

附件 1

中国认证认可协会

China Certification & Accreditation Association



CCAA 境外认证人员确认方案

Registration Scheme of CCAA Overseas Certification Personnel

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第一章 总则

Chapter I General Principles

1.1 引言 Introduction

为满足境外认证人员在中华人民共和国境内临时开展认证活动的需要，由中国认证认可协会（CCAA）制定本方案，以此建立境外认证人员确认制度。经确认的人员，仅证明其在中华人民共和国境内能够临时开展相应确认领域的认证活动。

In order to meet the growing demands of overseas certification personnel of conducting certification activities in China and in view of current national conditions, the scheme is formulated by CCAA to establish the registration scheme of overseas certification personnel.

It is only proved that registered personnel are able to temporarily conduct certification activities in the relevant registration field in China.

1.2 适用范围 Scope

本方案适用于 CCAA 已正式建立认证（含管理体系、产品和服务）人员注册制度的领域，不包括强制性认证检查员（CCC）。

This scheme applies to fields where personnel certification systems (including management systems, products and services) have been established by CCAA and does not apply to China Compulsory Certification.

1.3 境外认证人员 Overseas Certification Personnel

具备从事认证活动能力的香港、澳门、台湾地区或非中国国籍的认证人员。

Certification personnel is from Hong Kong, Macao and Taiwan or with non-Chinese nationality who have the ability to engage in the certification activities.

第二章 确认要求

Chapter 2 Registration Requirements

2.1 对申请人推荐机构的要求

Requirements for applicant's recommendation bodies

申请人推荐机构应：

Applicant's recommendation bodies should be:

- a) 经国家认证认可监督管理委员会（CNCA）批准的认证机构，同时具备 CNCA 批准或备案的相应认证业务范围；

Certification bodies approved by Certification and Accreditation

Administration of People's Republic of China (CNCA).

- b) 申请人推荐机构应评价并统一提交申请人资料，对申请资料的真实性出具担保意见并承担相应认证风险和责任。

The applicant's recommendation bodies shall evaluate and uniformly submit the documents of the applicant, serve as the sponsor for the validity of the application documents and bear associated risks and responsibilities.

2.2 对申请人的要求 Requirements for Applicants

2.2.1 申请人应是合法的境外认证人员。

Applicants should be legitimate Overseas certification personnel.

2.2.2 申请人应符合下列临时来华认证活动情形之一：

Certification activities in China on a temporary basis applicants should meet at least one of the following conditions:

a) 外方投资认证机构总部签订的认证合同，客户的认证现场在中国境内的；

Where sites of certification of the client lie within mainland China under the certification contract signed by headquarters of foreign investment certification bodies;

b) 其他必须由境外认证人员实施的认证活动。

Other certification activities that must be conducted by overseas certification personnel.

2.2.3 申请人应承诺遵守中华人民共和国法律法规及以下行为规范：

Applicants should promise to abide by Chinese laws and regulations and the Code of Conduct:

● 恪守职业道德，诚实守信、客观公正；

Observe professional ethics and principles including integrity, trustworthiness, objectivity and impartiality;

● 不介入客户、委托方的冲突或利益竞争；

Avoid conflicts or competing interests with clients or auditees;

● 未经书面授权或法律要求，不得透露客户、委托方的商业、技术秘密，

不得将审核过程中收集的数据资料携带出境；

Do not disclose the business and technical secrets of the client and the entrusting party without written authorization or legal requirement;

- 不得诋毁、损害 CCAA 及其人员评价/确认过程的声誉；

Do not damage the reputation of the evaluation or Registration process of the CCAA.

- 对 CCAA 实施的与其备案情况有关的调查给予充分的合作。

Cooperate fully with CCAA in any formal enquiry procedures about registration.

2.2.4 申请人应保证其申请资料真实有效，并承担相应认证风险和责任。

Applicants should ensure the validity of their application documents and bear associated risks and responsibilities for certification activities.

2.2.5 申请人应仅受聘于一个认证机构在中国开展认证活动，该认证机构应经国家认证认可监督管理委员会（CNCA）批准，同时具备 CNCA 批准的相应认证业务范围。

Applicants shall only be employed in a certification bodies to carry out the certification activities in China, the certification bodies shall be approved by Certification and Accreditation Administration of People's Republic of China (CNCA).

2.2.6 申请人应在来华开展确认领域相关认证活动前，已完成关于中国法律法规相关知识的培训。

Applicants should have completed training on Chinese laws, regulations, and

relevant knowledge in the field of registration before coming to China.

2.3 申报资料 Application Documents

申请人应提供真实、完整的注册信息、资料，并通过 CCAA 注册管理系统完成申请。申请提供的资料应包括下列文件（只接受中文或英文）：

Application documents should be comprised of the following documents (only Chinese or English versions are accepted):

a) 认证机构应提供 CNCA 颁发的认证机构批准证书，和相应认证业务批准/备案证明文件照片或彩色扫描件；

Recommendation bodies applying for the first time should submit the Copy of the CNCA approved certificate;

b) 申请人护照首页的照片或彩色扫描件；

注：香港、澳门和台湾地区的认证人员可提供香港、澳门特别行政区永久性居民身份证或者香港、澳门特别行政区护照、台湾居民来往大陆通行证。

Copy of the applicant's passport (Home page);

Note: Certification personnel in Hong Kong, Macao and Taiwan may provide the permanent identity card or the passport of Hong Kong, Macao Special Administrative Region, and the Taiwan residents should provide the mainland visa.

c) 现行有效的由第三方人员注册机构颁发的相应领域认证人员资格证明（证书或其他证明文件）照片或彩色扫描件；

A photograph or color-scanned copy of the currently valid auditor qualification (certificate or other supporting document) issued by a third-party personnel registration body in the respective field.

d) 符合本文件 2.2.2 条款要求的必须由境外认证人员实施认证活动的说明，需推荐机构盖章确认。同时提交境外认证人员来华开展的认证活动的信息，包括：

每个项目的审核日期、认证领域、受审核方名称、审核类型、申请人在审核组担任角色（组长/组员）。

A statement confirming that the certification activities must be conducted by overseas certification personnel in compliance with Clause 2.2.2 requirements must be stamped and confirmed by the recommending institution. Additionally, information on the certification activities carried out in China by the overseas certification personnel must be submitted, including: the audit date, certification scope, name of the auditee, type of audit, and the applicant's role in the audit team (team leader/member) for each project..

e) 个人声明（系统下载模板，亲笔签名后上传）。

Personal Statement (Download the template from the system, manually signed and then uploaded).

第三章 确认流程

Chapter 3 Registration Process

3.1 申请 Application

申请人在 CCAA 网站注册系统中填报完整的申请信息、资料，在推荐机构审核通过后，CCAA 开始受理申请。并依据《认证人员注册、培训收费规则》交纳确认费。

The registration application shall be uniformly declared to the CCAA by the certification bodies employing the applicant, and the registration fee shall be paid in accordance with "*The Charging Rules for the Registration and Training of*

Certification Personnel".

3.2 受理 **Submission**

CCAA 日常受理确认申请。

CCAA receives registration applications year-round.

3.3 评价与评价决定 **Evaluation and Evaluation Decisions**

3.3.1 在受理申请后,CCAA 评价人员根据评价过程中收集的信息形成评价结论,给出申请人是否适宜确认的意见。如果申请材料存在不符合项,CCAA 将向申请人发送不符合内容和整改时限要求。整改时限为自发送之日起 60 日,整改时限内申请人有 2 次整改机会,需在申请系统中自行按要求提供整改材料。如申请人在不符合反馈时限内仍未做出有效整改,CCAA 将做不予通过处理。

After accepting the application, the CCAA evaluator evaluates the application data and puts forward some opinions on whether it is appropriate to confirm the application.

3.3.2 CCAA 对意见进行复核,做出评价决定。

The CCAA personnel evaluation department reviews the opinions and makes evaluation decisions.

3.3.3 CCAA 秘书长批准确认决定并签发文件。

The CCAA Secretary-General approves the registration of the decision and the issuance of documents.

3.4 确认结果 Results

CCAA 将以公文形式发布确认文件，确认文件自批准之日起生效，有效期 1 年。

CCAA will issue registration documents in the form of official documents, which shall take effect from the date of approval and shall be valid for 1 year.

出现以下情况时，有效期自动终止，确认资格即行失效：

When the following conditions occur, the validity period is automatically terminated, and the registration qualification is the invalidated:

a) 确认人员与推荐机构解除聘用关系；

There is the termination of the employment relationship between the registration personnel and the application bodies;

b) 确认人员违反法律法规、认证规范文件和审核员行为规范，经 CCAA 查实并予以资格处置；

Registration personnel violates laws and regulations, and the certification specification documents which verified by CCAA and gave the disposed of by qualification;

3.5 评价时限 Time Limit Evaluation

对于符合要求的申请，CCAA 将在 30 个工作日内完成批准。因申报信息和资料不真实、不完整或不符合要求，造成评价过程延迟的时间，不计入评价时限。

For applications meeting the requirements, CCAA will complete the approval

process within 30 working days.

第四章 处置

Chapter 4 Disposition

4.1 停止受理 Stop Accepting

申请人推荐机构未履行担保责任，故意隐瞒申请人信息，CCAA 将不再受理其推荐的确认申请资料。

In case where application bodies fail to perform guarantee responsibilities or hide relevant information of applicants on purpose, CCAA will no longer accept its recommended registration application.

4.2 撤销 Revocation

确认人员若违反中国法律法规及行为规范等有关要求，CCAA 将撤销其确认资格。

In case of any violation of the relevant requirements of China's laws and regulations and the code of conduct, the CCAA will revoke its registration qualification.