

## Obligations for Achieving and Maintaining Management System Certification 获得和保持管理体系认证的义务

This document defines the obligations based on TÜV SÜD America (TÜV) and accreditation body rules that TÜV and clients are required to abide by as part of the client's achieving certification and maintaining certification for the site or sites listed on your management system certificate. 本文根据 TÜV SÜD America (TÜV) 和认可机构的规则定义了相关义务，这些规则是南德和客户在获得和保持管理体系认证过程中，证书中所涉及的场所都必须遵守的。

### Section 1. General 一般规定

TÜV, with the Client's cooperation, will conduct scheduled on-site audits to determine whether the Client's management system complies with the stated requirements of the applicable standard(s) and also to determine whether that management system is effectively implemented and maintained. Without limiting its other obligations, the Client agrees to adhere to the requirements contained in this document as well as the TÜV Standard Terms & Conditions or the Business Terms & Conditions of the TÜV Company contracted for the audits. Note: When a change in company name or ownership occurs, current legal and contractual agreements and certification obligations with the client will remain in effect until the agreements are revised and signed to reflect the organization's changes.

南德将在客户的配合下，定期进行现场审核，以确定客户的管理体系是否符合适用标准的规定要求，并确定该管理体系是否得到有效实施和维护。在不限制其其他义务的情况下，客户同意遵守本文中的要求，以及南德标准条款和条件或与南德公司为审核签订的商业条款和条件（用于审核）。注意：当公司名称或所有权发生变更时，与客户之间的现行法律和合同协议以及认证义务将继续有效，直到修订并签署协议以反映组织的变更为止。

TÜV represents to the Client that TÜV's existing organizational structure and procedures, as well as TÜV's certification and supervisory resources, meet the criteria stipulated in ISO/IEC 17021. TÜV's organization and specific procedures are documented in the TÜV Integrated Management System.

南德向客户声明，南德现有的组织结构和程序，以及南德的认证和监督资源，符合 ISO/IEC 17021 标准的规定。南德的组织和具体程序记录在南德综合管理体系中。

TÜV may use auditors who are its employees and/or contracted auditors for any part of the certification process. The client has the right to object to the use of any auditor. If the Client objects to any auditor's continuation of performance of services, then TÜV will replace that auditor.

南德可在认证过程的任何阶段使用其雇员和/或签约审核员。客户有权反对使用任何审核员。如果客户反对某位审核员继续提供服务，那么南德将更换该审核员。

For AS9100 / AS9120 audits, requests for auditor changes/substitutions will not be allowed without substantiated evidence of improper activity or contract violations. Conformance to rules concerning export controls, auditor nationalities and confidentiality/conflict of interest shall be an exception to this requirement.

对于 AS9100/AS9120 审核，如果没有关于不当行为或违反合同的确凿证据，将不允许更换/替代审核员的请求。遵守有关出口管制、审核员国籍和保密性/利益冲突的规定应为此要求的例外。

**Multisite audits. 多现场审核** To qualify as a multisite the following conditions are to be met 符合多现场审核必须满足以下条件

- All sites have similar activities that fall under the main overall scope 所有场所都有相类似活动
- There will be a designated HQ which will maintain the overall scope that covers all the participating sites 将指定一个总部，负责维护涵盖所有场所的总体范围
- Sites participating in the multisite scheme will have a scope that is a subset or reflect the overall scope; Sites with support function(s) will have the support role defined as the scope 参与多场所计划的场所隶属于总体范围或反映总体范围；具有支持功能的场所将在范围中界定支持的角色
- The organization shall identify site(s) as the central function having the authority to define, establish and maintain the single management system 组织应确定具体场所作为具有定义、建立和保持单一管理体系权力的中央职能
  - All sites have a legal or contractual link to the Central Function 所有场所都与中央职能有法律或合同上的关系
  - All sites fall under the single, centralized management system maintained by the central function 所有场所都属于中央职能保持的单一、集中化的管理体系
  - All sites fall under the Centralized Management system internal audit and management review 所有场所都统一进行管理体系的内审和管理评审
  - A nonconformity issued during a TÜV audit at one site will be reviewed for all sites and

- if found corrective action be verified at both the central function and the identified sites. 在一个场所进行的南德审核期间发现的不符合项将在所有场所进行举一反三，相应的纠正措施也将在中央职能和指定场所进行验证
- ISO27001/ISO 27701) Every site in the ISMS subject to significant risks will be audited prior to certification ISO27001/ISO 27701) 在认证之前，将对 ISMS 中面临重大风险的每个场所进行审核

### ISO 27001/ISO 27701

- During the application review, the client will notify TÜV of any ISMS related information (ISMS records or information about the design and effectiveness of controls) that cannot be made available for review by the audit team due to confidential or sensitive information. The application reviewer will discuss with client alternatives to ensure that the ISMS can be properly audited in the absence of the identified information. If it is determined that the ISMS cannot be adequately audited in the absence of the information or by other equivalent information that would be available, the certification process will not proceed until appropriate access arrangement are given by client. 在申请评审期间，客户将通知南德任何与 ISMS 相关的信息（ISMS 记录或有关控制和设计有效性的信息），这些信息由于机密或敏感信息而无法供审计团队审查。申请评审人员将与客户讨论替代方案，以确保在没有特定信息的情况下也能对 ISMS 进行适当的审核。如果确定没有信息或通过其他可用等效信息也无法充分审核 ISMS，则在客户提供适当的访问安排之前，认证过程将不会进行。
- Certification cannot be granted unless the client has completed one management review and one internal ISMS audit covering the scope of certification. 除非客户已完成一次管理评审和一次涵盖认证范围的内部 ISMS 审核，否则不能授予认证。
- An ISO 27701 certificate cannot be displayed as a standalone, it is required to be displayed with a valid TÜV ISO 27001 certificate. ISO 27701 证书不能单独展示，必须与有效的南德 ISO 27001 证书一起展示。
- The client will notify TÜV of any changes to the Statement of Applicability (SoA) including if the SoA revision results in changes to the coverage of the controls within the scope of certification. If the change in the SoA do not result in changes in the coverage of the controls, update of certification documentation is not required. 客户将通知南德适用性声明（SoA）的任何更改，包括如果 SoA 修订导致认证范围内控制措施的更改。如果 SoA 的更改不会导致控制措施的更改，则不需要更新认证文档。

## Section 2. Phases of the Certification Process 认证过程的阶段

**2.1. Preparation. 准备** The Client will complete an application and return it to TÜV. The application will be used to: 客户需要填写申请表并交还给南德。此申请表将用于:

- (a) Identify the objective and scope of the audit, and determine the audit objectives and scope, and
- (b) Identify a Management Representative who shall be the focal point for the audit and be responsible for coordinating all audit activities on behalf of the Client. 确定一名管理者代表，该代表将成为审核的协调人，并负责代表客户协调所有审核活动。
- (c) The Client may, in its discretion, arrange for TÜV to conduct a pre-audit. The purpose of the pre-audit would be to evaluate the present conformance of the Client's management system against the applicable standard(s). 客户可自行决定是否由南德进行预审。预审的目的是评估客户的管理体系目前是否符合适用的标准。
- (d) For AS9100 / AS9120 audits, TÜV and the Client shall agree on the certification structure which is identified on the provided quotation. 对于 AS9100 / AS9120 审核，南德和客户应就报价单中确定的认证结构达成一致
- (e) For AS9100 / AS9120 audits, the client will disclose all products / services that are classified or are subject to export control requirements. This will be done at initial application, and whenever such material or services are added at a later date. 对于 AS9100 / AS9120 审核，客户应披露所有被列为或受到出口管制要求的产品/服务。这将在初次申请时进行，并在后续添加此类材料或服务时进行。

**2.2. Stage 1 Audit 第一阶段审核** TÜV shall visit the Client to 南德应访问客户以

- (a) review the management system documentation 审核管理体系文件
- (b) determine readiness for the Stage 2 audit 确定是否已为第二阶段审核做好准备
- (c) review key performance or significant aspects regarding the scope and operation of the management system 审核管理体系运行和认证范围内的关键绩效或重要要素
- (d) collect necessary information regarding the scope and related statutory and regulatory requirements of the client's operation 收集有关客户体系运行范围和相关的法定及监管要求的必要信息

- (e) plan the certification (stage 2) audit, including confirming audit team requirements 策划认证（第二阶段）审核，包括确认审核团队的要求
- (f) evaluate if internal audits and management review are being performed and that the level of implementation substantiates the client is ready for the stage 2 audit 评估是否已执行内部审核和管理评审，以及实施的水平是否证明客户已为第二阶段审核做好准备

### 2.3. Stage 2 Certification Audit. 第二阶段认证审核

Upon successful completion of the Stage 1 Audit, the audit team will conduct an on-site audit to confirm conformance with the applicable standard(s) and to evaluate the implementation, including effectiveness of the client's management system. 在第一阶段审核成功完成后，审核团队将进行现场审核，以确认客户管理体系是否符合适用的标准，并评估其实施情况，包括有效性。

At the conclusion of the audit, the audit team will inform the Client of the audit results. At the closing meeting, TÜV will give the Client a written statement identifying any aspects of the Client's management system that do not conform to the applicable standard(s). 在审核结束时，审核团队将向客户告知审核结果。在结束会议上，南德将向客户提供一份书面声明，其中指出客户管理体系中不符合适用标准的任何方面。

If re-auditing parts of the management system is necessary, the date and scope for the follow-up will be set jointly between the audit team and the Client. 如果需要对管理体系的某些部分进行重新审核，审核团队与客户将共同确定后续审核的日期和范围。

The audit team will generate an Audit Report, summarizing the audit results. 审核团队将出具一份审核报告，总结审核结果。

### 2.4. Award of the Certificate, Surveillance Audits and Recertification Audits. 证书的颁发、监督审核和再认证审核

(a) **Award of the Certificate. 证书的颁发** Based on the final audit report, TÜV will make the final decision on whether to issue a Certificate. The Certificate shall expire three years from the issue date. It will remain valid during that period, provided that Surveillance Audits yield positive results. A Recertification Audit process shall be completed prior to the expiration date in order to extend the validity of the Certificate for an additional three-year period. 南德将根据最终的审核报告做出是否颁发证书的最终决定。证书自签发之日起三年后失效，在此期间有效的前提是，每年的监督审核结果良好，为了将证书的有效期限延长另外三年，应在到期日前完成再认证审核流程。

(b) **Surveillance Audits. 监督审核** After a Certificate has been issued, TÜV conducts periodic Surveillance Audits to verify the ongoing effectiveness of the Client's management system. At a minimum, these Surveillance Audits shall be carried out once per calendar year. The first surveillance audit shall be conducted within 12 months of the initial certification decision date. 在证书颁发后，南德将进行定期的监督审核，以验证客户管理体系的持续有效性。这些监督审核至少应每个日历年进行一次。首次监督审核应在初次认证决定日期后的12个月内进行。

(i) ESD 20.20 certificates will expire one year from the issue date of the certificate. Recertification audit shall be conducted annually prior to the expiration date of the certificate. ESD 20.20 证书自签发之日起一年内失效。因此，应在证书到期日之前每年进行一次再认证审核。

(c) **Recertification Audits. 再认证审核** For the Client to maintain the Certificate in effect, Recertification Audits by TÜV are required every three years. Before a Recertification Audit, the Client shall notify TÜV in writing of any changes to the Client's management system not previously reported to TÜV, and the Client shall give TÜV the appropriate documentation describing those changes. TÜV shall review the client's management system documentation before the on-site Recertification Audit. Significant changes may require an on-site Stage 1 audit before the Recertification Audit. TÜV shall conduct the Recertification Audit less than 36 months from the initial certification audit or before the expiration of the existing certificate. 为确保客户的证书持续有效，客户需要每三年接受一次由南德进行的再认证审核。在进行再认证审核之前，客户应以书面形式通知南德任何未先前告知南德的管理体系变更情况，并向南德提供描述这些变更的相应文档。南德将在现场再认证审核之前审核客户的管理系统文档。若发生重大变更，可能需要在再认证审核之前进行一次现场第一阶段审核。南德应在初次认证审核后的36个月内或现有证书到期之前进行再认证审核。

**2.5. Information and Communication Technology (ICT) assisted (Remote) audits. 信息和通信技术 (ICT) 辅助 (远程) 审核** If ICT is used as part of a remote audit, technical difficulties resulting in lost audit time may be added to audit duration. Excessive delays may result in the auditor ending the virtual audit and requiring an on-site audit visit. Please refer to PD\_AUD\_25 "The Use of Information and Communication Technology (ICT) for Assisting in Remote Auditing Approaches" for further information and is available upon request. 如果在远程审核中使用了信息和通信技术 (ICT)，因技术困难导致的审核时间损失可能会被添加到审核的总时长中。如果延迟时间过长，审核员可能会决定结束远程审核，并要求进行现场审核。有关进一步的信息，请参见 PD\_AUD\_25 《利用信息和通信技术 (ICT) 辅助远程审核方法》，该文档可根据要求提供。

### Section 3. TÜV Obligations TÜV 义务

**3.1. Confidentiality. 保密性** “Confidential Information” means all of the information that is disclosed by the Client to TÜV under the Agreement, except Confidential Information shall not include information which (a) is now in the public domain or subsequently enters the public domain through no action or fault of TÜV; (b) is known by or available to TÜV from its own independent sources prior to its receipt thereof under the Agreement; (c) TÜV receives from any third party having a legal right to transmit such information without any obligation to the Client to keep such information confidential; or (d) is independently developed by TÜV’s employees, agents, or contractors. TÜV agrees to use the Confidential Information only in connection with the Agreement and TÜV’s performance thereunder. TÜV agrees to treat all of the Confidential Information with the same degree of care to avoid disclosure to any third party as TÜV uses with respect to its own information of like importance that is to be kept secret, and in any event no less than reasonable care. Nevertheless, the Client agrees that TÜV may disclose Confidential Information to accreditation, regulatory, and government bodies as required in connection with the Agreement and TÜV’s performance thereunder. With the exception of above the Client will be informed of any disclosure in advance and agreement to this action will be in writing. Further, the Client acknowledges the following exceptions to TÜV’s confidentiality obligations: “保密信息”是指客户根据本协议向南德披露的所有信息，但保密信息不应包括以下信息：(a) 现已在公开领域或随后因南德无行动或过错而进入公开领域的信息；(b) 南德在根据本协议收到信息之前，已从其自身独立来源知悉或获得的信息；(c) 南德从任何第三方获得的信息，该第三方有合法权利传递此类信息，且无需对客户承担保密义务；(d) 南德的员工、代理人或承包商独立开发的信息。南德同意仅在与本协议及其履行有关的情况下使用保密信息。南德同意对所有保密信息采取同等程度的审慎措施，以避免向任何第三方披露，就像南德对待其自己需要保密的同等重要信息一样，且在任何情况下都不得低于合理审慎的标准。尽管如此，客户同意南德可根据本协议及其履行情况，向认证、监管和政府机构披露保密信息。除上述情况外，南德将在事先通知客户并获得其书面同意的情况下披露任何信息。此外，客户承认南德的保密义务存在以下例外情况：

For AS9100 / AS9120 audits, TÜV may provide access to files to AAQG (Americas Aerospace Quality Group) member companies, ANAB, and other regulatory and government bodies. Access to files will be limited to those specifically dealing with AS9100 / AS9120 activities. In addition, TÜV will enter required information into the IAQG (International Aerospace Quality Group) Online Aerospace Supplier Information System (OASIS database). 对于 AS9100/AS9120 的审核，南德可能会向 AAQG（美洲航空航天质量组织）的成员公司、ANAB 以及其他监管机构和政府部门提供访问相

关文件的权限。这种文件访问权限将仅限于处理 AS9100/AS9120 相关活动的特定人员。此外，南德还将按要求将信息录入 IAQG（国际航空航天质量组织）的在线航空航天供应商信息系统（OASIS 数据库）。

The client agrees to submit to TÜV sufficient data on the client’s compliance with relevant legislation and regulations which are relevant and necessary to determine whether the organization’s systems conform to the standard. This data would include a documented procedure for evaluating legal compliance, objective evidence of its implementation, objective evidence of compliance review by management, and objective evidence of implementation of identified corrective and preventive actions. 客户同意向南德提交足够的数 据，以证明其遵守与确定组织体系是否符合标准相关的法律 和法规。这些数据应包括评价法律合规性的文件化程 序、其实施的客观证据、管理层合规性审核的客观证据， 以及实施已确定纠正和预防措施的客观证据。

During the audit process, if any member of the audit team, were to identify a potential noncompliance with legal or other requirements to which the organization subscribes, said potential noncompliance would be reported to audited organization’s management via the method determined in agreement with organization’s management. It is expected that the audited organization will utilize its corrective action system or other means necessary to investigate and correct or prevent the potential nonconformance. Said potential nonconformance would not be recorded in the certification audit report except where said potential nonconformance is a result of a failure of the environmental management system and, if so, the nonconformance would only be described in terms of the requirements of the management system. 在审核过程中，如果审核团队的任何成员发现组织可能未遵守其应遵守的法律或其他要求，该潜在的不符合项将通过与组织管理层商定的方式报告给受审核组织的管理层。期望受审核组织能够利用其纠正措施或其他必要手段来调查并纠正或预防潜在的不符合项。除非该潜在的不符合项是环境管理体系失效的结果，否则它不会被记录在认证审核报告中。如果是环境管理体系失效导致的不符合项，那么该不符合项仅会以管理体系要求的角度进行描述。

### 3.2. Records and Retention of Quality Documents.

**质量文件的记录和保留** TÜV shall maintain records of the Client’s management system for a retention period of at least nine years. 南德应至少保留客户管理体系记录九年。

### 3.3. Notification to Client of Changes in Certification Procedure.

**向客户通知认证程序变更** TÜV shall notify the Client concerning relevant changes made to the certification procedures. 南德应就认证程序所做的相关变更通知客户。

**3.4. Directory of Certified Companies. 已认证公司名录** TÜV maintains a public directory of certified companies that indicates the specific scope of certification. 南德维护一个已认证公司的公共名录，其中标明每项认证的具体范围。

#### Section 4. Client Obligations 客户义务

The Client agrees to comply with the following: 客户同意遵守以下规定：

- (a) The Client shall document and maintain a management system and demonstrate its practical implementation and effectiveness. 客户应记录维护一个管理体系，并证明其实施有效性。
- (b) Before the certification audit, the Client shall complete at least one internal audit cycle that covers the Client's entire management system, and then complete at least one management review cycle. 在认证审核之前，客户应至少完成一个覆盖其整个管理体系的内部审核周期，并随后至少完成一个管理评审周期。
- (c) The Client shall provide TÜV with access to all applicable areas and documentation (including records) relating to the Client's management system. 客户应允许南德访问与其管理体系相关的所有适用区域和文档（包括记录）。
- (d) The Client shall provide TÜV with access to the Client's employees for the purpose of discussing with the TÜV auditors all relevant information relating to the Client's management system, and the Client authorizes those individuals to discuss that information with the TÜV auditors. 客户应允许南德接触其员工，以便与南德审核员讨论与其管理体系相关的所有信息，并且授权这些人员与南德审核员讨论这些信息。
- (e) The Client shall maintain records of customer complaints and actions taken to address the complaints. 客户应保留其客户投诉记录以及针对这些投诉所采取的行动的记录。
- (f) The Client commits to continually fulfill the requirements for certification of its management system 客户承诺持续满足其管理体系认证的要求。

**(g) This only applies to contracted audits in the territory of the People's Republic of China. 仅适用于在中国境内进行的合同约定的审核**

The Client shall comply with regulations of the People's Republic of China on certification and accreditation, assist supervision and administration activities exercised by certification regulatory departments, and truthfully provide materials and information towards inquiry and investigation. 客户应遵守

中华人民共和国关于认证和认可的法律法规，协助认证监管部门进行的监督和管理工作，并真实提供查询和调查所需的材料和信息。

(h) The Client shall inform TÜV without delay, of matters that may affect the capability of the management system to continue to fulfill the requirements of the standard used for certification. Significant changes may require a re-audit. These include, for example, changes relating to 客户应立即通知南德可能影响管理体系继续满足用于认证的标准要求的能力事项。重大变更可能需要重新审核。这些变更包括但不限于与以下方面有关的变更

- the legal, commercial, organizational status or ownership, 法律、商业、组织状态或所有权，
- organization and management (e.g. key managerial, decision-making or technical staff), 组织和管理（例如关键管理人员、决策人员或技术人员），
- contact address and sites, 联系地址和场所，
- scope of operations under the certified management system, and 已认证管理体系的业务运营范围，和
- major changes to the management system and processes. 管理体系和流程的重大变更。

(i) The Client shall allow accreditation body personnel, applicable regulatory agencies and sector oversight authorities to witness TÜV auditors for the purpose of evaluating the competence of the TÜV audit team as well as the effectiveness of TÜV's implementation of requirements. These personnel will not involve themselves with the audit of the Client by TÜV. 客户应允许认可机构人员、适用的监管机构 and 行业监督机构见证南德审核员，以评估南德审核团队的能力和南德实施审核要求的有效性。这些人员不会参与南德对客户的审核工作。

- i. For planning purposes, Accreditation Bodies may require witness audits to be scheduled well in advance. Client agrees to accept advanced audit scheduling and commits to working with TÜV to identify mutually agreeable audit dates. Fees assessed to TÜV by the Accreditation Body due to client requests for cancellation, postponement and / or rescheduling to previously agreed audit dates, or unwillingness to schedule audits in advance, will be passed onto the client with a 10% administration fee. 出于规划目的，认可机构可能需要提前安排见证审核。客户同意接受提前安排的审核，并承诺与南德合作确定双方均可接受的审核日期。因客户请求取消、推迟和/或重新安排先前商定的审核日期，或不愿提前安排审核，而由认可机构向南德收取的费用，将加上 10% 的管理费向客户收取。
- ii. The Client shall allow accreditation body personnel to perform market surveillance



audits, if necessary, in lieu of witnessing a TÜV audit should TÜV not be able to schedule a witness audit with the accreditation body for the calendar year. 如果南德无法在该日历年度为认可机构安排见证审核，客户应允许认可机构人员在必要时进行市场监督审核，以代替见证南德审核。

**(j) Short Notice / Unannounced Audits. 临时通知/未通知的审核** TÜV may require and carry out, and the Client shall pay for, short-notice or unannounced audits to investigate complaints, or in response to changes, or as follow-up on nonconformities / suspensions 南德可以要求并实施临时通知/未通知的审核，以验证投诉、变更或跟进不符合纠正/暂停，客户需支付相关费用

**(k) TL9000 Specific Obligations TL9000 特别条款**

In the case of TL 9000 audits only, the Client shall have submitted three months of data on appropriate metrics to the TIA-BPC Administrator, and the Client shall have received written confirmation of the acceptability of that data. 在 TL 9000 审核时，客户应向 TIA-BPC 提交三个月的相关数据指标，并且应收到该数据可接受性的书面确认。

**(l) AS9100/AS9120 Specific Obligations AS9100/AS9120 特定义务**

The client will ensure 客户需确保

(a) that classified material or export control requirements are disclosed to TÜV. 将保密文件或出口管制要求披露给南德。

(b) Identify an OASIS administrator and be responsible for notifying TÜV of significant changes in the organization. 确定 OASIS 系统管理员，并负责通知南德组织中的重大变更。

(c) Allow other party assessors and customer representatives to accompany TÜV for the purpose of oversight witness or the confirmation of an effective audit process. 允许其他机构评估人员和客户代表陪同南德审核员，监督见证或确认审核过程的有效性。

(d) Provide access to the Tier 2 data in the OASIS database to their Aviation, space, defense customers, and authorities upon request, unless justification can be provided, and provide copies of audit report and associated documents/records to their customers and potential customers on request “在收到请求时，除非能提供正当理由，否则应向航空、航天和国防领域的客户及主管部门提供对OASIS数据库中第二层数据的访问权限，并按要求向其客户和潜在客户提供审计报告及相关文件/记录的副本。”

**4.3. Use of TÜV Mark. 标志使用** The Client may only use the TÜV mark while the related Certificate remains

in effect and only within the specific scope of that Certificate and the related accreditation. While the mark may be used for appropriate business and promotional purposes, such as to show the effectiveness of the Client's management system to customers and authorities, the mark may not be placed on products, product packaging or otherwise used in a manner that could be interpreted as product or service certification. The Client shall not make or permit any misleading statement regarding its certification or misleading use of a TÜV certificate. The Client shall amend all advertising matter when the scope of certification has been reduced. The Client shall not use its certification in such a manner that would bring TÜV and/or certification system into disrepute and lose public trust. Please refer to ISO 44 for additional requirements 客户只能在相关证书有效期内，并在该证书和相关认证的具体范围内使用南德标志。虽然该标志可用于适当的商业和宣传目的，例如向客户和主管部门展示客户管理体系的有效性，但不得将标志放置在产品、产品包装上或以可能被误解为产品或服务认证的方式使用。客户不得做出或允许任何关于其认证或误导性使用南德证书的误导性陈述。如果认证范围已减少，客户应修改所有广告材料。客户不得使用其认证方式损害南德和/或认证体系的声誉并失去公众信任。请参阅ISO 44以获取更多使用指南

**4.4 ISO 14001 & ISO 45001 Clients: Notification of Serious Incident**

**ISO 14001 & ISO 45001 客户：重大事件通知**

The client is required to notify TÜV without delay, the occurrence of any serious environmental or health and safety incident or breach of regulation requiring the involvement of any regulatory authority. 当发生任何严重的环境或健康和安全隐患事件及违反认证法规时，客户必须立即通知南德。

Based on TÜV review of the reported incident, the following actions may be taken 根据南德对所报告事件的审核，可以采取以下措施

- (a) Offsite review with the client of the incident and response 与客户一起对事件和应对措施进行非现场审核
- (b) Scheduling of a special audit to assess status of the affected management system 安排特别审核以评估受影响管理体系的状态
- (c) Suspension of certificate pending follow up special audit. 暂停证书并待专项审核。
- (d) Withdrawal of certificate 撤销证书

**4.5 ISO 27001 & ISO 27701 Clients: Notification of Incident and/or Breach**

## ISO 27001 & ISO 27701 Clients 客户：事故和/或违约通知

The client is required to notify TÜV prior to public notification, the occurrence of any Informational security incident resulting in business disruption, data loss or an information breach that requires reporting to a regulatory authority. 如果发生任何信息安全事件导致业务中断、数据丢失或需要向监管机构报告的信息泄露，客户必须在信息公开前通知南德。

Based on TÜV review of the reported incident, the following actions may be taken 根据南德对所报告事件的审核，可以采取以下措施

- (a) Offsite review with the client of the incident and response 与客户一起对事件和应对措施进行非现场审核
- (b) Scheduling of a special audit to assess status of the affected management system 安排特别审核以评估受影响管理体系的状态
- (c) Suspension of certificate pending follow up special audit. 暂停证书并待专项审核。
- (d) Withdrawal of certificate 撤销证书

## Article 5 Withdrawal of Suspension of Certificate 撤销暂停证书

TÜV has the right to suspend or withdraw a Certificate: TÜV 有权暂停或撤销证书：

- (a) if the Certificate is used other than as provided for in the Agreement, or the Client breaches the Agreement in any other way; 证书用于本协议规定以外的用途，或违反本协议的任何其他形式；
- (b) if the certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system, 已获证管理体系持续或严重不满足认证要求，包括对管理体系有效性的要求，
- (c) if the client does not allow surveillance or recertification audits to be conducted at the required frequencies, 客户不按照规则要求的频率进行监督审核或再认证审核，
- (d) the client is found not be truthful with TÜV regarding the status and effectiveness of the client's management system or any of their obligations stated within this agreement; 客户被发现对南德隐瞒其管理体系的状态和有效性，或隐瞒本协议中规定的任何义务；

*Disclaimer: In case of dispute the original version from English is prevalent. 如有争议，以英文原版为准*

(e) if the client has voluntarily requested a suspension / withdrawal, 客户主动要求暂停/撤销，

(f) for non-payment of fees, 未按时缴费，

(g) If the client does not reply with required corrective actions in the time frame identified. 客户未在规定的时间内提交纠正措施。

(h) if the client does not allow accreditation body personnel, applicable regulatory agencies and sector oversight authorities to witness TÜV auditors at the client's location 客户不允许认可机构人员、适用的监管机构 and 行业监督机构在客户所在地见证南德审核员进行工作

(i) if the client does not allow accreditation body personnel to perform market surveillance audits at the client's location. 客户不允许认可机构人员在客户所在地进行监督审核。

TÜV shall make the suspended / withdrawn status of the certification publicly accessible and shall take any other measures it deems appropriate. 南德应公开认证的暂停/撤销状态，及适当的其他任何措施。

Upon notice of withdrawal of certification, the client shall discontinue its use of all advertising matter that contains any reference to a certified status. (e.g., printed material, internet site, etc.) 在收到撤销认证的通知后，客户应停止使用所有涉及认证状态的广告宣传。(如印刷品、网站等)

## AS9100/AS9120 Clients

Failure to abide by the AS9100 / AS9120 obligations listed here shall be cause for the withdrawal of the certificate. 未能遵守此处列出的AS9100 / AS9120相关条款将成为撤销证书的原因。

If certification is withdrawn, the Client shall provide immediate notification to their Aviation, Space and Defense customers. 如果证书被撤销，企业应立即通知其航空、航天和国防客户。

## For TL9000 clients

In addition to violation of the general obligations listed here, TÜV will suspend a client's certificate based on suspension notice from TIA-BPC. 除了违反此处列出的一般条款外，南德还会根据TIA-BPC发出的暂停通知去暂停客户的证书。