



Rules for the certification of Management Systems

管理体系认证规则

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Technical rules

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CHAPTER 1 GENERAL 总则

1.1

These Rules describe the procedures applied by RINA for the certification of Management Systems and how organisations can apply for, obtain, retain and use this certification, as well as its possible suspension and revocation.

这些规则描述了 RINA 用于管理体系认证的程序，以及组织如何申请、获得、保留和使用该认证，以及可能的暂停和撤销。

For any issues not covered in this document, reference should be made to "GENERAL TERMS AND CONDITIONS FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" which can be downloaded at www.rina.org.

对于本文档未涵盖的任何问题，应参考“系统、产品和人员认证的一般条款和条件”，该条款和条件可在 www.rina.org 下载。

1.2

RINA issues certification in accordance with ISO/IEC 17021-1:2015 to organisations whose Management System has been recognised as conforming to the all the requirements of the reference standard or regulatory document.

RINA 根据 ISO/IEC 17021-1: 2015 向其管理体系被公认为符合参考标准或监管文件所有要求的组织颁发认证。

For each standard relevant to a Management System, RINA publishes additional appendices as annexes to these rules.

对于与管理体系相关的每个标准，RINA 都会发布其他附录作为这些规则的附件。

Therefore, for all Standards relating to a Management System that have published a supplementary appendix, in addition to the requirements of these Rules and the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL", the additional requirements set out in the supplementary appendices attached also apply.

因此，对于所有已发布补充附录的与管理体系相关的标准，除了本规则和“系统、产品和人员认证合同的一般条件”的要求外，所附补充附录中规定的附加要求也适用。

For the management system standards for which no supplementary appendix is published, the requirements of these Rules and the "GENERAL CONTRACT CONDITIONS FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.

对于未公布补充附录的管理体系标准，适用本规则和《体系、产品和人员认证总合同条件》的要求。

1.3

Certification is open to all Organisations and does not depend on whether they belong to an association or group.

RINA applies its current certification fees and guarantees fairness and uniformity of application.

认证对所有组织开放，不取决于他们是否属于协会或团体。RINA 采用其当前的认证费用，并保证申请的公平性和统一性。

RINA is entitled to refuse requests for certification by organisations that have been subject to, or whose production or activities have been subject to restriction, suspension or proscription by a public authority.

RINA 有权拒绝受公共当局限制、暂停或禁止其生产或活动的组织的认证请求。

When RINA decline an application, the reasons shall be communicated to the client.

当 RINA 拒绝申请时，应将原因告知客户。

1.4

The certificate issued by RINA pertains exclusively to a single organisation, where organisation means a group, company, enterprise, body or institution, or parts and combinations thereof, whether associated or not, public or private, with its own functional and administrative structure.

RINA 颁发的证书仅与单个组织有关，其中组织是指具有自己的职能和行政结构的团体，公司，企业，团体或机构，或其部分和组合，无论是否相关，公共或私人。

For organisations with more than one operating unit, each operating unit can be defined as an organisation.

对于具有多个运营单位的组织，每个运营单位都可以定义为一个组织。

1.5

The procedures envisaged in these rules are also applied when Management System certification is requested under the provisions of the RINA Rules for the Classification of Ships or other rules applicable to the Organisation; in such cases, any additional requirements for the System contained therein are to be complied with.

当根据 RINA 船舶入级规则或适用于本组织的其他规则的规定要求管理体系认证时，也适用这些规则中设想的程序；在这种情况下，应遵守其中包含的对系统的任何附加要求。

1.6

The participation of observers in audit is agreed in advance between RINA and the Organisation.

观察员参与审核是 RINA 和本组织事先商定的。

Aiming to verify that the evaluation methods adopted by RINA are compliant with the reference standards, the Body guarantor of issued certificates (Accreditation Body) may request:

为了验证 RINA 采用的评估方法是否符合参考标准，颁发证书的机构担保人（认可机构）可以要求：

- the participation of its observers to the audits carried out by RINA,
其观察员参与 RINA 进行的审核，
- the execution of audits at the certified Organization, directly making use of its own personnel.
直接利用认可机构自己的人员在认证组织执行审核。

The participation of observers to the audits and/or any audit directly carried out making use of Accreditation Body's personnel must be previously agreed upon between RINA and the Organization.

观察员参与审核和/或使用认可机构人员直接进行的任何审核必须事先由 RINA 和组织商定。

If the Organization does not grant its approval, the validity of the certificate is suspended until the audit is approved, for up to 3 months.

如果本组织不批准，则证书的有效期将暂停，直到审核获得批准，最长可达 3 个月。

After the three months' period has elapsed, in the absence of any audit approval, the certificate will be revoked.

三个月期限过后，在没有任何审核批准的情况下，证书将被吊销。

The auditing modalities adopted by Accreditation Bodies are written in specific rules and/or communications/circulars available on their websites.

认证机构采用的审核模式写在其网站上提供的具体规则和/或通讯/通函中。

The Organization shall make the documentation taken as reference by RINA during the previous audits available to the Accreditation Body.

本组织应将 RINA 在先前审核期间作为参考的文件提供给认可机构。

1.7

The terminology used in these Rules complies with UNI CEI EN ISO/IEC 17000:2020.

本规则中使用的术语符合 UNI CEI EN ISO/IEC 17000: 2020。

CHAPTER 2 REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

参考标准/认证要求

2.1

Organisations wishing to obtain RINA certification for their Management System must first and henceforth satisfy the requirements of the reference standard or regulatory document and those indicated in the following paragraphs of this chapter, together with any additional elements indicated by the accreditation bodies (e.g.: ACCREDIA “RT” documents, ANAB AR – Accreditation Rules).

希望为其管理体系获得 RINA 认证的组织必须首先满足参考标准或监管文件的要求以及本章以下段落中指出的要求，以及认可机构指示的任何其他要素（例如：ACCREDIA “RT” 文件，ANAB AR - 认证规则）。

During its accreditation activities, in fact, RINA must abide by certain reference documents issued by the accreditation bodies as well as mandatory documents issued by international and national associations (eg. IAF Mandatory documents). These documents can be obtained from RINA or directly from the accreditation bodies (consulting their Internet sites, for example). IAF (International Accreditation Forum) documents are available in website www.iaf.nu.

事实上，在认可活动中，RINA 必须遵守认可机构颁发的某些参考文件以及国际和国家协会颁发的强制性文件（例如。IAF 强制性文件）。这些文件可以从 RINA 获得，也可以直接从认可机构获得（例如，咨询他们的互联网网站）。IAF（国际认可论坛）文件可在网站 www.iaf.nu 中找到。

2.2

In particular, in order to obtain Management System certification, the Organisation must:

特别是，为了获得管理体系认证，组织必须：

2.2.1 Have established a Management System and kept it active in total compliance with the requirements of the reference standard or regulatory document. The management system is considered as being fully operative when:

已建立管理体系，并使其完全符合参考标准或法规文件的要求。在以下情况下，管理体系被视为全面运行：

- the internal audit system has been fully implemented and its effectiveness can be demonstrated;
内部审核制度已得到全面实施，其有效性得到证明；
- at least one management review of the system has been carried out and documented;
至少对体系进行了一次管理审查并记录在案；
- the objectives and processes required to obtain results;
取得成果所需的目标和过程；
- these processes have been developed;
这些流程已经开发完成；
- monitoring activities and measurements have been performed and registered;
已开展并登记了监测活动和测量；
- actions for continuous improvement have been implemented.
实施了持续改进的行动。

2.2.2 Have prepared documented information:

准备了书面资料：

- required by the reference standard;
参考标准要求；
- deemed necessary by the Organization to ensure the effectiveness of the management.
本组织认为有必要确保管理的有效性。

All the information received from the client organisation is treated as confidential.

从客户组织收到的所有信息均被视为机密信息。

2.3

Conformity of the Management System with the reference standard is verified by means of a 3-year audit programme comprising:

通过为期 3 年的审核计划验证管理体系与参考标准的符合性，其中包括：

- an initial audit in two stages (stage 1 and stage 2),
分两个阶段（第一阶段和第二阶段）进行初始审核，
- a surveillance audit in the first year
第一年的监督审计
- a surveillance audit in the second year
第二年进行监督审核
- a certification renewal audit in the third year, before the expiry date of the certificate.
在证书到期前的第三年进行认证更新审核。

The following are considered when establishing the audit programme: the size of the Organisation, the scope and the complexity of the Management System, the products and processes, the level of effectiveness of the Management system and previous audit results, and any certificates already issued to the customer or other audits already performed.

在制定审核计划时，会考虑以下因素：组织的规模、管理体系的范围和复杂性、产品和流程、管理体系的有效性水平和以前的审核结果，以及已经颁发给客户的任何证书或已经执行的其他审核。

CHAPTER 3 INITIAL CERTIFICATION 初审

3.1

Organisations wishing to obtain RINA certification for their Management System must provide RINA with their main information concerning their Organisation and the activities carried out and site location by filling in all parts of the "Informative Questionnaire" form, available at www.rina.org, and sending it to RINA which will use it to prepare a quotation.

希望为其管理体系获得 RINA 认证的组织必须填写“信息问卷”表格的所有部分，向 RINA 提供有关其组织、所开展的活动和地点的主要信息，该表格可在 www.rina.org 上获得，并将其发送给 RINA，RINA 将使用它来准备报价。

In particular, the informative questionnaire requires information to be provided on:

特别是，信息问卷要求提供以下信息：

the requested scope of certification;

要求的认证范围;

the standard or standards to which the Organisation wishes to be certified, and any admissible exclusions;

组织希望获得认证的标准，以及任何可接受的排除项;

the general characteristics of the Organisation;

本组织的一般特征;

the number of permanent and temporary sites subject to certification, including the name and addresses of the physical location/s and the relative activities performed;

需要核证的永久和临时场所的数量，包括实际地点的名称和地址以及所开展的相关活动;

company processes and relative dedicated resources;

公司流程和相关专用资源;

any relationships with other larger companies;

与其他大公司的任何关系;

all the processes outsourced by the Organisation that may affect conformity with requirements;

组织外包的所有可能影响符合要求的流程;

any certificates already obtained;

任何已获得的证书;

use of any consulting services connected with the management system.

使用与管理体系相关的任何咨询服务。

This information has to be provided by an authorized representative of the applicant Organisation.

On the basis of this information, RINA prepares a suitable offer.

该资料必须由申请机构的授权代表提供。根据这些信息，RINA 准备合适的要约。

3.2

Prior to performing the audit, RINA makes sure:

在执行审核之前，RINA 确保：

- a) there is sufficient information concerning the applicant Organisation and its management system to perform the audit;
有足够的关于申请组织及其管理系统的信息来执行审核;
- b) certification requirements are clearly established and documented and are sent to the applicant Organisation;
明确规定并记录认证要求，并发送给申请组织;
- c) every difference of interpretation between RINA and the applicant Organisation has been eliminated;
RINA 与申请组织之间的所有解释差异均已消除;
- d) RINA has the skills and capacity to perform certification activities;
RINA 具有开展认证活动的技能和能力;

3.3

If organisations accept the offer, they must make their application official by sending RINA the specific form attached to the offer, indicating the reference standard and, if relevant, any other reference standard document according to which certification is requested.

如果组织接受要约，他们必须通过向 RINA 发送要约所附的具体表格来正式申请，说明参考标准，以及要求认证的任何其他参考标准文件（如果相关）。

On receipt of the application for certification and the relative annexes and having ensured they are complete, RINA will send the Organisation written acceptance of its application.

在收到认证申请和相关附件并确保其完整后，RINA 将向组织发送书面接受其申请。

The Organisation's request, which makes specific mention of these rules, and its acceptance by RINA, contractually formalise the relationship between RINA and the Organisation, and the applicability of these rules and the specific rules applicable to the scheme for which certification is required.

该组织的请求特别提到了这些规则，并被 RINA 接受，在合同上正式确定了 RINA 与组织之间的关系，以及这些规则的适用性以及适用于需要认证的计划的具体规则。

The agreement signed between RINA and the Organisation includes:

RINA 与该组织签署的协议包括：

- the initial audit comprising two stages and, if the outcome is successful, the issue of the certificate;
初始审核包括两个阶段，如果结果成功，则颁发证书;
- subsequent surveillance and recertification audits;
随后的监督和再认证审核;
- any additional services specified in the offer, including the pre-audit, if requested by the Organisation.

要约中规定的任何其他服务，包括预审核（如果组织要求）。

3.4

Together with or following the certification request, the Organisation must make the following documents available to RINA:

在提出认证请求的同时，组织必须向 RINA 提供以下文件：

- the documented information required by the reference standard and / or deemed necessary by the Organization to ensure the effectiveness of the management system;
参考标准要求 and/或组织认为必要的文件信息，以确保管理体系的有效性;
- copy of the Chamber of Commerce registration certificate or an equivalent document, certifying the existence of the Organisation and describing the activity it performs;
商会注册证书或同等文件的复印件，证明该组织的存在并描述其开展的活动;
- organisation chart;
组织结构图;
- site plan/s;
场地平面图;
- latest Management Review;
最新管理评审
- internal audit planning;
内部审核规划;
- list of the main applicable laws and/or rules (to the product/service supplied or required for the correct application of the Management System);
主要适用法律和/或规则清单（针对正确应用管理体系所提供或所需的产品/服务）;
- list of current sites, describing the activities performed there, where applicable.
当前场所列表，描述在那里开展的活动（如适用）。

RINA may ask, at its discretion, to examine other documents, apart from those previously mentioned, that are considered to be important for assessing the Management System.

除上述文件外，RINA 可自行决定审查其他被认为对评估管理体系很重要的文件。

RINA examines the above documents for conformity with the reference standard and these Rules.

RINA 检查上述文件是否符合参考标准和本规则。

3.5

The initial audit comprises two stages:

初始审核包括两个阶段：

- Stage 1 audit, which can be performed:

第一阶段审核，可以执行：

- partly in the office and partly at the Organisation's site

一部分在办公室，一部分在组织现场

Or 或

- entirely at the Organisation's site

完全在组织现场

- Stage 2 audit – on site.

第二阶段审核 - 现场审核。

During the initial audit, the Organisation must demonstrate that the Management System has been fully operational and that it effectively applies the system.

在初始审核期间，组织必须证明管理体系已全面运行并有效应用该体系。

If any significant changes which would impact the management system occur, RINA can consider the need to repeat all or part of stage 1. In this case, RINA inform the Organisation if the results of stage 1 may lead to postponement or cancellation of stage 2.

如果发生任何会影响管理体系的重大变化，RINA 可以考虑重复全部或部分第一阶段。在这种情况下，RINA 会通知组织第一阶段的结果是否可能导致第二阶段的推迟或取消。

3.6

After the satisfactory completion of the initial audit and after a positive certification decision by RINA, a Certificate of Conformity with the reference standard, valid for three years, is issued for the Management System in question.

在令人满意地完成初始审核并做出 RINA 的积极认证决定后，将为相关管理体系颁发有效期为三年的参考标准符合性证书。

In case of negative completion of the initial audit or after a negative certification decision, RINA could refuse to certify the Organisation.

如果初始审核结果负面或认证决定是否定，RINA 可以拒绝对组织进行认证。

When RINA refuse to certify, the reasons shall be communicated to the client.

当 RINA 拒绝认证时，应将原因告知客户。

The validity of the certificate is subject to the result of the subsequent annual surveillance audits and the three-yearly recertification of the Management System.

证书的有效性取决于随后的年度监督审核和每三年一次的管理体系再认证的结果。

The frequency and extension of the subsequent audits for maintaining certification are established by RINA on a case-by-case basis by drawing up a three-year audit plan which it sends to the Organisation.

RINA 通过制定三年审核计划并发送给本组织，根据具体情况确定后续审核的频率和扩展范围。

For details on the management and validity of the certificates of conformity issued by RINA, see chapter 7.

有关 RINA 颁发的合格证书的管理和有效性的详细信息，请参阅第 7 章。

CHAPTER 4 MAINTAINING VALIDITY OF THE CERTIFICATE

维护证书的有效性

4.1

The Organisation must ensure its Management System continues to comply with the Reference Standard or regulatory document.

组织必须确保其管理体系继续符合参考标准或监管文件。

4.2

The Organisation must record any claims and the relative corrective action implemented and must make these records available to RINA together with the corrective action taken to address the non conformities made during the periodic audits (as described in Par. 6.1.5).

组织必须记录任何索赔和实施的纠正措施，并且必须将这些记录与为解决定期审核期间出现的不符合项而采取的纠正措施一起提供给 RINA（如第 6.1.5 段所述）。

4.3

RINA performs periodic audits on the Management System in order to evaluate whether it remains compliant with the requirements of the reference standard, according to the methods described in Chapter 6.

RINA 根据第 6 章中描述的方法对管理体系进行定期审核，以评估其是否符合参考标准的要求。

4.4

RINA also reserves the right to perform additional audits with respect to those established in the three-year programme, without notice, at the Organisation:

RINA 还保留在不另行通知的情况下，对三年计划中确定的那些人进行额外审核的权利：

- if it receives claims or reports, considered to be particularly significant, relative to the non-compliance of the Management System with the requirements of the reference standard and of these Rules;
如果收到与管理体系不符合参考标准和本规则要求有关的索赔或报告，这些索赔或报告被认为特别重要；
- in relation to changes taking place in the Organisation;
与本组织发生的变化有关；
- to organisations whose certification has been suspended.
已暂停认证的组织。

RINA shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the Organisation to object to audit team members.

RINA 在分配审核小组时应格外小心，因为组织没有机会反对审核小组成员。

If the Organisation refuses without a justified reason, RINA start the suspension/withdrawal certification process.

如果组织无正当理由拒绝，RINA 将启动暂停/退出认证程序。

If RINA considers the claims and reports to be justified, the cost of the supplementary audit will be charged to the Organisation.

如果 RINA 认为索赔和报告是合理的，则补充审核的费用将由该组织承担。

4.5

The validity of the certificate is confirmed following the successful outcome of the surveillance audit.

在监督审核成功后，将确认证书的有效性。

4.6

In the case of major non-conformities (type A findings) or minor non-conformities (type B findings) whose number in the opinion of the audit team is such as to impair the correct functioning of the system, the Organisation will be subject to a supplementary audit within the time limits established by RINA in relation to the importance of the non-conformities and, in any case, not more than six months after the end of the audit in order to check the effectiveness of corrections and of the proposed corrective action.

如果审核小组认为严重不符合项（A类发现）或轻微不符合项（B类发现）的数量足以损害系统的正常运行，则组织将在 RINA 规定的与不符合项重要性相关的时限内接受补充审核，并且，在任何情况下，在审核结束后不超过六个月，以检查纠正和纠正措施的有效性。

If the major non-conformities are not eliminated within the established times or if the minor non-conformities do not assure the supplied products/services satisfy customer requirements and applicable law, RINA may suspend certification until these major non-conformities have been eliminated and, in any case, as specified in chapter 11.

如果严重不符合项未在规定时间内消除，或者次要不符合项不能确保所提供的产品/服务满足客户要求和适用法律，RINA 可以暂停认证，直到消除这些主要不符合项，并且在任何情况下，如第 11 章所述。

All costs relative to any supplementary audits deriving from shortcomings in the Management System will be charged to the Organisation.

因管理体系缺陷而产生的任何补充审核的所有费用将由受审组织承担。

CHAPTER 5 RECERTIFICATION 再认证

5.1

For the recertification audit of the Management System, performed every three years, the Organisation must contact RINA not later than three months before the date indicated on the three-year audit plan in its possession, and send an updated and complete copy of the Informative Questionnaire (available at www.rina.org) in order to allow RINA to plan the activity and agree on the date of the recertification audit.

对于每三年进行一次的管理体系重新认证审核，组织必须在其拥有的三年审核计划上注明的日期前三个月与 RINA 联系，并发送更新和完整的信息问卷副本（可在 www.rina.org 处获得），以便 RINA 计划活动并同意重新认证审核的日期。

5.2

The recertification audit sets out to confirm maintenance of the conformity and effectiveness of the overall Management System and is mainly based on an audit to perform on-site, generally, using the same criteria as the stage 2 audit.

再认证审核旨在确认保持整体管理体系的一致性和有效性，主要基于现场审核，通常使用与第二阶段审核相同的标准进行现场审核。

5.3

Usually, the recertification procedure must be successfully terminated before the expiry date indicated on the certificate. This date cannot be extended by RINA.

通常，重新认证程序必须在证书上注明的到期日之前成功终止。RINA 不能延长此日期。

Consequently, the recertification audit must be successfully terminated in sufficient time to allow RINA to approve the recertification proposal and reissue the certificate within the above date (at least one month before the expiry date indicated on the certificate).

因此，再认证审核必须在足够的时间内成功终止，以使 RINA 能够在上述日期（至少在证书上注明的到期日期前一个月）批准再认证提案并重新颁发证书。

If the Organisation fails to abide by the above deadlines and does not obtain the reissued certificate within the date of expiry, the certificate must be considered as expired starting from the day after the date of expiry indicated on the certificate.

如机构未能遵守上述限期，亦未能在有效期内取得补发的证书，则该证书必须由证书上注明的到期日期的次日起视为已过期。

Organisations intending to obtain certification following the expiry of the certificate must present a new application and, generally, repeat the entire initial certification procedure.

打算在证书到期后获得认证的组织必须提交新的申请，并且通常重复整个初始认证程序。

5.4

In the case of major non-conformities or minor non-conformities whose number in the opinion of the auditing team is such as to impair the correct functioning of the management system, the Organisation must effectively implement the relative corrections and corrective actions before the date of expiry of the certificate of conformity.

如果审核小组认为严重不符合项或轻微不符合项的数量足以损害管理体系的正常运行，则组织必须在合格证书到期日之前有效地实施相关的纠正和纠正措施。

This means that RINA must perform the supplementary audit to verify the elimination of these non-conformities (major or minor) in sufficient time for the subsequent issue of the certificate.

这意味着 RINA 必须进行补充审核，以验证这些不符合项（严重或轻微）的消除，以便随后颁发证书。

The established times within which the supplementary audit must be performed are indicated in the recertification audit report.

再认证审核报告中注明了必须进行补充审核的既定时间。

The auditing team may decide to perform the supplementary audit on site or on the documents, depending on the type of corrective action involved.

审核小组可以决定在现场或对文件进行补充审核，具体取决于所涉及的纠正措施的类型。

All costs relative to any supplementary audits deriving from shortcomings in the Management System will be charged to the Organisation.

因管理体系缺陷而产生的任何补充审核的所有费用将由受审组织承担。

5.5

Following the satisfactory completion of the recertification audit, the review of the management system results during the certification period and of any claims received from certification users, RINA reissues the certificate of conformity.

在圆满完成再认证审核、认证期间对管理体系结果的审查以及从认证用户那里收到的任何索赔后，RINA 将重新颁发合格证书。

Confirmation of recertification approval by RINA with consequent issue of the certificate is sent to the Organisation in writing.

RINA 对再认证批准的确认以及随后颁发的证书以书面形式发送给组织。

For details on the management and validity of the certificates of conformity issued by RINA, see chapter 7.

有关 RINA 颁发的合格证书的管理和有效性的详细信息，请参阅第 7 章。

CHAPTER 6

PERFORMANCE OF AUDITS 审核执行

6.1 GENERAL 总则

6.1.1

The dates of the audits are agreed with the Organisation.

审核日期经由于受审组织商定。

An "Audit Plan" is drawn up for each audit according to ISO/IEC 17021-1: 2015 which is sent to the client organisation in good time.

根据 ISO/IEC 17021-1: 2015 为每次审核制定“审核计划”，并及时发送给客户组织。

RINA also uses the Audit Plan to inform the Organisation of the names of the auditors and technical experts appointed to perform the audit, chosen on the basis of the skills required to perform the audit; the Organisation may object to the appointment of these auditors provided it gives a justified reason.

RINA 还使用审核计划向组织通报根据执行审核所需的技能选择的审核员和技术专家的姓名;组织可以反对任命这些审核员，但必须给出正当理由。

The audit has the following objectives:

审核有以下目标:

- a) Determination of the conformity of the client's management systems , or part of it, with audit criteria;

确定客户的管理体系或其部分是否符合审核标准;

- b) Evaluation of the ability of the management system to ensure the client organisation meets applicable statutory, regulatory and contractual requirements;

评估管理体系的能力，以确保客户组织满足适用的法律、监管和合同要求;

NOTE: A management system certification audit is not a legal compliance audit.

注：管理体系认证审核不是法律合规审核。

- c) Evaluation of the effectiveness of the management system to ensure the client organisation is continually meeting the specific objectives;

评估管理体系的有效性，以确保客户组织不断实现特定目标;

- d) As applicable, identification of areas for potential improvement of the management system.

在适用的情况下，确定管理体系需要改进的领域。

The Audit Plan indicates the tasks assigned to each auditor. In particular, for each organisation:

审核计划指示分配给每个审核员的任务。特别是，对于每个组织:

- a) the structure, policy, processes, records and relative documents relative to the Management system must be examined and checked;

必须检查和检查与管理体系相关的结构、政策、流程、记录和相关文件;

- b) it must be established whether these satisfy the requirements applicable to the scope of certification;

必须确定这些是否满足适用于认证范围的要求;

- c) it must be established whether the processes and documented information are drawn up, implemented and kept efficient, in order to nurture trust in the Organisation's management system;

必须确定流程和文件化信息是否被制定、实施和保持高效，以培养对组织管理系统的信任;

- d) every inconsistency between the customer's policy, objectives and goals and the result obtained must be reported to the customer in order to allow it to take appropriate action.

必须向客户报告客户的政策、目标和目标与所获得的结果之间的任何不一致之处，以便其采取适当的行动。

6.1.2

RINA can evaluate the possibility to perform a part of the audit remotely only if the following conditions are met:

只有在满足以下条件的情况下，RINA 才能评估远程执行部分审核的可能性:

- it is allowed by the standard;

这是标准允许的;

- the Organization agrees to carry out part of the audit remotely;

受审组织同意远程开展部分审核工作;

- the Organization has an Internet connection of adequate quality for the software / technology used to carry out remote audits

受审组织为用于进行远程审核的软件/技术提供有质量保障的互联网连接

- the Organization's documented information on the management systems applied are available in databases.

本组织关于所应用管理体系的书面信息可在数据库中查阅。

If the above conditions are met, RINA reserves the right to identify whether, and to what extent, remote assessment techniques may be used to enhance the effectiveness and efficiency of the audit.

如果满足上述条件，RINA 保留确定是否以及在多大程度上可以使用远程评估技术来提高审核的有效性和效率的权利。

If one of the conditions is not satisfied or, in RINA's opinion there is no optimization in the effectiveness and efficiency of the evaluation, the audit must be carried out using the traditional methods.

如果不满足其中一个条件，或者 RINA 认为评估的有效性和效率没有优化，则必须使用传统方法进行审核。

The remote audit is to be considered as part of the on-site audit and involves constant interaction with the responsible functions and the staff of the Organisation involved in the processes / activities being assessed as indicated in the audit plan.

远程审核应被视为现场审核的一部分，涉及与负责职能部门和参与审核计划中所示的评估流程/活动的本组织工作人员的持续互动。

6.1.3

Each auditor shall be accompanied by a guide appointed by the Organisation to facilitate the audit performance and that can have the following responsibilities:

每位审核员应由本组织任命的一名向导陪同，以协助开展审核工作，该指导员可承担以下职责：

- a) establishing contacts and timing for interviews;
与相应联系人取得联系并确定面访时间；
- b) arranging visits to specific parts of the site or Organisation;
安排参观场所或组织的特定部分；
- c) ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;
确保审核组成员了解并遵守有关现场安全和安保程序的规则；
- d) witnessing the audit on behalf of the client;
代表客户见证审核；
- e) providing clarification or information as requested by an auditor
根据审核员的要求提供说明或进一步信息

6.1.4

A written report is prepared for each audit indicating any major non-conformities (type A findings), minor non-conformities (type B findings) and improvement recommendations (type C findings).

每次审核都会准备一份书面报告，指出任何严重不符合项（A类发现）、轻微不符合项（B类发现）和改进建议（C类发现）。

A copy of the report is sent to the customer organisation; the original audit report is owned by RINA.

报告副本将发送给客户组织；原始审核报告归 RINA 所有。

The organisation may indicate any reservations or comments concerning the findings by the RINA surveyors in the relative space in the audit report.

组织可以在审核报告的相对空白处注明对 RINA 审核员的调查结果的任何保留或意见。

Major non-conformities (type A findings) are:

严重不符合项（A类发现）是：

- failure to fulfil one or more requirements of the management system standard;
未能满足管理体系标准的一项或多项要求；
- non-compliance with one or more requirements of these Rules;
不遵守本规则的一项或多项要求；
- a situation that may lead to the delivery of non-conforming products or products which do not comply with the applicable legislation;
可能导致交付不合格产品或不符合适用法律的产品情况；
- any situations that may cause serious shortcomings in the management system or reduce its capacity to ensure the control of processes or products/services.
任何可能导致管理体系出现严重缺陷或降低其确保控制过程或产品/服务的能力的情况。

Minor non-conformities (type B findings) are:

轻微不合格（B类发现）是：

- a situation that could reduce the customer's capacity to deliver a conforming product;
可能降低向客户交付合格产品的能力情况；
- any situations that may cause minor shortcomings in the management system or not reduce its capacity to ensure the control of processes or products/services.
任何可能导致管理体系出现小缺陷或不会降低其确保控制流程或产品/服务的能力情况。

Recommendations (type C findings) are:

建议（C类发现）是：

- suggestions for improving the management system that are not directly concerned with the requirements of the reference standard.
与参考标准要求没有直接关系的改进管理体系的建议。

6.1.5

After analysing the reasons for any major or minor non-conformities indicated in the above report, the Organisation must, within the data indicated on the report, inform RINA of its proposals for handling the non-conformities, as well as the required corrective actions and the dates envisaged for their implementation.

在分析了上述报告中指出的任何严重或轻微不符合项的原因后，组织必须在报告上指示的数据范围内，向 RINA 通报其处理不符合项的建议，以及所需的纠正措施和实施日期。

The Organisation can fill in the relative forms in the “Member Area” of RINA website (www.rina.org) to submit its corrective action proposals.

组织可以在 RINA 网站（www.rina.org）的“会员专区”中填写相关表格，以提交其纠正措施建议。

Note: If it is impossible to access the Internet, the Organisation may fill in a paper form and send it to the pertinent RINA Office

注：如果无法访问互联网，组织可以填写纸质表格并将其发送到相关的 RINA 办公室

RINA will review the correct proposals submitted by the customer organisation and communicate acceptance via the RINA website.

RINA 将审查客户组织提交的正确提案，并通过 RINA 网站传达接受情况。

6.1.6

In the event of major non-conformities (type A findings) the certification process is suspended; in the event of minor non-conformities the number of which, in the audit team's judgement, may compromise the efficiency of the management system, the certification process is also suspended.

如果出现严重不符合项（A 类发现），则暂停认证过程；如果出现轻微的不符合项，根据审核组的判断，其数量可能会损害管理体系的效率，认证过程也将暂停。

In these cases, a supplementary audit must be performed within six months in order to check the effectiveness of corrections and of the proposed corrective action; if this audit is successful the certification process will be resumed.

在这些情况下，必须在六个月内进行补充审核，以检查纠正和拟议纠正措施的有效性；如果审核成功，认证过程将恢复。

The auditing team may decide to perform the supplementary audit on site or on the documents, depending on the type of corrective action involved.

审核组可以决定在现场或对文件进行补充审核，具体取决于所涉及的纠正措施的类型。

All costs relative to any supplementary audits deriving from shortcomings in the Management System will be charged to the organisation.

与因管理体系缺陷而产生的任何补充审核相关的所有费用将由受审组织承担。

6.2 INITIAL CERTIFICATION AUDITS 初始认证审核

The initial certification audit is divided into two stages.

初始认证审核分为两个阶段。

6.2.1 – Stage 1 一阶段

The stage 1 audit sets out to:

第一阶段审核旨在：

- audit the customer's Management System documents;
审核客户的管理体系文件;
- assess the location and special conditions of the customer's site and exchange information with the customer's staff in order to establish the level of preparation for the stage 2 audit;
评估客户现场的位置和特殊条件，并与客户的员工交换信息，以确定第二阶段审核的准备水平;
- review the customer's state and understanding of the standard, especially as regards the identification of key performances or significant aspects, processes, objectives and operation of the Management System;
评审客户的状态和对标准的理解，特别是关于确定管理体系的关键绩效或重要方面、流程、目标和操作;
- obtain the necessary information concerning the scope of the Management System, the processes and the location/s of the customer, including the relative legal and regulatory aspects and conformity with same;
获取有关管理体系范围、流程和客户位置的必要信息，包括相关的法律和监管方面以及是否符合这些方面;
- review the allocation of resources for the stage 2 audit and agree on the details of the stage 2 audit with the customer;
评审第二阶段审核的资源分配，并与客户就第二阶段审核的细节达成一致;
- develop stage 2 audit planning, acquiring sufficient knowledge of the Management System and of the activities performed on the customer's site, as regards possible significant aspects;
制定第二阶段审核计划，充分了解管理体系和在客户现场开展的活动，包括可能的重要方面;
- assess whether the internal audits and management review have been planned and performed and whether the level of implementation of the Management System proves that the customer is ready for the stage 2 audit.
评估内部审计和管理评审是否已经计划和执行，以及管理体系的实施水平是否证明客户已准备好进行第二阶段审核。

The outcome of stage 1 of the audit is communicated to the Organisation by sending a copy of the audit stage 1 report which, among other things, indicates any findings, including those that could be classified as non-conformities (major or minor) during stage 2 of the audit and therefore considered critical for obtaining certification.

审核第一阶段的结果通过发送审核第一阶段报告的副本传达给组织，除其他事项外，该报告指出了任何发现，包括在审核的第二阶段可能被归类为不符合项（严重或轻微）的发现，因此被认为对获得认证至关重要。

The actions taken by the Organisation to eliminate these findings are generally checked during the stage 2 audit referred to in point 6.2.2.

本组织为消除这些发现而采取的行动通常在第 6.2.2 点所述的第 2 阶段审核期间进行检查。

Any findings classified as critical by the technicians who identified them during stage 1 of the audit, must be eliminated before proceeding with stage 2 at the Organisation's site; if stage 1 and stage 2 are performed consecutively, stage 2 must be rescheduled and postponed.

在审核的第一阶段，技术人员将其归类为关键的任何发现，大多数在组织现场进行第二阶段之前都会被消除;如果第 1 阶段和第 2 阶段连续进行，则必须重新安排和推迟第 2 阶段。

At least part of stage 1 will be performed at the Organisation's site/s.

第一阶段的至少部分将在组织的现场进行。

6.2.2 – Stage 2 二阶段

Stage 2 of the audit must be performed within 6 months from termination of stage 1, otherwise stage 1 must be repeated. In special cases, RINA may decide to extend this limit to 12 months.

第二阶段的审核必须在第 1 阶段结束后的 6 个月内进行，否则必须重复第 1 阶段。在特殊情况下，RINA 可能会决定将此限制延长至 12 个月。

Stage 2 of the audit is performed at the Organisation's site in order to check the correct and effective implementation of the Management System.

审核的第二阶段在组织现场进行，以检查管理体系的正确和有效实施。

Before conducting the stage 2 audit, RINA sends an audit plan to the site/s of the Organisation giving a detailed description of the activities and the requirements for conducting the audit.

在进行第二阶段审核之前，RINA 会向组织现场发送审核计划，详细说明活动和审核要求。

If the Organisation performs its activities on more than one operative site, the audit will be performed according to criteria established by RINA and communicated to the Organisation.

如果组织在多个运营地点开展活动，则审核将根据 RINA 制定的标准进行，并传达给组织。

The stage 2 audit is performed by qualified RINA auditors, on the basis of the stage 1 audit and of the documented information prepared by the Organisation for the proper and effective implementation of the management System.

第二阶段审核由合格的 RINA 审核员根据第一阶段审核和组织为正确和有效实施管理体系而准备的书面信息进行。

The stage 2 audit comprises the following main phases:

第二阶段审核包括以下主要阶段：

- an initial meeting with the Top Management, and when appropriate, with those who are responsible for the functions or processes to be audited, in order to explain and confirm the audit objectives and audit methods indicated in the audit plan;
与最高管理层举行首次会议，并在适当当时与负责审核职能或流程的人员举行初次会议，以解释和确认审核计划中指出的审核目标和审核方法；
- verification that the corrective action relative to the findings identified during stage 1 of the audit have been effectively implemented;
核实与审核第一阶段确定的调查结果有关的纠正措施是否得到有效实施；
- an inspection of the Organisation's site(s) to verify conformity of the Management System with the reference documents and its complete implementation;
对组织的现场进行检查，以验证管理体系与参考文件的一致性及其完整实施；
- a closing meeting to present the audit conclusion.

- 召开末次会议，做出审核结论。

In the event of major non-conformities (type A findings) the certification process is suspended; in the event of minor non-conformities the number of which, in the audit team's judgement, may compromise the efficiency of the management system, the certification process is also suspended.

如果出现严重不符合项（A 类发现），则暂停认证过程；如果出现轻微不符合项，根据审核组的判断，其数量可能会损害管理体系的效率，认证过程也将暂停。

In these cases, a supplementary audit must be performed within six months in order to check the effectiveness of handling and of the proposed corrective action; if this audit is successful the certification process will be resumed.

在这些情况下，必须在六个月内进行补充审核，以检查处理和推荐的纠正措施的有效性；如果审核成功，认证过程将恢复。

The auditing team may decide to perform the supplementary audit on site or on the documents, depending on the type of corrective action involved.

审核组可以决定在现场或对文件进行补充审核，具体取决于所涉及的纠正措施的类型。

All costs relative to any supplementary audits deriving from shortcomings in the Management System will be charged to the Organisation.

因管理体系缺陷而产生的任何补充审核的所有费用将由受审组织承担。

If this deadline is exceeded, the Organization's Management System shall be submitted within a period of twelve months from the end of stage 2 audit, to an audit using the criteria (modalities and time) required for stage 2 audit.

如果超过这一期限，本组织的管理体系应在第二阶段审计结束后的 12 个月内提交，按照第二阶段审核所需的标准（方式和时间）进行审核。

After the twelve-month period has elapsed and the situation still remains negative, RINA reserves the right to definitively close the certification file and charge the time spent and expenses incurred up to that moment.

在 12 个月的期限过后，情况仍然为负面，RINA 保留最终关闭认证文件的权利，并收取在此之前花费的时间和产生的费用。

In such a case, if the Organisation wishes to proceed with RINA certification, it must submit a new application and repeat the certification procedure.

在这种情况下，如果组织希望继续进行 RINA 认证，则必须提交新的申请并重复认证程序。

In special cases, the above time limits may be modified at the request of the Organisation, if considered justified by RINA.

在特殊情况下，如果 RINA 认为合理，可以根据组织的要求修改上述时限。

6.3 SURVEILLANCE AUDITS 监督审核

6.3.1

RINA performs periodic audits on the Management System in order to evaluate whether it remains compliant with the requirements of the reference standard, at least once every 12 months. The date within which the audits must be performed is indicated in the three-year audit plan in the Organisation's possession.

RINA 至少每 12 个月对管理体系进行一次定期审核，以评估其是否符合参考标准的要求。必须进行审计的日期在受审组织拥有的三年审核计划中注明。

This programme may be modified by RINA according to the results of the previous surveillance audits.

RINA 可能会根据先前的监督审核结果对该计划进行修改。

Deviations surveillance audits beyond these limits, for justified reasons, must be agreed in advance with RINA and be recovered at the first subsequent audit.

出于正当理由，超出这些限制的偏差监督审核必须事先与 RINA 达成一致，并在随后的第一次审核中恢复。

In any case, the first surveillance audit following initial certification must be performed within 12 months from the first issue date of the certificate.

在任何情况下，初始认证后的第一次监督审核必须在证书首次签发之日起 12 个月内进行。

6.3.2

Surveillance audits are performed at the Organisation's site/s, according to a three-year programme which enables each item contained in the reference standard according to which the Management System was certified to be audited at least once during the three years of validity of the Certificate, bearing in mind the documents as per point 3.4.

根据一项为期三年的计划，在组织的现场进行监督审核，该计划使管理体系认证的参考标准中包含的每个项目在证书有效期的三年内至少接受一次审核，同时牢记第 3.4 点中的文件。

The following aspects will be considered during the surveillance audits:

在监督审核期间将考虑以下方面：

- a) internal audits and management reviews;
内部审核和管理评审;
- b) review of the action taken as a result of the non-conformities identified during the previous audit;
评审因上次审核中发现的不符合项而采取的行动;
- c) claims handling;
索赔处理;
- d) effectiveness of the management system as regards achieving of objectives;
管理体系在实现目标方面的有效性;
- e) progress of activities implemented to promote continual improvement;
为促进持续改进而开展的活动的进展情况;
- f) continual operative control;
持续的运营控制;
- g) a review of any changes.

评审任何更改。

Details of the activities and instructions for performing surveillance audits at the site/s are described in the surveillance audit plan which RINA sends to the Organisation before performing the audit.

在现场进行监督审核的活动和说明的细节在 RINA 在执行审核之前发送给组织的监督审计计划中进行了描述。

6.4 RECERTIFICATION AUDIT 再认证审核

6.4.1

The recertification audit is performed at the Organisation's site/s in order to confirm the continual conformity and effectiveness of the overall management system, as well as the continual relevance and applicability of the scope of certification. It mainly comprises an audit of a site normally performed using the same criteria as stage 2 of the audit.

再认证审核在组织的现场进行，以确认整体管理体系的持续一致性和有效性，以及认证范围的持续相关性和适用性。它主要包括对通常使用与审计第 2 阶段相同的标准进行的现场审核。

In particular, the recertification audit comprises an on-site audit which considers, among other things, the following aspects:

具体而言，重新认证审核包括现场审核，其中包括以下方面：

- the performance of the management system in the certification period
管理体系在认证期间的表现
- a review of the previous surveillance audit reports.
对以往监督审核报告的评审。

If significant changes have been made to the Management System or to the context in which the Management System operates, a stage 1 audit may be required.

如果对管理体系或管理体系运行环境进行了重大更改，则可能需要进行第一阶段审核。

The recertification audit must ascertain the following:

再认证审核必须确定以下内容：

- a) the effectiveness of the overall Management System in the light of internal and external changes and its continual pertinence and applicability for scope of the certification;
根据内部和外部变化，整体管理体系的有效性及其对认证范围的持续相关性和适用性；
- b) the commitment demonstrated in maintaining the effectiveness and improvement of the Management System in order to improve overall performance;
为提高整体绩效而保持管理体系的有效性和改进所表现出的承诺；
- c) if the effectiveness of the Management System contributes towards the pursuit of the Organisation's policy and objectives.
如果管理体系的有效性有助于实现组织的政策和目标。

CHAPTER 7 MANAGEMENT OF CERTIFICATES OF CONFORMITY 合格证书的管理

7.1

The certificate of conformity issued by RINA, which is the proprietary of the same, is valid for three years starting from the date of approval by RINA of the initial certification or recertification proposal.

RINA 颁发的合格证书是其专有证书，有效期为三年，自 RINA 批准初始认证或重新认证提案之日起计算。

7.2

From the moment of issue of the certificate by RINA, this and the relative three-year audit plan will be made available to the Organisation in the “Member Area” of the RINA website (www.rina.org). The Organisation may therefore enter and download the above documents directly from this area of the RINA website.

从 RINA 颁发证书的那一刻起，该计划和相关的三年审计计划将在 RINA 网站（www.rina.org）的“会员区”中提供给组织。因此，组织可以直接从 RINA 网站的此区域输入和下载上述文件。

If it is impossible to access the Internet, the Organisation may request a hardcopy from the pertinent RINA Office.

如果无法访问互联网，组织可以向相关的 RINA 办公室索取纸质副本。

7.3

The validity of the certificate, throughout the three years of validity, is subject to the results of the subsequent surveillance audits.

证书在三年有效期内的有效性取决于随后的监督审核结果。

The certificate of conformity is reissued following the successful outcome of each recertification audit, as indicated in chapter 5 hereto.

如本文第 5 章所述，在每次重新认证审核成功后，将重新颁发合格证书。

The validity of the certificate may be suspended, withdrawn or relinquished in accordance with the contents of Chapters 11 and 12.

根据第 11 章和第 12 章的内容，证书的有效性可以暂停、撤销或放弃。

RINA directly publishes and updates the following on its website www.rina.org:

RINA 直接在其网站上发布和更新以下内容 www.rina.org:

- a) the list of certified Organisations;
获认证机构名单;
- b) status of validity of the certificates issued, indicating valid, suspended or invalid for each certificate;
已颁发证书的有效期，说明每份证书的有效、暂停或无效;

7.4

Where is foreseen, together with the certificate of conformity issued by RINA, the IQNet Certificate is also issued, according to the rules of IQNet.

在可预见的情况下，根据 IQNet 的规则，与 RINA 颁发的合格证书一起，还将颁发 IQNet 证书。

The IQNet Certificate is valid only if accompanied by RINA certificate, which states the scope of the management system.

IQNet 证书只有在附有 RINA 证书的情况下才有效，该证书说明了管理体系的范围。

In the event that the RINA certificate is changed (see Chap. 8), suspended or revoked, (see Chap. 11) also IQNet certificate is suspended, canceled or revoked.

如果 RINA 证书被更改（见第 8 章），暂停或撤销（见第 11 章），IQNet 证书也将被暂停，取消或撤销。

CHAPTER 8 MODIFICATION OF CERTIFICATION AND COMMUNICATION OF CHANGES

认证的修改和变更的沟通

8.1

An Organisation in possession of certification may request a modification or extension by presenting a new certification application, accompanied by the duly updated documentation indicated in point 3.4 RINA reserves the right to examine requests on a case-by-case basis and to decide the evaluation methods for the purpose of issuing a new certificate according to the "GENERAL TERMS AND CONDITIONS FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" and the reference standard or regulatory document for the management system.

拥有认证的组织可以通过提交新的认证申请来要求修改或延期，并附上第 3.4 点中指出的适当更新的文件 RINA 保留根据具体情况审查请求的权利，并根据“系统认证的一般条款和条件，产品和人员”以及管理体系的参考标准或规范文件。

8.2

In addition to the provisions of the "GENERAL CONTRACT CONDITIONS FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL", the Organisation must promptly inform RINA of any changes in factors that may affect the capacity of the Management System to continue to satisfy the requirements of the standard used for certification.

除了“系统、产品和人员认证总合同条件”的规定外，组织还必须及时通知 RINA 任何可能影响管理体系继续满足认证标准要求的因素的变化。

This requirement concerns, for example, modifications to:

例如，此要求涉及对以下内容的修改：例如，此要求涉及对以下内容的修改：

- the legal, commercial, organisational or ownership status;
法律、商业、组织或所有权状况；
- Organisation and management (e.g.: key managers or technical staff, decision making process, change in number of employees.);
组织和管理（例如：关键管理人员或技术人员、决策过程、员工人数变化）；
- contact addresses and sites;
联系地址和场所；
- field of application of the activities covered by the certified management system;

经认证的管理体系所涵盖的活动的应用领域;

- significant changes in the management system and processes.
管理体系和流程的重大变化。

RINA reserves the right to perform additional audits or other actions on the Organisation if the modifications communicated are considered particularly significant as regards maintaining the conformity of the Management System with the requirements of the reference standard and of these rules or to review the economic conditions for the possible modification of the contract.

如果所传达的修改被认为在保持管理体系符合参考标准和这些规则的要求方面特别重要，或审查可能修改合同的经济条件，RINA 保留对组织进行额外审核或其他行动的权利。

8.3

RINA promptly informs the Organisation of every change in the reference standards or RINA certification rules.

RINA 会及时通知组织参考标准或 RINA 认证规则的每一次变化。

8.4

RINA reserves the right to conduct audits of certified Organisation at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients.

RINA 保留在短时间内或未经通知的情况下对认证组织进行审计的权利，以调查投诉，或应对变化，或跟进被暂停的客户。

CHAPTER 9

SPECIAL REQUIREMENTS FOR MULTI-SITE ORGANISATIONS 多场所组织的特殊要求

9.1

If an Organisation operates on more than one permanent site, it can ask for a single certificate in the presence of the following conditions:

如果一个组织在多个永久场所上运营，它可以在存在以下条件的情况下要求提供单个证书：

- the Organization has a single management system in all sites;
本组织在所有场所都采用单一管理体系;
- the single management system is subjected to a centralized management review;
对单一管理体系进行集中管理评审;
- all sites are included in the Organisation's internal audit programme;
所有工厂都纳入了本组织的内部审核计划;
- a central function governing the entire management system has been identified.
具有明确的管理整个管理体系的核心职能。

The Organization shall be able to demonstrate that its central function has established a management system in compliance with the reference standard and that the entire Organization meets its requirements.

本组织应能够证明其中心职能部门已建立符合参考标准的管理体系，并且整个组织符合其要求。

In particular, at least the following activities must be managed by the central function of the Organisation:

具体而言，至少以下活动必须由本组织的中央职能部门管理：

- control and amendment of documents;
文件的控制和修改;
- management review of the Management System;
管理体系的管理评审;
- management of complaints
投诉管理
- evaluation of the effectiveness of corrective and preventive actions;
评估纠正和预防措施的有效性;
- planning and execution of internal audits and assessment of relevant results;
规划和执行内部审计以及相关结果的评估;
- presence of different legal requirements.
存在不同的法律要求。

If the above conditions are met, audit activities can be performed by sampling the sites included in the scope of the management system, provided that the processes/activities carried out in each site are substantially of the same type and are performed using similar methods and procedures.

如果满足上述条件，则可以通过对管理体系范围内包括的站点进行抽样来执行审核活动，前提是在每个站点中执行的过程/活动基本上属于同一类型，并且使用类似的方法和程序执行。

Prior to the initial audit by RINA, the Organisation must have performed an internal audit on each site and verified the conformity of its management system with the reference standard.

在 RINA 进行初始审核之前，组织必须对每个场所进行内部审核，并验证其管理体系是否符合参考标准。

9.2

If the Organisation observes the previous requirements, RINA always checks the feasibility of sampling on all the sites and may decide whether to limit this sampling in the presence of:

如果组织遵守上述要求，RINA 将始终检查所有场所抽样的可行性，并可能在存在以下情况的情况下决定是否限制此采样：

- sites that perform different processes/activities even though connected to the single management system;
即使连接到单一管理系统，也执行不同流程/活动的场所;
- a request by the Organisation to perform audits in each site included in the certification;
组织要求在认证中包含的每个场所进行审核;

- requirements connected with variable local factors;
与当地可变因素相关的要求;
- sectors or activities within the scope of certification;
认证范围内的部门或活动;
- dimensions of the sites suitable for a multi-site audit;
适合多场所审核的场所维度;
- changes in the local implementation of the management system, such as the need to frequently use, in the sphere of the management system, plans concerning different activities or different contractual or regulatory systems;
管理体系在当地实施的变化, 例如需要在管理体系领域经常使用涉及不同活动或不同合同或监管制度的计划;
- use of temporary sites.
使用临时场所。

9.3

On the basis of the information provided by the Organisation, RINA establishes the applicable sampling plan.

根据组织提供的信息, 由 RINA 制定适用的抽样计划。

This activity is generally performed before the audit process, but may also be confirmed during the audit at headquarters.

这项活动一般在审核过程之前进行, 但也可能在总部审核期间得到确认。

In any case, RINA informs the central function of the sites to be included in the sample.

在任何情况下, RINA 都会告知抽样方案中要包含的场所的中心功能。

9.4

RINA issues a single certificate (main certificate) with the name and address of the Organisation's headquarters and of all the sites covered by certification, also including a description of the processes/activities performed in each site.

RINA 颁发一份证书 (主证书), 其中包含组织总部和认证涵盖的所有场所的名称和地址, 还包括对每个场所执行的流程/活动的描述。

The Organisation may be issued with a certificate for each site/Legal Entity covered by certification, provided it is connected with the main certificate and contains the following information (as per mandatory document IAF MD1 paragraph 7.8.3):

对于认证所涵盖的每个地点/法人实体, 组织可能会获得证书, 前提是它与主证书相关联并包含以下信息 (根据强制性文件 IAF MD1 第 7.8.3 段):

- certification covers the management system of the entire Organisation and not a single site;
认证涵盖整个组织的管理体系, 而不是单个场所;

- the activities performed for that specific site / legal entity which are covered by this certification;
为本认证涵盖的特定站点/法律实体开展的活动;
- a reference to the main certificate's number that allows for traceability;
对主证书编号的引用，以便进行追溯;
- a statement saying “the validity of this certificate depends on the validity of the main certificate”.
声明“此证书的有效性取决于主证书的有效性”。

Under no circumstances can this certificate be issued for each single site/legal entity or suggest that certification applies to this single site/legal entity (the entire Organisation is certified), nor shall it include a declaration of conformity stating that the processes/activities carried out in the single site comply with the normative document.

在任何情况下，都不能为每个单一的场所/法律实体颁发该证书，也不能暗示该认证适用于该单一的场所/法律实体（整个组织都已获得认证），也不得包括符合性声明，说明在单一场所开展的流程/活动符合规范性文件。

9.5

For any non-conformities (major or minor) found on one site during audits, the Organisation must investigate to determine whether the other sites may be affected and, therefore, it must adopt corrective action both at headquarters and at the other sites.

对于在审核期间在一个地点发现的任何不符合项（严重或轻微），本组织必须进行调查以确定其他地点是否可能受到影响，因此，它必须在总部和其他地点采取纠正措施。

If, instead, the non-conformities (major or minor) and/or observations are not of the same type, the Organisation must provide suitable evidence and reasons for limiting its corrective follow-up actions.

相反，如果不符合项（严重或轻微）和/或观察结果不属于同一类型，则组织必须提供适当的证据和理由来限制其纠正性后续行动。

If major non-conformities are found even on just one site, the certification process is suspended for the entire network of listed sites, until these non-conformities have been corrected and, in any case, in accordance with the contents of point 11.1.

如果仅在一个场所上发现严重不符合项，则整个列出的场所网络的认证过程将暂停，直到这些不符合项得到纠正，并且在任何情况下都符合第 11.1 点的内容。

The Organisation may not exclude this/these site/s from the scope during the certification process to avoid the obstacle created by the existence of a major non-conformity.

在认证过程中，组织不得将此/这些场所排除在范围之外，以避免因存在严重不符合项而造成的障碍。

9.6

The Organisation must inform RINA of the closure of any site covered by certification. If this information is not communicated, RINA may decide whether to proceed according to the contents of point 11.1.

组织必须通知 RINA 认证所涵盖的任何场所的关闭。如果未传达此信息，RINA 可以根据第 11.1 点的内容决定是否继续进行。

Additional sites can be inserted in an existing certificate following surveillance or recertification audits or following specific extension audits.

在监督或再认证审核或特定扩展审核之后，可以在现有证书中插入其他场所。

CHAPTER 10

TRANSFER OF ACCREDITED CERTIFICATES 已经认可的证书转机构

10.1

If an Organisation with a valid certificate issued by another Management Certification Body that is party to the IAF/MLA mutual recognition agreement, wishes to transfer its certification to RINA, it must send RINA the "Informative Questionnaire" as per point 3.1, and copy of the of management system certificate.

如果一个组织持有由IAF/MLA互认协议的另一家管理认证机构颁发的有效证书，并希望将其认证转机构至RINA，则必须根据第3.1点向RINA发送“信息问卷”，以及管理体系证书的副本。

RINA, after verifying that:

RINA，经验证后认定：

- the certificate is valid;
证书有效;
- the certificate is not suspended;
证书未被暂停;
- accreditation of the Certification Body that issued the certificate is not suspended;
颁发证书的认证机构的认可没有被暂停;
- the client's certified activities fall within the accredited scope of RINA;
客户的认证活动属于RINA的认可范围;
- the Organisation has motivated the request of transfer
持证组织已提出转机构请求

issue an offer for the transfer of certification.

发出认证转机构的要约。

If it accepts the economic offer, the Organisation must send RINA the "Certification request" together with the following documents:

如果接受要约及价格条件，组织必须向RINA发送“认证请求”以及以下文件：

- Copy of the certification audit report or the last recertification audit report and of the subsequent surveillance audit reports;
认证审核报告或上次重新认证审核报告以及随后的监督审核报告的副本;
- evidence of the corrective action taken related to the non-conformities issued during the previous audit, or the evidence of the review, acceptance and verification of the effectiveness by the previous Certification Body;

对上一次审核期间发布的不符合项所采取的纠正措施的证据，或前一次认证机构审查、接受和验证有效性的证据；

- the type and date of the next audit planned by the previous Certification Body;
前任认证机构计划的下一次审核的类型和日期；
- list of any complaints received and the relevant actions taken;
收到的任何投诉和采取的相关行动的清单；
- the reasons for the certification transfer request;
认证转机构请求的原因；
- any observations or reports by national or local authorities;
国家或地方当局的任何意见或报告；

The check of the above documentation usually includes an audit to the Organization requesting transfer of its certificate.

对上述文件的检查通常包括对要求证书转机构的组织进行审计。

The contract between RINA and the applicant is managed as indicated in paragraph 3.1, depending on the scope of the auditing activities.

RINA与申请人之间的合同按照第3.1段所述进行管理，具体取决于审核活动的范围。

After the satisfactory completion of the above activities, a Certificate of Conformity of the management system is issued which generally maintains the deadline established by the body which issued the previous certificate.

在圆满完成上述活动后，将颁发管理体系合格证书，该证书通常保持颁发先前证书的机构规定的期限。

Generally speaking, surveillance and recertification audits are also performed according to the plan established by the Organisation that issued the previous certificate.

一般而言，监督和再认证审核也是根据颁发先前证书的组织制定的计划进行的。

In the case where the conditions for the transfer are not met, the transfer process can not be applied; if the Organisation intends to continue with the certification process will be evaluated using the criteria set out in Chapter 3, "INITIAL CERTIFICATION".

在不满足转机构条件的情况下，不能适用转机构过程；如果组织打算继续进行认证过程，将使用第3章“初始认证”中规定的标准进行评估。

CHAPTER 11

SUSPENSION, REINSTATEMENT AND WITHDRAWAL OF CERTIFICATION 暂停、恢复和撤销认证

11.1

The validity of the certificate of conformity is suspended as indicated in "GENERAL TERMS AND CONDITIONS FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" and in the following specific cases:

根据“系统、产品和人员认证的一般条款和条件”以及以下特定情况，合格证书的有效性将被暂停：

- if the Organisation refuses to allow the scheduled audits to be performed at the required frequencies and the special audits (short-notice audits and unannounced audits);
如果组织拒绝允许按规定的频率进行预定的审核和特别审核（临时审核和突击审核）；
- if non-conformities are found in the management system which have not been corrected within the time limits established by RINA;
如果在管理体系中发现不符合项，但未在 RINA 规定的时限内纠正；
- if the Organisation does not observe the deadlines established for the communication of corrective actions, following non-conformities/observations indicated on the audit report;
如果本组织没有遵守为通报纠正措施而规定的最后期限，则在审核报告中指出的不符合项/意见之后；
- if the Organisation has made far-reaching changes to its Site/s or moves to another site without informing RINA of such changes;
如果组织对其场所进行了影响深远的更改，或在未通知 RINA 的情况下迁移到另一个场所；
- if the Organisation has made modifications to its management system that have not been accepted by RINA;
如果组织对其管理体系进行了修改，但未被 RINA 接受；
- if the Organisation has undergone important re-structuring and has not reported this to RINA;
如果组织进行了重要的重组，但尚未向 RINA 报告；
- if it refuses or obstructs the participation in audits of the observers of an accreditation body;
拒绝或阻挠认证机构观察员参加审核；
- for evidence that the Management System does not guarantee the respect of the laws and regulations applicable to the supplied products/services, activity and/or site/s;
证明管理体系不保证遵守适用于所提供产品/服务、活动和/或场所的法律和法规；
- if any justified and serious claims received by RINA are confirmed.
RINA 收到的任何合理和严肃的索赔是否得到确认。

The Organisation may also make a justified request to suspend certification, normally for not more than six months and in no case after the date of expiry of the certificate.

本组织也可以提出暂停认证的合理要求，通常不超过六个月，在任何情况下都不得在证书到期之日之后。

This suspension will be notified in writing (certified e-mail or equivalent method), stating the conditions for reinstating certification and the date by which the new conditions are to be complied with.

此暂停将以书面形式（认证电子邮件或同等方法）通知，说明恢复认证的条件以及遵守新条件的日期。

Suspension of the validity of the certificate is made public by RINA directly on the website www.rina.org as indicated in point 7.3.

如第 7.3 点所示，RINA 直接在网站上公布证书有效性的暂停 www.rina.org。

11.2

Reinstatement of certification is subject to verification that the shortcomings which led to the suspension itself have been eliminated. This is achieved by means of an analytical audit checking the compliance of the Management System with all the requirements of the reference standard.

恢复认证有待核实，导致暂停本身的缺陷已经消除。这是通过分析审核来实现的，检查管理体系是否符合参考标准的所有要求。

It is notified to the Organisation in writing (certified e-mail or equivalent method) and made public by RINA on its website www.rina.org as established in point 7.3.

将以书面形式（认证电子邮件或同等方法）通知组织，并由 RINA 在其网站上公布，www.rina.org 第 7.3 点所述。

11.3

Failure to fulfil the conditions as per point 11.2 above by the established date will lead to revocation of the Certificate of Conformity

未能在规定日期之前满足上述第 11.2 点的条件将导致合格证书被吊销

Revocation of the certificate of conformity may be decided as indicated in "GENERAL TERMS AND CONDITIONS FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" and in the following specific cases:

在以下特定情况下，可以按照“系统、产品和人员认证的一般条款和条件”中的说明决定撤销合格证书：

- when there are reasons such as those indicated in point 11.1 for suspension, which are held to be particularly serious;
当存在诸如第 11.1 点所述的暂停原因时，这些原因被认为特别严重；
- if the Organisation stops the activities or services covered by the certified Management System for over six months as a rule;
如果组织通常停止认证管理体系所涵盖的活动或服务超过六个月；
- if the Organisation does not accept the new contractual conditions;
如果组织不接受新的合同条件；
- for multi-site organisations, if the headquarters or one of the sites does not comply with the criteria required to maintain certification;
对于多场所组织，如果总部或其中一个场所不符合保持认证所需的标准；
- for every other major reason, at RINA's discretion, such as the proven incapacity of the system to pursue its objectives of complying with legislative, contractual or product safety requirements.
对于所有其他主要原因，由 RINA 自行决定，例如证明体系无法实现其遵守立法、合同或产品安全要求的目标。

Withdrawal of the Certificate of Conformity is notified in writing (certified e-mail or equivalent method), to the Organisation and made public by RINA as indicated in point 7.3.

合格证书的撤销以书面形式（认证电子邮件或同等方法）通知组织，并由 RINA 按照第 7.3 点的规定公开。

Any organisation which, following revocation of its Certificate, wishes to be re-certified, must submit a new application and follow the entire procedure all over again.

任何机构在撤销其证书后，如果希望获得再认证，则必须提交新的申请并重新遵循整个程序。

CHAPTER 12 RENUNCIATION OF CERTIFICATION 放弃认证

A certified organisation may send formal communication of renunciation of certification to RINA, before the expiry of the certificate, including the case in which the Organisation does not wish to or cannot conform to new provisions established by RINA.

获证组织可以在证书到期前向 RINA 发送正式的放弃认证通知，包括该组织不希望或不能遵守 RINA 制定的新规定的情况。

Upon receipt of this communication, RINA starts the procedure for invalidating the certificate.

收到此告知后，RINA 将启动使证书失效的程序。

Generally speaking, within one month from the date of the communication, RINA updates the validity status of the certificate.

一般来说，自通信之日起一个月内，RINA 会更新证书的有效性状态。

CHAPTER 13 CONTRACTUAL CONDITIONS 合同条件

For contract conditions, the contents of the current edition of RINA document "GENERAL TERMS AND CONDITIONS FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.

对于合同条件，适用当前版本的 RINA 文件“体系、产品和人员认证的一般条款和条件”的内容。

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Technical rules 技术规则