

## 上海波西认证有限公司简介

### Profile

#### 1、简介 Profile

##### 1.1 性质 Property

上海波西认证有限公司（简称上海波西，英文缩写 POSI），经中国国家认证认可监督管理委员会批准，在上海自由贸易区成立的一家独立的第三方认证机构。上海波西认证有限公司成立于 2017 年，立足上海自贸区，服务全国，走专业化的认证发展道路。

The certification body's full name is Shanghai POSI Certification Co., Ltd. (simply "POSI" for short.), with the approval by the China National Certification Accreditation Surveillance Management Committee (CNCA), is an independent third-party certification body established in Shanghai Free Trade Zone. Shanghai POSI Certification Co., Ltd. was established in 2017, based on the Shanghai Free Trade Zone, serving the country and on the way of being specialized.

##### 1.2 组织 Organization

上海波西在最高管理者领导下的职能部门有管理部、认证部、销售部、分公司。

The functional departments of POSI under the leadership of the top management include the management department, certification department, sales department, Branch Office.

##### 1.3 资源 Resource

上海波西配备有必要的专职人员、办公设施和通讯设备等，负责日常的合同管理、认证审核管理和认证人员管理等工作。上海波西建立并实施以专业能力为基础的认证审核人员评价体系，拥有一支高水平的审核人员队伍，可为企业提供增值的认证服务。具有认证制度运作所需的足够资源，可以在广泛的认证领域和专业范围为申请人提供满意的服务。

POSI is equipped with the necessary full-time staff, office facilities and communications equipment, etc., responsible for the daily contract review, audit plan and certification personnel management. POSI establishes and implements an evaluation system for certification auditors based on professional competence. It has a high-level team of auditors and can provide value-added certification services for clients. The various resources needed by operation of certification system are sufficient, which can provide satisfy services for applicant in extensive certification field and competence scope.

##### 1.4 宗旨 Purpose

本公司是不以营利为目的的认证机构，不接受社会各方任何形式的经济赞助，财务收入来自认证审核和培训收费，财务实行独立核算，有稳定的财务状况和良好的财务监督机制。

POSI is a certification body that is not for the purpose of profit. It does not accept any economic support from society; its financial revenue is from certification audit and training fees.

Finance conducts independent calculating with the stable financing situation and a good finance monitoring mechanism.

上海波西开展的认证业务，严格遵守中国的法律、法规，遵守有关的行业规范，并接受国家认证认可监管部门和其它有关机构的管理和监督。

The certification business carried out by POSI strictly abides by Chinese laws and regulations, complies with relevant certification regulations, and accepts the management and supervision from CNCA, CNAS, IAS, CCAA and other government departments.

本公司的服务不附加任何条件，在业务范围内向所有申请者开放。

Our services are open to all applicants without any additional conditions, within the certification scope

本公司对认证组织的技术、管理、经营秘密和认证过程严格保密。

POSI strictly keeps confidential the technology, management, operating secrets and certification process of certification organizations.

### 1.5 业务范围 Business Scope

本公司经认监委审批和备案的业务范围有：

POSI's scope of business approved and recorded by the CNCA is:

ISO9001, ISO14001, ISO45001, ISO27001, ISO22000, HACCP

ISO13485

IECQ QC080000

服务认证

产品认证

## 2、方针目标和承诺 **policy objectives and commitments**

### 2.1 公司的方针 Policy

认证服务应努力确保：

公正且避免利益冲突；

符合认可准则；

向所有潜在的客户开放并且不附带任何特定的限制条件。

The certification service should strive to ensure:

Be fair and avoid conflicts of interest;

Meet the accreditation criteria;

Open to all potential customers without any specific restrictions.

## 2.2 公司目标 objective

a) 100%按认证认可法规实施独立公正审核;

b) 客户满意度 $\geq 92\%$ 。

a) 100% implementation of independent and fair review in accordance with certification and accreditation regulations;

b) Customer satisfaction rate  $\geq 92\%$ 。

## 2.3 管理承诺 Management commitment

公司的全体员工以客户的满意为关注焦点，并识别任何可能的改进机会，以不断提高顾客满意度，以确保认证审核全过程有效性和管理的效率。

All employees of POSI focus on customer satisfaction and identify any possible improvement opportunities to continuously improve customer satisfaction, to ensure the effectiveness of the audit process and the efficiency of management.

## 3、工作准则 working guidelines

3.1 本公司在认证工作中将严格遵守国家的有关法律、法规和公司的质量方针，在认监委批准，认可机构认可的业务范围内开展认证活动。

With conformance to relevant statutes and regulations of nation and the quality policy of our company, we shall conduct certification activity within the business scopes approved by CNCA, and authorized by ABs.

3.2 本公司对自愿申请认证的任何组织持公正及开放态度，以标准、法规等为审核依据，认真履行认证程序。认证活动中仅在审批范围内进行，不受任何可能干扰认证结果公正性因素的影响。不采取任何不公正的做法，如优先或拖延对委托方的受理工作等。

We shall implement the certification activity with impartiality and opening for any organization that apply for certification voluntarily and carry out the certification procedures on the basis of standard and regulations. Certification activity is only carried out within approved scopes and does not be influenced by any factor that may affect impartiality of certification result. Any inequitable activity shall not be taken, for instance, it handles applicant's work with priority or delay.

3.3 本公司依靠严格的工作纪律、完善的管理措施开展认证活动。公司内部任何员工不对公司进行认证数量或经济指标承包。保证为委托认证的组织保守秘密，维护其组织的利益。

POSI conducts certification activity depending on strict work discipline and perfect management

actions and our staff shall not contract the certification quantity or economic indices of our company. And we shall ensure to keep secret of organization information and safeguard their profits.

3.4 本公司始终遵照《认证机构管理办法》、CNCA 或 CNAS 发布的认证认可规范、ANAB 认可准则《ACCREDITATION RULE 10 关于认证机构的市场营销与提供管理体系咨询机构关系的管理》，IAS 《ACCREDITATION CRITERIA FOR MANAGEMENT SYSTEM CERTIFICATION BODIES AC477》、IAS\_MSCB\_002 《RULES OF PROCEDURE FOR MANAGEMENT SYSTEM CERTIFICATION BODY ACCREDITATION》的要求。独立签署认证合同，不签署咨询认证“一条龙”合同。本公司及其相关机构不从事任何与本公司认证业务有关的技术咨询活动。

POSI shall abide by <Certification authority management methods> , certification accreditation specifications issued by CNCA or CNAS, ACCREDITATION RULE 10 Certification Body (CB) Management of Marketing and Relationships with Bodies that Provide Management Systems Consulting, IAS “ ACCREDITATION CRITERIA FOR MANAGEMENT SYSTEM CERTIFICATION BODIES AC477 ” , IAS\_MSCB\_002 “ RULES OF PROCEDURE FOR MANAGEMENT SYSTEM CERTIFICATION BODY ACCREDITATION ” . We shall sign the certification independently and do not sign the “coordinated-process” contract of consultation and certification. Our company and its relevant bodies shall not be engaged in any technical consulting activity relating to the business of our company.

3.5 开展认证工作不以赢利为目的，不以不正当手段进行市场竞争，根据认证标准、企业规模和风险等级及市场情况等，确定收费标准。

We shall not conduct the certification work for profiting and develop market with unjustified ways. Certification charge shall be set according to certification standards, enterprise size, risk level and market conditions.

3.6 本公司的服务向所有的委托方开放，不附加不正当的财务或其它条件。不以组织的规模或是否为某一协会或社团的成员以及获证组织的数量作为委托和认证的限制条件。

Service provided by our company shall be opened for all clients without attaching unjustified financial or other conditions. And we shall not limit any organization according to its scale or whether it is the member of certain association or league as well as the quantity of certified organization.

3.7 本公司对认证审核人员的活动有如下规定：

We provide following specifications for certification audit personnel:

a) 审核人员不得以任何名义从事认证咨询活动；

Auditors shall not be engaged in consulting activity by any means;

b) 曾在最近两年内对拟认证委托方提供过咨询活动的审核人员，不得参与对该组织的认证活动；

Auditors who have provided consultation for the client of proposed certification in recent two years shall not participate in the certification activity of this organization;

c) 遵守《中华人民共和国认证认可条例》中第十五条有关规定。

They shall conform to the regulations of the clause 15 in “Certification Accreditation Rule of PRC”

d) 严禁公司及公司控制下的任何实体或部门对任何客户提供管理体系内部审核。

Prohibit POSI and its other legal entities or department provide any internal audit for the applicant client.

3.8 本公司不对通过或已委托本公司认证注册的组织进行针对该组织而实施的培训。所有培训均面对社会进行，确保培训业务不影响认证的公正性。

POSI shall not conduct training for the organization that has obtained the certification registration of our company or has entrusted our company to register certification. All training shall be conducted for society, which ensures that training business cannot affect impartiality of certification.

3.9 本公司确保全体人员、相关机构、分包方和审核人员秉公办事，不以权谋私，不弄虚作假，不为个人、集体或其他方利益优先或拖延对委托方的受理工作，杜绝不正之风。如有违反，将受到严肃处理。

We shall ensure that all staff, relevant bodies, subcontractors and auditors shall handle matters impartially and do not make benefit through their rights, and do work without falsification, also do not offer the priority or delay to client for the interests of individual, group or other parties. If there is violation, it shall be punished POSI.

3.10 公司将遵照有关法律要求和认可机构的规定做出适当的安排，以保证组织内的各级人员（包括维护公正性委员会、技术委员会、外聘人员）对在认证过程中所获信息保密。

We shall make applicable arrangement in compliance with relevant law and regulations of

accreditation body to ensure that all levels (including Safeguarding Impartiality Committee, technical committee, and external personnel) keep confidentiality for achieved information on the process of certification.

3.11 除认可机构或法律要求之外,有关特定产品或申请方的信息在没有申请方书面同意的情况下不得透露给第三方,当应法律要求需将信息提供给第三方时,本机构应通知申请方所要提供的信息。

In addition to the requirements of accreditation or law, the relevant information of specific product or applicant shall not be leaked to the third party without written approval of applicant. When the information must be provided for the third party according to law's requirement, our company shall communicate the provided information to applicant.

3.12 本公司全体工作人员,包括维护公正性委员会委员、管理人员、技术专家和专兼职审核员,均签订公证性与保密声明,承诺遵守各项公证性与保密要求。

All the working staff including Safeguarding Impartiality Committee, management staff, technical expert, full-time and part-time auditors shall sign the "impartiality and confidentiality statement", make a commitment to comply with each requirement of impartiality and confidentiality.

#### 联络信息

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### 4、认证工作流程 work process

