

中国认证认可协会文件

中认协注二〔2016〕130号

关于发布《外籍认证人员临时备案规则(第1版)》 的通知

各相关机构及人员：

为满足外籍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，我会依据中国相关的法律法规，并结合 CCAA 相关认证人员管理制度和中国国情，制定了《外籍认证人员临时备案规则(第1版)》(见附件)，现予以发布，自发布之日起实施。

特此通知。

附件：《外籍认证人员临时备案规则(第1版)》



附件



外籍认证人员临时备案规则

Temporary Registration Rules for Foreign Certification Personnel

(第 1 版)

(First Edition)

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外籍认证人员临时备案规则

Temporary Registration Rules for Foreign Certification Personnel

1. 目的 Objective

为满足外籍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，依据《中华人民共和国认证认可条例》、《认证及认证培训、咨询人员管理办法》等相关法律法规，并结合 CCAA 相关认证人员管理制度和中国国情，制定本规则。

In order to meet the growing demands of foreign certification personnel of conducting certification activities in China and in view of current national conditions, CCAA hereby formulates this rule in accordance with *Regulations of People's Republic of China on Certification and Accreditation, Regulations of Personnel Management with regard to Certification, Certification Training and Consultation* and relevant laws and regulations and in consistent with existing management systems of certification personnel.

2. 适用范围 Scope

2.1 本规则适用于 CCAA 已正式建立自愿性认证（含管理体系、产品和服务）人员注册制度的领域，不包括强制性认证领域（CCC）。

This rule 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.

2.2 本规则适用于临时来华从事认证活动的外籍认证人员。

临时来华认证活动应符合下列情形之一：

- 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；
- b) 外方投资认证机构的 CCAA 注册人员均不具备相应专业能力，必须聘请外籍认证人员以保证审核组/检查组专业能力的；
- 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；

d) 其他必须由外籍认证人员实施的认证活动。

This rule applies to foreign certification personnel involving in certification activities in China on a temporary basis.

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

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

b) where CCAA auditors 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;

c) 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) other certification activities that must be conducted by foreign certification personnel.

3. 备案要求 **Requirements for Registration**

3.1 申报机构 **Application Bodies**

3.1.1 申报机构应是国家认证认可监督管理委员会（CNCA）批准的认证机构。首次申报应提供 CNCA 批准证书。

Application bodies should be certification bodies approved by Certification and Accreditation Administration of People's Republic of China (CNCA). Organizations applying for the first time should submit the CNCA approved certificate.

3.1.2 申报机构应审查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。

Application bodies should be responsible for the review and submission of documents of applicants, serve as the sponsor for the validity of the application documents and bear associated risks and responsibilities.

3.2 申请人 Applicants

3.2.1 申请人应是合法的外籍认证人员。

Applicants should be legitimate foreign certification personnel.

3.2.2 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：

- 恪守职业道德，诚实守信、客观公正；
- 不介入客户、委托方的冲突或利益竞争；
- 对 CCAA 实施的与其备案情况有关的调查给予充分的合作。

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

- Observe professional ethics and principles including integrity, trustworthiness, objectivity and impartiality.
- Avoid conflicts or competing interests with clients or auditees.
- Cooperate fully with CCAA in any formal enquiry procedures about registration.

3.2.3 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.

3.3 申请资料 Application Documents

3.3.1 申请资料应包括下列文件（只接受中文或英文）：

- a) 《CCAA 外籍认证人员临时备案申请表》；
- b) 符合“临时来华认证活动（参见 2.2 条款）”的证实文件；
- c) 护照复印件（首页和签证页）。

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

- a) CCAA Application Form for Temporary Registration of Foreign Certification Personnel;
- b) Documentary evidence of “certification activities in China on a temporary basis” (refer to clause 2.2);
- c) Passport copies (bio info page and visa page).

4. 备案流程 **Registration Process**

4.1 受理 **Submission**

4.1.2 CCAA 于每年的 2 月、5 月、8 月和 11 月集中受理临时备案申请。

CCAA is open to the submission of application documents every February, May, August and November.

4.1.3 备案费用：100 元/人次。

Submission Fee: 100 RMB per person.

4.2 审查 **Evaluation**

4.2.1 CCAA 评价人员对申请资料（参见 3.3 条款）进行审查，提出备案意见。

CCAA evaluators will evaluate application document (refer to clause 3.3) and raise suggestions for the registration.

4.2.2 CCAA 人员注册部主任对审查过程和备案意见进行复核，做出备案决定。

The director of Personnel Certification Department of CCAA will review the work of the

evaluators and make the registration decisions.

4.2.3 CCAA 秘书长批准备案决定并签发备案文件。

CCAA Secretary General will approve the registration decisions and issue official documents.

4.3 备案结果 Results

4.3.1 CCAA 以公文的形式发布外籍认证人员临时备案结果。包含下列信息：姓名、国籍、认证活动领域、临时备案编号和申报机构。

CCAA will release the result of registration of foreign certification personnel in its official documents, including such information as name, nationality, field of certification, temporary registration number and application body.

4.3.2 备案有效期为公文签发日起 6 个月。

The registration is valid for 6 months from the date of release of CCAA official documents.

4.4 工作时限 Working Days

CCAA 将于集中受理月结束后的 20 个工作日内完成临时备案批准工作。

CCAA will decide on the registration within 20 working days after the submission.

5. 违规处置 Disposal of Violation

5.1 申报机构若没有履行担保责任，故意隐瞒申请人信息，CCAA 将不再接受其推荐的人员申请资料，并报告 CNCA。

In case where application bodies fail to perform guarantee responsibilities or hide relevant information of applicants on purpose, CCAA will no longer accept their submission for personnel registration and will dutifully report the case to CNCA.

5.2 临时备案人员若违反中国法律法规及行为规范，CCAA 将撤销其临时备案资格，并报告 CNCA。

In case where registered personnel have violated Chinese laws, regulations or the Code of Conduct, CCAA will cancel their temporary registration and will dutifully report the case to CNCA.

6. 其他 Others

香港、澳门和台湾地区的认证人员(持香港、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)，如符合“临时来华认证活动(参见 2.2 条款)”的要求，可参照本规则办理。

This rule applies to certification personnel in Hong Kong, Macao and Taiwan (persons holding permanent identity cards or passports of Hong Kong or Macao, or Taiwan residents holding Mainland travel permits) if they conduct “certification activities in China on a temporary basis” (refer to clause 2.2).

7. 相关表格 Relevant Form

《CCAA 外籍认证人员临时备案申请表》

CCAA Application Form for Temporary Registration of Foreign Certification Personnel

CCAA 外籍认证人员临时备案申请表

Application Form for Temporary Registration of

Foreign Certification Personnel

Photo

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	<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 the certification of the client lie within mainland China under the certification contract signed by headquarters of foreign investment certification bodies.			

应选择项 <input type="checkbox"/> 打 √) Conditions of conducting certification activities in China	<input type="checkbox"/> 外方投资认证机构的 CCAA 注册人员均不具备相应专业能力，必须聘请外籍认证人员以保证审核组/检查组专业能力 Where CCAA auditors 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.	
(Tick <input checked="" type="checkbox"/> in corresponding <input type="checkbox"/>)	<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"/> 其他必须由外籍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 Date and Location	
	认证组织名称 Name of Certified Organization	
<p style="text-align: center;">个人承诺 Personal Statement</p>		
<p>本人保证申请表中所填写内容及所附资料真实有效。</p> <p>I guarantee that the information in this application form, together with its attached documents, is true and valid.</p> <p>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。</p> <p>I promise to observe laws, regulations and the Code of Conduct in China and will take associated risks and responsibilities for certification activities.</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="text-align: center;"> 申请人（签字）： Applicant （Signature） </div> <div style="text-align: center;"> 日期： Date </div> </div>		

申报机构意见

Recommendations of Application Body

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）：

日期：

Persons in charge (Signature)

Date

（申报机构盖章）：

（Stamp of Application Body）

CCAA 审查意见

CCAA Recommendations of Evaluators

☐ 经审查，符合 CCAA 外籍认证人员临时备案要求，建议备案。

Upon review, this applicant meets the requirements for temporary registration of foreign certification personnel and therefore is recommended for registration.

备案认证领域 Recommended field of certification: _____

☐ 经审查，不符合要求，建议不予备案。

Upon review, this applicant does not meet relevant requirements and therefore is not recommended for registration.

评价人员（签字）：

日期：

Evaluator (Signature)

Date

CCAA 备案决定
CCAA Decision for Registration

☐ 符合要求，予以备案。

Approved for registration for meeting relevant requirements.

☐ 不符合要求，不予备案。

Denied for registration for failing relevant requirements.

注册部负责人（签字）：

日期：

Director of Personnel Certification Department (Signature)

Date

抄送：国家认监委认可部，存档（2）。

中国认证认可协会

2016 年 7 月 4 日印发
