate.

大多数审核结果是以抽样过程为基础的，目的是提供有效执行和遵守管理体系的可靠证据。可能存在未经审核组审查的其他业务方面，无论是正面的还是负面的。组织有责任调查和评估潜在影响和审核发现的范围，从而持续确保完全符合所应用的标准要求。DQS 不承担相应的责任。

Most audit findings are based on a sampling process, targeted towards reliable evidence for effective implementation and compliance of the management system. Further business aspects may exist, positive or negative, which have not been reviewed by the audit team. It is the sole organization's responsibility to investigate and evaluate the potential impact and scope of findings, thus continuously ensuring full compliance to the applied standard(s). In cases of non-compliance, DQS is not liable.

DQS 与客户同意依据适用标准，相关行业要求（如适用）以及本评审认证协议，包括本协议所附或提及的文件来实施评估和/或认证客户的管理体系，过程或产品。

DQS and Client agree that the evaluation and/or certification of the Client's management system(s), processes or products shall be performed in accordance with the applicable standards, the industry related requirements (if applicable) and the Assessment and Certification Agreement, including this document and any documents attached thereto or referred to therein.

DQS 对评审和认证保持独立、中立和客观立场。审核通常在客户的运营场地现场进行，但也有可能部分审核活动通过远程审核活动实现（非现场）。具体审核的类型、内容和时间安排依据双方独立签订的合同而定。在对客户进行审核的过程中，DQS 应尽可能地降低对客户经营流程的影响。

DQS is independent, neutral and objective in its assessments and certifications. Assessments are normally performed at Client's place of operations (on-site) but may be partially conducted, substituted or complemented by remote auditing activities (off-site). The type, extent and time schedule of the procedure are subject to separate agreement by the parties. DQS strives to minimize any disturbances of the business process while conducting the assessment on Client's premises.

认证流程一般包括以下步骤：

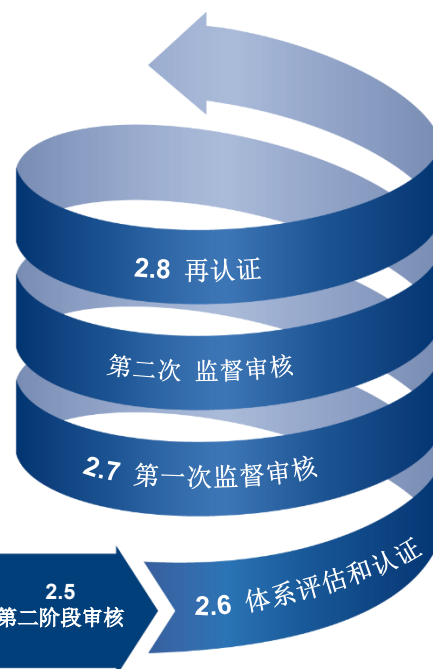
The Certification Process will generally include the following steps:

2.1 初步信息 Basic information

该过程以客户需求及期望为起始点。DQS 需要了解客户的组织，管理体系及经营的规模和类型。并且双方还需要确定好评审和/或认证的目标，包括适用性标准和规则。The process starts with the client's needs and expectations. DQS wants to learn about the client's organization, its management system, size and types of operation. Together both parties will define objectives for the assessment and/or certification, including applicable standards and specifications.

2.2 报价及合同 Quotation and contract

DQS 将依据提供的初步信息根据每个客户的需求，来提供评审和认证服务的详细报价。书面的合同上将会详细规定所有相关的提供的服务及适用性的评审认证标准。DQS will provide a detailed offer for assessment and certification services, tailored to individual client needs, based on the information provided initially. A written contract will specify all relevant deliverables as well as applicable assessment and certification criteria.



2.3 选择：预审核，项目规划 Pre-audit, project planning

预审核可以用来初始性能测试和差距分析，来识别改进的潜力。对于更全面的评审和认证项目，项目策划会议为所有的客户提供了一个有价值的机会来符合主要审核员的要求，并为所有涉及的性能和场地做出一个客户化的评审计划。这两种服务都是可选择的。A pre-audit can serve as initial performance or gap analysis, identifying strengths and areas for improvement. For larger assessment and certification projects a project planning meeting provides a valuable opportunity for the client to meet the lead assessor and develop a customized assessment plan for all functions and locations involved. Both services are optional.

2.4 第一阶段审核：Stage 1 audit

认证过程从评审系统文件，目标，管理评审和内部审核的结果开始。在这个过程中，客户的管理体系是否已经有效发展及是否已经为认证做好准备，对此将会做出判断。审核员将阐释所发现的现象，调整所需的的活动，为现场二阶段审核做准备，第一阶段审核通常不适用于过程和产品认证。

Stage 1 audit: The assessment procedure itself begins with review and evaluation of system documentation, goals, results of management review and internal audits. During this process, it will be determined whether the client's management system is sufficiently developed and ready for certification. The assessor will explain findings and coordinate any required activities to prepare for the Stage 2 audit. The Stage 1 audit is usually not applicable for the certification of processes and products.

2.5 审核第二阶段（系统评审）：Stage 2 audit (System analysis)

委派的审核组将会在产品或服务交付的场地评审客户的管理体系，过程或产品。基于观察，检查，访谈，相关记录的评审和/或远程的评审方法，适用于既定的管理体系标准及规则，审核组将会对所有功能性场地及管理体系的过程，实施评估它们的有效性。在末次会议上将会向客户提出该评审结果包括所有的发现。必要时将会商定所需的措施计划

Stage 2 audit: The assigned auditor team will audit the client's management system, processes or products at the place of production or service delivery and/or by use of remote auditing techniques. Applying defined management system standards and specifications, the assessment team will evaluate the effectiveness of all functional areas as well as all management system processes, based upon observations, inspections, interviews, review of pertinent records, and other assessment techniques. The audit result, including all findings will be presented to the client during the closing meeting. Required action plans will be agreed upon as necessary.

2.6 系统评估和认证：System Evaluation and certification

DQS 拥有独立的认证功能，会评估审核过程和结果，独立决定是否颁发证书。客户会收到审核报告，编制的审核结果。当满足所有适用要求时，客户会收到证书

System Evaluation: The independent certification function of DQS will evaluate the audit process and its results, and decide independently about issuance of the certificate. The client receives an audit report, documenting the audit results. When all applicable requirements are fulfilled the client also receives the certificate.

2.7 监督审核：Surveillance audit

不管是半年审核一次还是至少一年审核一次，管理体系关键部分的审核都会实施。改进潜力会被识别，主要集中于持续改进和持续有效性。每次监督审核通过后 DQS 将核发通过证明及特定标签。对于产品认证，监督审核通常由年度再认证取代。

Surveillance audits: Either semi-annually or at least once per year, there will be an audit of the critical components of the management system. Improvement potential will be identified, with a focus on continual improvement and sustained effectiveness. For product certification, a surveillance audit is usually replaced by an annual re-audit.

2.8 再认证: Re-Audit

一个管理体系证书在特定的时间内有效,通常是三年有效期。在有效期截止前,需要实施一个再认证来保证其管理体系继续满足适用的要求。如果满足了要求将会颁发一个新的证书。

Re-Audit: A certificate is valid for a limited period of time, mostly for a maximum of three years. At the end of this cycle, a re-audit will be carried out to ensure the ongoing fulfillment of all applicable requirements. Subject to this fulfillment, a new certificate will be issued.

对于特定行业标准或者过程/产品审核,所描述的认证过程可能存在不同。

For sector specific standards or process and product certification, the described certification process may differ.

3 客户的权利及义务 Rights and Obligations of Client

3.1 维护管理体系 Maintaining the Management System / conformity of processes and products

为获得证书及维持其有效性,客户必须实施并维护文件化的满足特定的标准或规范的管理体系。在过程/产品认证的情况下,客户负责确保持续的符合性。客户必须能对其管理体系,过程或产品的符合性及有效性提供证据,使其可供委派的审核小组评审之用。客户必须采取必要措施以确保管理体系和或产品始终维持在符合有效状态。

In order to obtain and maintain a certificate, the Client shall implement and maintain a documented management system which fulfils the requirements of the selected standard or specification. In case of process / product certification, Client is responsible for assuring ongoing conformity. The Client shall provide evidence of conformity and effectiveness of the assessed management system, processes or products, readily available for assessment by the assigned assessment team. The Client shall undertake all necessary actions to ensure that the management system and/or product is maintained in a conforming and effective manner at all times.

客户会被告知影响认证方案的任何新的或修订的认证规则要求。如果认证适用于正在进行的生产活动,客户应确保已认证的产品持续满足体系或产品要求。DQS 应在认证过程中验证客户基于变更所采取的措施的实施情况。

The Client will be notified of any changes to the certification program or new or revised requirements that affect the Client. In case the certification applies to ongoing production, the Client shall ensure that the certified product continues to fulfill the system or product requirements. DQS shall verify the implementation of changes by the Client and initiate required measures in the certification process.

3.2 开放信息 Access to Information

客户应保证 DQS 在实施既定的审核工作时可以获取所有必要的信息和需要的资源并对所申报的人数承担相应责任。对于具有重要意义的审核过程,客户承诺所有被指名的代表和职员会及时向审核员提供准确而完整的信息和客观证据。在认证的管理体系,过程和或产品范围之内,如需要,客户必须将所有相关投诉及其纠正措施提交给 DQS。

The Client ensures that DQS has access to all necessary information and the required facilities to perform the assigned assessment tasks. The Client commits all nominated representatives and employees to grant access to and provide the assessor with accurate and complete information and objective evidence in a timely manner concerning all processes which may be significant to the assessment. Within the scope of certified management systems, processes and/or products, all records relating to complaints and their corrective actions shall be presented to DQS upon request.

3.3 变更通知义务和特殊事件 Notification of Changes and Special Incidents

对于可能影响被认证的管理体系的任何变更,客户有责任及时通知 DQS。尤其是购买/出售部分或全部公司股权、所有权的任何变更、运营的重大变更、过程的根本转变、特殊事件,诸如严重事故或严重违法/法律义务及须要主管监管机构参与的事件等、或处于申请破产或重组中。只要有任一上述情况,DQS 须与客户沟通并决定是否维持证书。

The Client is obliged to inform DQS without delay of any changes, which may influence the certified management system, processes or the certified products. This applies in particular to the purchase/sale of all or a portion of the company, any change in ownership, major changes in operations, fundamental alterations in processes, incidents such as a serious accident or a serious breach of regulation/legal obligation necessitating the involvement of the competent regulatory authority, or the filing for bankruptcy or composition proceedings. In any of these cases, DQS will consult with Client and determine how the certificate may be maintained.

客户有义务在产品召回的情况下立即通知 DQS。各个认证标准及其法规在满足这要求使用了不同的时间期限。这些规范可在相应的标准及其适用法规中找到。

The client is obliged to immediately notify DQS in case of a product recall. The individual certification standards and their regulations use different time frames in terms of meeting this deadline. These specifications can be found in the respective standards and their applicable regulations.

3.4 审核的独立性 *Independence of the Assessment*

客户必须避免任何可能会影响到其职员或 DQS 审核员审核独立性的情况，尤其是提供咨询、雇佣、给予报酬和分包，涉及费用或其他金钱回报的单独协定。

Client is obliged to avoid anything that might compromise the independence of the employees and assessors of DQS. This applies in particular to offers of consultancy, offers of employment, both salaried and sub-contracted, to separate agreements about fees or other monetary rewards.

3.5 拒绝审核员的权利 *Right to reject Assessor*

在确认审核日期之前，客户有权以适当理由去评审及拒绝 DQS 指派的审核员。在特定情况下，例如：在公正性受到威胁的情况下，如果适用的认证规则允许，客户需提出书面申请，DQS 将基于恰当理由更换审核员。

Prior to confirmation of the assessment date, the Client is entitled to review and reject the assessor(s) assigned by DQS with proper justification. In justified cases, e.g. in case of a threat to impartiality, and if applicable accreditation rules allow, DQS will assign a replacement for the rejected assessor.

3.6. 保密与信息安全

DQS 提供给客户的文件，包括商标和 DQS 认证标志都享有版权。客户明确承认所有 DQS 提供的供检查之用的资料的所有权属于 DQS；且这些文件仅供客户内部使用，不得提供给第三方或作为本规则及其他书面协议约定之外的目的使用。客户应对本协议所显示的信息以及所了解到的 DQS，DQS 员工和审核员的相关信息严格保密。这一义务在合同终止后依然适用。客户代表其所有代理机构和附属人员承担这一义务。

客户可以对审核报告以整体形式提供。但仅提供报告的部分摘取是不允许的。

The documents provided to the Client by DQS, including the Marks and the DQS certification symbol, are protected by copyright. Client specifically acknowledges that all documents which are provided or made available by DQS for examination remain the property of DQS, and that they may be used only for the internal needs of Client and not made available to third parties or be used for purposes other than those agreed upon herein or in writing. Client is obliged to maintain strict confidentiality about any information revealed within the terms of this Agreement as well as of all knowledge of matters relating to DQS, its employees and assessors. This obligation also applies after termination of the contract. Client similarly accepts this obligation on behalf of any vicarious agents and auxiliary persons.

Client is permitted to forward the assessment report in its entirety. The forwarding of extracts is not permitted.

3.7 证书及认证标志使用权 *Confidentiality and Information Security*

对于有效的 DQS 认证，客户有权依据公布在 [DQS](#) 网站的规则以宣传为目的使用证书及相应的认证标志或认可标志。

With a valid DQS certification, the Client is entitled to use the certificate, the respective certification marks and in some cases, the accreditation marks for promotion purposes according to related rules published at the [DQS website](#).

对于受版权保护的 [DQS 认证管理体系标志](#)、[UL 注册商标](#)和其他认证或认可标志（以下简称“标志”）的授权使用可以增强客户的顾客对于其管理体系和其相应绩效方面的信心。这些标志经常被使用于企业文具、宣传册、互联网、展销会、运输工具或广告中。并且与认证组织及其管理系统直接相关。这些标志直接与认证组织及其管理体系相关联。证书和标志的使用仅限于被认证的范围和认证有效期内，且不得用于产品或产品包装，也不得用于任何可能被解释为表示产品符合性的任何方式。

Authorized use of copyrighted [DQS Certified Management System Mark®](#), the [UL Registered Firm Mark®](#) and other Certification or Accreditation Marks shall enhance confidence of customers in the Client's certified management system and the respective performance. These marks are frequently used on company stationery, in brochures, the Internet, at exhibitions, on vehicles or in advertisements and are directly associated with the certified organization and its management system, processes or products. The use of certificates and marks is restricted to the scope and the period of validity of the certification and they shall not be used on a product nor product packaging nor in any other way that may be interpreted as denoting product conformity.

3.8 抱怨 *Complaints*

每个 DQS 客户都有权获得既定的服务来满足其合理的期望和要求。若未得到满足，客户有权向相关 DQS 成员提出抱怨或举报。DQS 会要求提供必要信息以供分析和改进之用。

Every Client of DQS has the right to have services performed within the agreed scope in such a way that all reasonable expectations and requirements are fulfilled. In case of non-fulfillment, the Client is entitled to file a complaint with the respective DQS Company. DQS will request information necessary for analysis and improvement.

3.9 申诉 *Appeals*

客户对具体的认证决定不同意时，可以提出书面申诉，请求复议决定。独立的公正的技术评审人员（即未参与审核活动和初次认证决定的）在与经认可的 DQS 办公室管理层协商后，就申诉作出最终决定。

If a client does not agree with a specific certification decision, client may submit a written appeal and request reconsideration of the decision. A separate impartial technical reviewer, not involved in the conduct of the audit and the initial decision, makes the final decision on an appeal after consultation with the management of the accredited DQS office.

4 DQS的权利和义务 Rights and Obligations of DQS

4.1 管理体系审核 Assessment of Management Systems

DQS 通过实施定期审核（通常是以半年度或年度为基础）来检验客户认证的管理体系，过程或产品的符合性和有效性。出于审核的需要获取其文件以及和客户的相关资料。此外，出于审核的目的，DQS 有权获取客户在所述框架下的相关资源：计划的评估考察，观察运行情况，检查过程、产品和服务，提问员工和代表人，评审文件和有关记录以及通过其他审核方式来收集信息来确保获取充分的有效证据以支撑认证决定。如果 DQS 收到来自第三方对于已认证的管理体系、过程或成品的符合性或有效性存在争议的信息，DQS 有权在与客户商定之后额外执行非既定的审核。经评估后 DQS 有权实施额外的、未事先通知的审核。

DQS verifies the conformity and effectiveness of Client's certified management system, processes or products by performing regular assessments (usually on a semi-annual or annual basis). For these assessment purposes DQS has the right to access Client's facilities within the framework of planned assessment visits, observe operations, inspect processes, products and services, interview employees and representatives, review documents and pertinent records, and to collect information with other assessment techniques in order to get sufficient objective evidence upon which to base a certification decision. Should DQS receive information from third parties which dispute the conformity or effectiveness of a management system, process or product, which DQS has certified, it is entitled to perform additional, non-routine assessments after consulting with Client. In legally regulated areas, DQS is entitled to perform additional, unannounced assessments, whenever justified.

4.2 认可与授权 Accreditation and Authorization

DQS 拥有多个认可机构和政府及非政府机构的授权，以根据多种标准和规范颁发相应审核报告和证书。根据适用的认可和授权规则，在本协议规定的保密要求，DQS 允许这些人员获取其文件以及和客户的相关资料。此外，无论个别标准或规范是否有明确规定，客户的相关资料和审核结果将报告给这些机构。通过接受本认证和评审规则等同客户同意上述所有适用的认可和授权要求的最新版本及后续适用版本(例如. ISO/IEC 17021-1 or ISO/IEC 17065)。

DQS is authorized by various accreditation bodies and other Government and Non-Government Authorities to issue assessment reports and certificates according to various standards and specifications. This includes the obligation to allow employees or auxiliary persons of these bodies to participate in assessments. According to the applicable accreditation and authorization rules, DQS allows these individuals access to both its own documents and Client-related data, subject to the confidentiality requirements set forth herein. In addition, whenever individual standards or specifications explicitly require, Client-related data and assessment results are passed on to these bodies. By accepting these Certification and Assessment Regulations the Client consents to the applicable accreditation and authorization requirements in their current version (e.g. ISO/IEC 17021-1 or ISO/IEC 17065), including all of the foregoing.

DQS 有权将特定的审核和认证工作指定给其他具有相应认可或授权的 DQS 公司。无论证书是由 DQS 公司颁发或是由与客户订立合同的当地的 DQS 成员所颁发，本协议所有相关权利和义务同等适用于经认可和认定的 DQS 公司。

DQS is entitled to assign specific assessment and certification tasks to other DQS Companies, holding the required accreditations or authorizations. Whenever certificates are issued by a DQS Company other than the Client's local DQS partner, all relevant rights and obligations herein apply equally to the accredited and certifying DQS Company.

4.3 审核员委派 Assignment of Assessors

DQS 对于委派专业审核员承担全部责任。DQS 承诺委派在技术资质、经验和个人能力方面具备相应能力的审核员。审核员必须获得相关标准或规范所规定的批准授权，并具备管理、审核及客户的经营范围相关的适当经验。在很多情况下，DQS 可能会安排一个由 2 名或 2 名以上审核员组成的审核小组进行具体的审核或认证活动。如需要，DQS 将向客户提供选定审核员的简历。

The assignment of competent assessors is the sole responsibility of DQS. DQS agrees to use only assessors, who are qualified for the task on the basis of their technical qualification, their experience and their personal abilities. Assessors shall be authorized for the required standard(s) or specification(s) and will have appropriate experience in Client's area of operation as well as in management and auditing. In many cases DQS may assign an audit team, comprised of two or more assessors to a specific assessment or certification process. On request, DQS will submit a short CV of the selected assessor to the Client.

若某一审核员在审核前或审核中不能参加审核，DQS 将竭力委派其他合适可行的审核员代替。

Should an assessor become unavailable before or during the assessment, DQS will strive to provide a suitable replacement assessor, as feasible.

4.4 审核安排 Scheduling of Assessments

DQS 有权对客户的管理体系安排审核工作。审核应在适用规则所要求的时间段内，兼顾双方共同的方便时间来安排。审核日期必须以书面形式确认。一旦确认审核日期，就具备拘束力。个别审核协议可能会包括对于取消或推迟审核的赔偿条款。

DQS has the right to schedule assessments of the Client's management system, processes or products. Assessments shall be scheduled at the mutual convenience of both parties within the time frames mandated by the applicable requirements. Assessment dates shall be agreed upon in writing. Once confirmed such assessment dates are binding. Individual assessment agreements may include provisions for compensation for canceling or postponing confirmed assessments.

根据标准的不同，认证还可能包括飞行审核，此类审核可以是完全不通知的，或是在短时间内通知的审核活动。如果由于客户的原因（拒绝进入）导致无法进行飞行审核，DQS 可向客户收取策划飞行审核所实际产生的费用。认证现场必须提供必要的措施，以确保在未通知审核的情况下，允许审核员进入。

Certification may also include, depending on the standard, unannounced audits, which are either completely unannounced or announced on short notice. If an unannounced audit cannot be performed due to reasons the client is accountable for (denial of entrance) DQS may charge the costs actually incurred by preparing for the unannounced audit to the client's account. The certified site has to take the necessary steps to ensure access is granted to the auditor in the event of an unannounced audit.

4.5 证书颁发 *Issuance of certificate*

客户满足所有认证要求和合同义务后，DQS 必须颁发 DQS 证书（以下简称“证书”）。基于审核员的推荐、所有审核结果和记录在审核报告中的记录，DQS 集团对给予认可和签发的认证决定承担全部责任。DQS 证书在有效期内有效，通常最长是 3 年，自颁发之日起算。

DQS shall issue a DQS Certificate (herein referred to as "Certificate") and deliver it to Client upon Client's fulfillment of all certification requirements and contractual obligations. The certification decision is the sole responsibility of the accredited and issuing DQS group company, based on the assessors' recommendation for issue and all assessment results, as recorded in the assessment report. DQS certificates are valid for a limited period of time, usually a maximum of three years, commencing from the date of issuance.

4.6 保密性和数据保护 *Confidentiality and Data Protection*

DQS 承诺对经客户允许的活动范畴下供审核所用的所有不为公众所知的信息保密，无论该信息是属于客户内部或是商业相关事宜。该义务同样适用于审核中口头和书面结论。DQS 只有在获得客户书面授权之后才能将保密信息透露给第三方，除非法规规定或者本规则另有明确的规定。在合同终止后这些承诺仍适用。在某些具体行业认证项目中，部分审核和客户数据是由项目所有者所掌控（例如汽车、航空航天、食品认证）；客户视为认同。

DQS commits itself to protect the confidentiality of all confidential information of Client that is not publicly available and that is made available to DQS in the context of its activities on Client's premises, whether this information relates to internal matters of Client or to its business relations. This also applies to the verbal and written results of the assessment. DQS will disclose confidential information to third parties only with the written authorization of Client, unless legally required or explicitly provided otherwise in these Certification and Assessment Regulations. These commitments also apply after termination of the contract. In some sector certification schemes, part of the audit and client data are mandatorily handled in applications provided by the scheme owner (e.g. automotive, aerospace, food schemes); client consents to this.

对于审核相关记录，DQS 至少保存 2 个认证周期（一般为 6 年）。这些承诺仍适用于合同终止后。

DQS retains records associated with assessments for a minimum of two certification cycles (usually six years). These commitments also apply after termination of the contract

4.7 宣传 *Publicity*

DQS 有权维护和发布登记的所有在 DQS 认证的客户信息。公布内容包括被认证组织的名称和地址以及认证的范围、相应标准/规范和认证状态。客户在此同意对本协议所述信息的公布。另外，在订单处理过程中，客户数据存储和处理在项目所有者的外部数据库中。客户同意接受第三方可以在相应数据库中存储、访问和查看客户数据的提议。

DQS is entitled to maintain and publish a register of all Clients holding a current DQS certification. This publication contains the name and address of the certified organization as well as the scope and reference standard/specification and certification status. Client hereby consents to the publication of such information hereunder. Additionally, in the course of order processing customer data is stored and processed in external databases of scheme owners. The client agrees with the acceptance of the offer that customer data can be stored, accessed and viewed by third parties in the corresponding databases.

4.8 电子通讯 *Electronic Communication*

除上述规定外，客户准许 DQS 将未加密信息或其他信息通过互联网、电子邮件或其他由客户提供的公共网络地址传送。客户承认 DQS 不能保证以该方式所发送的信息的隐私和保密性。DQS 对于通过互联网或其他公共网络传输保密信息的行为不得违反本协议下的保密义务。DQS 无需对由这种传输方式导致的损害承担法律责任；但 DQS 对于该类保密信息应给予与自身保密信息同等级别的对待。Notwithstanding the foregoing, Client hereby authorizes DQS to transmit unencrypted confidential information and other information through the Internet or a public network to e-mail addresses or other locations provided by Client. Client acknowledges that DQS cannot guarantee the privacy and confidentiality of such transmissions. Client agrees that DQS's transmission of confidential information via the Internet or other public network shall not be a breach of any confidentiality obligation under these Certification and Assessment Regulations and that DQS shall not be liable for any damages resulting from such transmissions, provided that such confidential information is handled with the same degree of care as DQS handles its confidential information.

若客户对 DQS 的网站设立超链接，客户同意：

- (i) DQS 网站上的所有信息归 DQS 所有；
- (ii) 链接网站应直接将用户转入 DQS 网站，不得增加任何页面，浏览器窗口或是第三方的内容；
- (iii) 链接网站不得明示或暗示该客户或其产品及服务通过 DQS 认证。

If Client hyperlinks to DQS's web site, Client agrees: (i) the information contained on DQS's web site belongs to DQS; (ii) the linking web site will transfer the user directly to DQS's web site as posted by DQS without imposing any frames, browser windows or third-party content; and (iii) the linking web site may not state or imply that Client or its products or services are endorsed by DQS.

5 证书及标志 Certificates and Marks

5.1 证书的颁发及标志的使用 Issuance of certificates and use of marks

DQS 颁发证书需确认客户的管理体系，过程或产品是否符合特定国家、国际的标准、行业认可或客户的具体要求；当客户在审核中能够证明满足所有适用要求时，DQS 将颁发相应证书。客户有权将证书及相关认证标志用来提升商业伙伴对其自身的信任度。DQS issues certificates confirming the conformity of the Client's management system, processes or product to selected national and international standards as well as to recognized industry- or customer-specific requirements, when the Client has demonstrated in an assessment that all applicable requirements have been fulfilled. The Client is entitled to use the certificate and the related certification marks to promote confidence with business partners.

颁发证书后，DQS 将继续提供监督服务以保证该管理体系始终符合要求。具体认证的确立和维护视执行本协议和后续客户提出的条款而定。

Upon issuance of a Certificate, an ongoing surveillance service will be established to ensure that conformity of the management system, processes or products is maintained continuously. The establishment and maintenance of certification is contingent upon the execution of the assessment and certification agreement and the continued adherence to its terms and conditions by the Client.

如果报告中客户的管理体系、过程、产品或服务不符合有关法律法规、认证规则或其他适用要求时，客户同意与 DQS 合作来查明事实；还包括客户将获得不符合报告的信息以及必要时将采取的纠正措施告知 DQS。

Client agrees to cooperate with DQS in ascertaining the facts if it is reported that Client's management system, processes, products or services are not in conformance with regulatory, statutory, certification or other applicable requirements, including sharing such information as Client acquires regarding the reported nonconformance, and to take and report to DQS on any corrective action necessary.

客户同意接受监督服务，例如监督审核以及任何 DQS 实施的旨在检验客户运行的管理体系是否符合相关认证要求的特殊审核；且客户对其在认证范围内的管理体系、过程、产品和服务承担责任。

Client agrees that the surveillance service, such as surveillance assessments, and any special assessments conducted by DQS are designed to serve only as a check on the means the Client exercises to determine conformance of its management system, processes or products with certification requirements, and that Client is in no way relieved of its responsibility for its management system, processes, products and services within the scope of certification.

证书及认证标志不得转让给合法继承人或其他组织。在证书有效期届满或处于暂停、撤销或废止状态时，客户必须停止一切宣传或其他使用证书的行为。客户同意在证书到期、撤销或废止后将证书退还。不再享有保留证书的权利。

Certificates and Certification Marks may not be transferred to successors in title or other organizations. After a certification has expired or has been suspended, withdrawn or annulled, Client must desist from any promotion or other use of the certification. Client agrees to return the certificate following expiration, withdrawal or annulment. The right of retention is specifically excluded.

5.2 不颁发证书 Non-issuance of Certificates

DQS 只有在（初审/重审）后所有相关标准，规范和合同要求都被满足后，才颁发证书。若不满足，审核员会在不符合报告中记录缺陷和/或注明颁发证书的限制条件。

DQS may only issue Certificates if all requirements of the selected standard(s), specifications and contracts have been fulfilled following the assessment (initial/re-assessment). In case of non-fulfillment, the assessor documents the shortcomings in a nonconformity report and/or otherwise identifies the restraints which shall be complied with in order for a certificate to be issued.

颁发 DQS 证书前必须消除所有的不符合项或限制条件。如必要，DQS 将进行全部或部分重新审核。若在跟踪审核后，仍然没能关闭不符合项或仍未能满足颁发证书的先决条件，那么该认证流程以颁发审核报告终止，而不颁发证书。

All non-conformances or restraints shall be eliminated prior to the issuance of a DQS certificate. If necessary, DQS will repeat the assessment partially or in full. If the non-conformances have not been eliminated or if the prerequisites for the granting of a certificate have not been achieved even after follow-up assessments, the certification procedure will be concluded by the issuance of a report without a certificate.

5.3 证书的暂停、撤销和废止 Suspension, Withdrawal and Annulment of a Certificate

5.3.1 暂停 Suspension

DQS 有权对违反认证、合同或未履行对 DQS 付款义务的客户临时暂停其证书，包括但不限于：

DQS is entitled to suspend temporarily a Certificate if Client violates certification, contractual or financial obligations towards DQS, including but not limited to:

- 未在规定的时间内采取明确有效的纠正措施；
Corrective actions have not been demonstrably and effectively implemented within the agreed-upon time frame;

- 未按 DQS 建议的审核计划执行维持认证所必须的审核以及未在规定的时间内完成规定的审核频次；
The schedule of audits suggested by DQS for assessment(s) necessary for the maintenance of the certification have not been complied with and the prescribed frequency since the previous assessment has thereby been exceeded;
- 客户未及时通知 DQS 其计划对管理体系的变更和对于审核而言会影响与标准或规范符合性的变更或特殊事件或产品召回（见 3.3 条款）；
DQS has not been informed in a timely manner about planned changes to the management system, special incidents or product recall (see 3.3) or other changes, which affect the conformity with the standard or specification which forms the basis for the assessment;
- 错误或未经授权使用 DQS 证书, IQNet 证书或认证标志；
A DQS certificate or a certification symbol have been used in a misleading or unauthorized manner;

至少一次书面通知后，仍未支付审核和认证服务费用。

Due payments for assessment and certifications services have not been made timely after at least one written reminder.

如果发现严重违反认证规则，DQS 有权在认证决定后暂停证书。

DQS is also entitled to suspend a certificate if significant breaches of accreditation rules become known after the certification decision.

DQS 将以书面形式通知客户拟暂停证书。若客户在 2 周内仍未解决引起证书暂停的原因，DQS 将以书面形式正式通知客户暂停证书直至客户采取必要纠正措施。

DQS will notify Client of a proposed suspension in writing. If the reasons for the proposed suspension are not eliminated within two weeks, DQS will inform Client in writing of the suspension of the Certificate stating the reasons as well as the corrective actions necessary for the certification to be reinstated.

暂停证书有时间限制（通常最多为 90 天）。若在规定的期限内，客户采取了确实有效的措施，DQS 将取消暂停证书；反之，DQS 将依照如下所述程序撤销证书。

Certificates are suspended for a restricted period (usually a maximum of 90 days). If the required measures have been implemented demonstrably and effectively by the established deadline, the suspension of the Certificate is cancelled. If the required measures have not been implemented within the established deadline, DQS may withdraw the Certificate as set forth below.

5.3.2 撤销 *Withdrawal*

若存在以下情况，DQS 有权撤销或宣布证书无效，并以书面形式通知客户：

DQS is entitled to withdraw Certificates or to declare them invalid upon written notice to Client if:

- 超过证书暂停期限；The suspension period of the Certificate has been exceeded,
- 不能保证管理体系，过程或产品符合相应标准或规范；客户不愿或不能关闭不符合；
The conformity of the management system, processes or products with the standard or specification on which it is based is not ensured or Client is not willing or able to eliminate nonconformities;
- 对于已经暂停的证书，客户仍然将认证作为宣传手段；
Client continues to use the certification for promotion following the suspension of the Certificate;
- 客户对证书的使用损害了认证机构或 DQS 的声誉；
Client uses the certification in such a way as to undermine the reputation of the certification body or DQS;
- 颁发证书的前提条件不再适用；The preconditions which led to issuing the Certificate no longer apply;
- 客户自愿或非自愿形式申请破产；Client files any voluntary or involuntary petition in bankruptcy;
- 客户有效地终止了与 DQS 的合同关系。Client effectively terminates its contractual relationship with DQS.

5.3.3 废止 *Annulment*

若存在以下情况，DQS 有权废止证书，或宣布已颁发的证书无效：

DQS is entitled to annul Certificates, or retroactively declare them invalid, if:

- 事后证明颁发证书的先决条件事实上未被满足；
It subsequently turns out that the preconditions required for issuance of the Certificate had not in fact been fulfilled;
- 客户影响了认证流程，损害了认证结果的客观性、中立性或独立性而导致 DQS 对认证结果的决策存在问题。
Client has compromised the certification procedure so that the objectivity, neutrality or independence of the assessment results are, in the judgment of DQS, in question.

6 具体行业要求 Additional Program Requirements

对于某些行业特定管理体系或产品认证和评估服务，可能适用其它强制性要求，包括但不限于：

For some sector specific management system or product certification and assessment services, additional mandatory program requirements may apply, including but not limited to:

汽车项目 Automotive sector:	汽车行业相关附录 Annex Automotive https://www.dqs-holding.com/en/certification-regulation/
航空航天项目 Aerospace sector:	航空航天相关附录 Annex Aerospace https://www.dqs-holding.com/en/certification-regulation/
轨道交通项目 DQS GmbH - Railway Sector:	轨道交通相关附录Annex IRIS https://www.dqs-holding.com/en/certification-regulation/
通信项目 DQS Inc. –Telecommunication Sector:	通信项目相关附录Annex TL9000 https://www.dqs-holding.com/en/certification-regulation/ and/or https://dqsus.com/requirements-and-regulations/
DQS MED公司管理项目 DQS MED programs:	DQS Medizinprodukte GmbH的 DQS审核及认证规则以及相关补充要求 https://www.dqs-med.com/good-to-know/general-information DQS Auditing and certification regulations of DQS Medizinprodukte GmbH and its supplements https://www.dqs-med.com/good-to-know/general-information
DQS CFS公司管理项目 DQS CFS programs:	DQS CFS GmbH的管理体系评审和产品认证的特殊要求 https://dqs-cfs.com Specific Conditions for the Assessment of Management System and Product Certification of DQS CFS GmbH https://dqs-cfs.com/audit-and-certification-regulations/
中国市场 Chinese Market:	中国官方认可机构（如CNCA）规定的中国认证市场活动的特殊要求 https://www.dqs-holding.com/en/certification-regulation/ or http://www.dqs-cn.com/Cn/Customer/download/catid/21.html Specific Conditions for activities on the Chinese market as defined by Chinese governmental authorities (E.g. CNCA) https://www.dqs-holding.com/en/certification-regulation/ or http://www.dqs-cn.com/Cn/Customer/download/catid/21.html

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