

# 中国认证认可协会文件

中认协评〔2019〕150号

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## 关于发布《CCAA 境外认证人员确认方案》的通知

各相关认证机构及人员：

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，中国认证认可协会（CCAA）制订了《CCAA 境外认证人员确认方案》（CCAA-VS01-1:2019）（见附件），现予发布。本确认方案自发布之日起实施，原《外籍认证人员临时备案规则》同时废止。

特此通知。

附件：CCAA 境外认证人员确认方案



附件

# 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

(第 1 版)

(First Edition)

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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。

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.

本文件替代《外籍认证人员临时备案规则》（文件编号：CCAA-211）。

This document is instead of “Temporary Registration Rules for Foreign Certification Personnel (Document number: CCAA-211)” .

### 1.2 适用范围 Scope

本方案适用于 CCAA 已正式建立自愿性认证（含管理体系、产品和服务）人员评价制度的领域，不包括强制性认证领域（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非中国国籍或香港、澳门、台湾地区的认证人员。

Certification personnel is with non-Chinese nationality or from Hong Kong, Macao and Taiwan 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) 是国家认证认可监督管理委员会（CNCA）批准的认证机构；

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) 外方投资认证机构的 CCAA 证书持有人均不具备相应专业能力，必须聘请境外认证人员以保证审核组/检查组专业能力的；

Where CCAA auditors employed in foreign investment certification bodies do not have required competence and foreign certification personnel are needed to ensure the competence of the audit team or inspection team;

c) 外方投资认证机构总部的科研、研发认证项目，需要在中国境内现场进行验证和试点的；

Where headquarters of foreign investment certification bodies are engaged in certification projects for scientific research and development purposes and need to conduct verification and pilot programs in China;

d) 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；

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。

The applicant 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).

### 2.3 申报资料 **Application Documents**

申请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) 首次申报的认证机构应提供 CNCA 颁发的认证机构批准/备案证书复印件；

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

- b) 《CCAA 境外认证人员确认申请表》原件（见附录）；

“Application Form for Registration of Overseas Certification Personnel” (Please see the attachment);

- c) 申请人护照复印件(首页和签证页) ；

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 and visa 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.

- d) 符合条款 2.2.2 的证实文件。

Supporting documents that compliance with the clause 2.2.2.

## **第三章 确认流程**

### **Chapter 3 Registration Process**

#### **3.1 申请 Application**

确认申请应由聘用申请人的认证机构统一向 CCAA 申报，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 于每年的 3 月、6 月、9 月和 12 月的前十五日集中受理确认申请。

CCAA receives registration applications in the first 15 days of March, June, September and December each year.

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

3.3.1 在受理申请后，CCAA 评价人员对申请资料进行评价，提出是否适宜确认的意见。

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 人员评价部对意见进行复核，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 for Evaluation**

CCAA 将于集中受理月的前十五日接收申请，并于受理月的最后一个工作日之前完成确认工作。

CCAA will receive applications in the first 15 days before the centralized acceptance of the month and complete the registration by the last workday of the month.

## **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.



## 附录 Appendix

### CCAA 境外认证人员确认申请表

#### Application Form for Registration of Overseas Certification Personnel

认证类别:  管理体系  产品  服务  其它

Types of Certification:  Management Systems  Products  Services  Others

姓名 Name		国籍 Nationality	
出生日期 Date of Birth		性别 Gender	
护照信息 Passport Information	护照号码 Passport No.		
	签发日期 Date of Issue	有效期至 Date of Expiry	
	签发机关 Issue Authority		
工作单位 Current Employer		电话 Tel	
申报机构 Application Body			
申报机构联系人 Contact Person of Application Body		联系人电话/手机 Contact Phone No	
来华开展认证活动事由 (请在相应选择项打√) Conditions of conducting certification activities in China (Tick √ in corresponding □)	<input type="checkbox"/> 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。 Where sites of certification of the client lie within mainland China under the certification contract signed by headquarters of foreign investment certification bodies.		
	<input type="checkbox"/> 外方投资认证机构的CCAA证书持有人均不具备相应专业能力, 必须聘请境外认证人员以保证审核组专业能力。 Where CCAA Certificate Holder or inspectors employed in foreign investment certification bodies do not have required competence and foreign certification personnel are needed to ensure the competence of the audit team or inspection team.		

<input type="checkbox"/> 外方投资认证机构总部的科研、研发认证项目，需要在中国境内现场进行验证和试点。 Where headquarters of foreign investment certification bodies are engaged in certification projects for scientific research and development purposes and need to conduct verification and pilot programs in China.		
<input type="checkbox"/> 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 foreign certification personnel 事由说明 Remarks:		
认证活动信息 (可按照需要增加此栏) Information of certification Activities (This column can be added if necessary)	认证领域 Certification Field	
	时间与地点	
	认证组织名称 Name of Certified Organization	
<b>个人承诺</b> <b>Personal Statement</b>		
本人保证申请表中所填写内容及所附资料真实有效。 I guarantee that the information in this application form, together with its attached documents, is true and valid.		
本人承诺自觉遵守中华人民共和国法律法规及相关行为规范，并承担相应认证风险和责任。 I promise to observe laws, regulations and the Code of Conduct in China and will take associated risks and responsibilities for certification activities		
申请人（签字）： Applicant (Signature):		日期： Date:
<b>申报机构意见</b> <b>Recommendations of Application Body</b>		

本机构确认申请人所有上报资料真实有效，愿意为其担保。

We hereby certify and guarantee that Applicant has submitted true and valid information.

本机构承诺严格遵守中华人民共和国法律法规，接受CCAA的监督，并承担相应认证风险和  
责任。

We promise to strictly observe laws and regulations of People's Republic of China, accept the  
supervision of CCAA and take associated risks and responsibilities for certification activities.

负责人（签字）：  
Persons in charge (Signature):

日期：  
Date:

（申报机构盖章）：  
(Stamp of Application Body):

**CCAA评价意见**  
**CCAA Evaluation Opinion**

经评价，符合 CCAA 境外认证人员确认方案要求，建议确认。

After evaluation, if meets the requirements of CCAA Overseas certification personnel  
Registration scheme, it will be recommended Registration.

经评价，不符合要求，建议不予确认。

After evaluation, if doesn't meet the requirements, it is recommended not to confirm.

评价人员（签字）：  
Evaluator (Signature):

日期：  
Date:

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抄送：国家认监委认证监管司，存档（2）。

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中国认证认可协会

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