CNAS-RC02

Rules for Sanctions against the Accreditation of Certification Bodies

CNAS
Foreword

This document is developed by CNAS.

This document specifies rules for sanctions against the accreditation of certification bodies and requirements formed with other necessary accreditation rules and criteria by CNAS.

This document is substitution of CNAS-RC02:2013.
Rules for Sanctions against the Accreditation of Certification Bodies

1 Scope
1.1 This document is prepared to enhance the control and management of accredited certification bodies by CNAS and ensure effectiveness and authority of accreditation.

1.2 This document specifies rules for handling accreditation qualification of certification bodies. It is applicable to all accredited certification bodies.

2 Normative References
The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

CNAS-R01 Rules for Accreditation Symbols and References to Accreditation
CNAS-R03 Rules for Dealing with Appeals, Complaints and Disputes
CNAS-RC01 Rules for Accreditation of Certification Bodies
CNAS-RC03 Rules for Certification Bodies to Report Information
CNAS-RC04 Rules for Fees on the Accreditation of Certification Bodies
CNAS-RC05 Rules for Accreditation of Certification Bodies with Multi-premises
CNAS-RC07 Rules for Accreditation of Certification Bodies with Foreign Locations

3 Terms and Definitions
This document adopts the terms in CNAS-R01, CNAS-R03, CNAS-RC01, CNAS-RC05, CANS-RC07. Terms and definitions as follows are also applicable to this document.

3.1 Reduction of Certification Scope
process of withdrawal of part of certification scope in a certain accredited certification field.

3.2 Reduction of Key Premises
process of withdrawal the key premises involved in a certain accredited certification field.

3.3 Suspension of Accreditation Qualification
process of making the part or all of accreditation scope void temporarily.

3.4 Withdrawal of Accreditation Qualification

process of withdrawal the part or all of accreditation scope.

3.5 Cancellation

withdrawal the part or all of accredited accreditation scope by CNAS after acceptance of application of the certification body.

3.6 Warning

When accredited certification body has problems which influence the effectiveness of accreditation management or certification but which are independent, incidental and taken the corrective actions to solve the problems effectively and in a short time, CNAS shall handle the accreditation qualification of the certification body based on the severity of the problems.

4 Handling of Accreditation Qualification

The accreditation qualification of the certification body shall be handled in five methods: suspension, withdrawal, reduction, cancellation and warning. The certification body explains the facts before the suspension and withdrawal of accreditation qualification of the accredited certification body are made.

4.1 Suspension of Accreditation Qualification

If one of the following situations occurs in the accredited certification body, all or part of its accreditation fields will be suspended by CNAS for less than six months and published in appropriate way in accordance with the specific situation.

4.1.1 Administrative approval documents of the certification body have been suspended,

4.1.2 The certification body has not accept CNAS accreditation assessment on schedule or in delayed time,

4.1.3 The certification body has unjust behavior in the certification audit and consulting,

4.1.4 The warned certification body has not taken effective corrective actions on existing problems within the prescriptive time or the same problems have occurred repeatedly in one accreditation period after warning,

4.1.5 The information related to certification activities of certification bodies, such as institution management, certification process and certification personnel, etc is not true,

4.1.6 The certification body issues certificates without implementing effective audit/evaluation of products, processes, services, and management system which are applying for certification, and the certification body has not implemented effective surveillance or reassessment of certified products, processes, services, and management system and has not proven that the certified products, processes, services, and management system continuously meet the certification
requirements, including major issues which have been found in management system, products, processes, services of multiple certified organizations in determination audit or they have not taken corrective actions when the certified products, processes, services, and management system can not continuously meet the certification requirements,

4.1.7 The certification body has not notified information repeatedly according to CNAS-RC03 Rules for Certification Bodies to Report Information or caused serious influence,

4.1.8 The certification body has not taken any corrective actions on the nonconformity identified in various accreditation assessments within the time limit prescribed by CNAS,

4.1.9 Misuse of accreditation certificate, accreditation symbols, IAF MLA Mark and ILAC-MRA Mark to cause serious influence,

4.1.10 Delay to pay for accreditation fees or refuse to pay for accreditation fees after reminder,

4.1.11 The certification body has not implemented surveillance or taken corrective actions of the certificated organization in the period of validity of the certification certificate in accordance with laws and regulations,

4.1.12 The certification body acclaims its accreditation qualification beyond the accredited certification scope or the following situations have been occurred, such as key activities related to certification certificate with CNAS symbol implemented in unaccredited premises, certification certificate with CNAS symbol issued in unaccredited scope, for example scope or product standard, certification certificate with CNAS symbol issued in sub-scope which failed to implement mandatory witnessing in accordance with the requirements of CNAS and key activities implemented in ordinary premises acclaimed by certification body.

4.1.13 The certification body has been found serious mistakes in the certification of review application, plan of audit scheme, audit arrangement or audit implementation process and certification decision which influence the effectiveness of certification audit.

4.1.14 The certification body has not implemented the certification audit of effectiveness of the key process, important environmental factors and major dangerous resource or conformity of applicable laws and regulations,

4.1.15 Recurrence of the same type of major nonconformity in two consecutive accreditation assessments of certification bodies,

4.1.16 The certification body has some problems with its operation system which influence the effectiveness of certification audit,

4.1.17 Problems which breach accreditation specification seriously have been verified by CNAS through the investigation of complaints against certification bodies, no further corrective actions had been implemented by certification bodies,

4.1.18 The certification body exists serious problems and has not analyzed reasons and taken corrective actions,

4.1.19 The certification body provides the certification services in accordance with
accreditation criteria, such as ISO/IEC 17025 General Requirement for the Competence of Test and Calibration Lab or ISO 15189 Medical Laboratories – Particular Requirements of Quality and Competence, etc.

4.1.20 Suspension of on-site verification is repeated due to the reasons of certified organizations instead of force majeure during on-site verification of audit determination,

4.1.21 Serious breach of accreditation contract,

4.1.22 Other serious breach of requirements of accreditation specifications which has not led to withdrawal of accreditation

4.2 Withdrawal of Accreditation Qualification

If one of following situations occurs in the accredited certification body, all or part accreditation scope will be withdrawn and announced publicly.

4.2.1 Administrative approval documents of the certification body have been withdrawn,

4.2.2 Certification body has not taken corrective actions to solve the problems during the suspension of accreditation qualification and breached the requirements of accreditation specification seriously,

4.2.3 Problems are occurred in clause 4.1.6 and causes serious influence on society,

4.2.4 Recurrence of problems of the certification body with its accreditation qualification suspended in the same accreditation period,

4.2.5 Serious breach of the accreditation contract,

4.2.6 Certification conclusions are fraudulent or seriously incorrect or the certification body has provided fraudulent information of certification audit on purpose,

4.2.7 During the period of suspension, certification bodies have continuously referred to their accreditation within the suspended accreditation scope and continue to conduct initial certification and re-assessment of their clients,

4.2.8 The certification body has not accepted specific surveillance assessment and audit determination of CNAS,

4.2.9 The certification body failed to meet the requirements of Clause 6.2 of this document has issued certification certificate with CNAS symbol.

4.3 Reduction of Certification Scope and Key Premises

4.3.1 Reduction of Certification Scope

CNAS will reduce certification scope of the certification body if one of situations exits and publish an announcement to the public.

4.3.1.1 The certification competence of the accredited certification body cannot meet the accreditation requirements in part of certification scope in some field anymore and cannot meet the accreditation requirements in time prescribed by CNAS.
4.3.1.2 The certification body submits the application to CNAS for not maintaining part of certification scope in some field.

4.3.2 Reduction of Key Premises

CNAS will reduce accreditation qualification of key premises of the certification body if one of situations exits and publish an announcement to the public.

4.3.2.1 One of the key premises of the accredited certification body cannot meet the accreditation requirements.

4.3.2.2 The certification body submits the application to CNAS for not maintaining accreditation qualification of key premises.

4.4 Cancellation

CNAS will cancel accreditation qualification of the certification body if one of situations exits and publish an announcement to the public.

4.4.1 Administrative approval documents of the certification body have been cancelled,

4.4.2 The certification body submits the application to CNAS for not maintaining accreditation qualification.

4.5 Warning

When accredited certification body has problems which influence the effectiveness of accreditation management or certification but which are independent, incidental and taken the corrective actions to solve the problems effectively and in short time, CNAS shall handle the accreditation qualification of the certification body based on the severity of the problems.

5 Requirements for Certification Body during the Period of Handling the Accreditation Qualification

5.1 During the period of suspension of accreditation, the certification bodies cannot continuously refer to their accreditation within the suspended accreditation scope and continue to conduct initial certification and re-assessment of their clients.

5.2 The certification body whose accreditation has been withdrawn shall cease all accreditation activities and the use of symbols of CNAS in the accreditation scope withdrawn, take back and destroy all the documents and certificates with symbols of CNAS and shall assume relevant responsibilities incurred.

5.3 For the certification body whose accreditation has been withdrawn, CNAS shall not accept their accreditation application within two years for the accreditation scopes withdrawn.

6 Restoring of Suspended Accreditation Qualification

6.1 CNAS can restore the accreditation qualification of suspended certification body after determining the corresponding corrective actions taken by the certification body and verified by CNAS. In general, CNAS cannot restore the
accreditation qualification in advance.

6.2 The following requirements can be met before transfer of certification certificate with CNAS symbol instead of that without CNAS symbol in initial certification and reassessment during the period of suspension of accreditation qualification.

1) A complete audit which includes the document review, the first stage audit and the second stage audit in the initial certification and the document review, the first stage audit and the second stage audit in the reassessment can be implemented for all requirements covered by certification standard or specification and all requirements can be met after accreditation qualification has been restored or

2) An audit such as periodic surveillance assessment or review can be implemented on plan after accreditation qualification has been restored and evaluates all requirements of certification standard or specification met in periodic surveillance assessment.

Note: Accreditation qualification will be suspended or cancelled again if the requirements cannot be met in routine review and periodic surveillance assessment in transferring certification certificate with CNAS symbol instead of that without CNAS symbol during the period of suspension of accreditation qualification.

7 Appeals

If the certification body does not agree with relevant decisions made by CNAS, they can submit an appeal according to rules specified in CNAS-R03: Rules for Dealing with Appeals, Complaints and Disputes.