

FAMI-QS操作规范 管理体系认证规则

VERSION 9/REV.0—2024-12-20
第9版第0次修订 2024-12-20



The Quality and Safety System for
Specialty Feed Ingredients

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1. SCOPE 范围

This document defines the rules applicable for the audit of a Feed Safety and Quality Management System compliant with the requirements given in the FAMI-QS Code. It also provides the necessary information and confidence to customers about the way certification of their suppliers is granted.

本文件定义了适用于审核符合FAMI-QS操作规范要求的饲料安全和管理质量管理体系的规则。它还为客户提供了必要的信息和信心，使其了解对其供应商的认证方式。

Certification of Feed Safety and Quality Management System is a third-party conformity assessment activity (as described in ISO/IEC 17000:2020, 4.5), and bodies performing this activity are third-party Certification Bodies.

饲料安全和管理质量管理体系的认证是第三方合格评定活动（如 ISO/IEC 17000:2020, 4.5 中所述），执行此活动的机构是第三方认证机构。

FAMI-QS Certification is a Feed Safety and Quality Management System certification (including Good Manufacturing Practices) for the sector of Specialty Feed Ingredients.

FAMI-QS 认证是针对特殊饲料原料行业的饲料安全和管理质量管理体系认证（包括良好操作规范）。

The requirements for FAMI-QS Authorized Certification Bodies can be used as a criteria document for the accreditation of Certification Bodies which seek to be recognized as competent to certify that a Feed Safety and Quality Management System complies with the FAMI-QS Code of Practice.

对FAMI-QS授权认证机构的要求可用作认证机构的认可准则文件，这些认证机构寻求被认可为有能力认证饲料安全和管理质量管理体系符合FAMI-QS操作规范。

Feed Safety and Quality Management System certification against the FAMI-QS Code attests that the production process takes place under hygienic conditions to minimize and eliminate the risks pertaining to the Feed/Food Chain. FAMI-QS requires an Operator to meet all applicable feed-safety-related statutory and regulatory requirements through its management system, in the country where the feed business operator is registered. The specialty feed ingredients traded by the operator shall be legally produced in the country of origin and meet the regulatory requirements of the country of destination.

针对FAMI-QS规范的饲料安全和管理质量管理体系认证证明生产过程在卫生条件下进行，以最小化和消除与饲料/饲料链相关的风险。FAMI-QS要求经营者通过其管理体系，在其饲料业务经营者注册的国家，满足所有适用的与饲料安全相关的法律法规要求。经营者交易的特殊饲料原料应在原产国合法生产，并满足目的地国的法规要求。

Certification of a Feed Safety and Quality Management System according to the FAMI-QS Code of Practice is a management system certification, not a product certification.

根据FAMI-QS操作规范进行的饲料安全和管理质量管理体系认证是管理体系认证，而非产品认证。

2. ASSESSMENT AND RECOGNITION OF A CERTIFICATION BODY 认证机构的评估与认可

2.1. Normative references 规范性引用文件

The following documents are referred to in the text in such a way that all or some of their content constitutes requirements 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.

下列文件对于本文件的应用是必不可少的。凡是注日期的引用文件，仅注日期的版本适用于本文件。凡是不注日期的引用文件，其最新版本（包括任何修改）适用于本文件。

- **ISO/IEC 17021-1:2015, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements**
ISO/IEC 17021-1:2015, 合格评定-管理体系审核和认证机构要求-第1部分：要求
- **ISO 22003-1, Food Safety – Part 1: Requirements for bodies providing audit and certification of food safety management systems**
ISO 22003-1, 食品安全-第1部分：食品安全管理体系审核和认证的机构要求
- **IAF MD 2:2023 IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems**
IAF MD 2:2023, IAF 强制性文件-获认可的管理体系认证的转换
- **IAF MD 4:2023 IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes**
IAF MD 4:2023, IAF 强制性文件-为审核/评估目的使用信息通信技术
- **IAF MD 11:2023 IAF Mandatory Document for the Application of ISO/IEC 17021-1 for Audits of Integrated Management Systems**
IAF MD 11:2023, IAF 强制性文件-ISO/IEC 17021-1 在整合管理体系审核中的应用

2.2. Required documents 所需文件

A Certification Body that wishes to obtain a license to carry out FAMI-QS certification shall apply to the FAMI-QS ASBL Secretariat, providing details for eligibility according to the established selection criteria.
希望获得许可证以进行FAMI-QS认证的认证机构应向FAMI-QS ASBL秘书处提交申请，并根据既定选择标准提供资格详情。

The Certification Body shall be accredited against ISO/IEC 17021-1:2015 and ISO 22003-1:2022 prior to the submission of their application to FAMI-QS. The Certification Body can be a non-governmental or a governmental body, with or without regulatory authority.

认证机构在向FAMI-QS提交申请之前，应已获得针对ISO/IEC 17021-1:2015 和ISO 22003-1:2022的认可。认证机构可以是政府或非政府机构，无论是否具有监管权力。

The application form is available on the FAMI-QS website (<https://fami-qs.org/certified-organisations/certification-bodies>) under application form for Certification Bodies).

申请表可在FAMI-QS网站上获取(<https://fami-qs.org/certified-organisations/certification-bodies>下的“认证机构申请表”)。

To apply, the Certification Body shall submit the documentation outlined below: 申请时，认证机构应提交下述文件：

- **Accreditation Certificate(s) for ISO /IEC 17021-1:2015 and ISO 22003-1:2022;**
ISO/IEC 17021-1:2015 和 ISO 22003-1:2022 的认可证书;
- **Copy of the application to any IAF signatory Accreditation Body to include FAMI- QS under their current accreditation for management system certification;**
向其所在IAF签约认可机构申请在其现有管理体系认证认可范围内包含FAMI-QS的副本;

- **Proof of working in the feed sector (reference documents showing experience in feed);**
在饲料领域工作的证明（显示饲料经验的参考文件）；
- **Marketing plan for the development of FAMI-QS Certification within their organization.**
认证机构内部开展FAMI-QS认证的市场推广计划。

The Certification Body shall not have provided any consultancy and/or training activities to the company to be audited over a period of two years prior to the audit and shall be able to demonstrate this impartiality.

认证机构在审核前两年内不得向受审核公司提供任何咨询和/或培训活动，并应能证明此公正性。

Key activities like: 关键活动包括：

- **Maintenance of the Quality System; 质量体系的维护；**
- **Development of certification procedure for FAMI-QS; FAMI-QS认证程序的制定；**
- **Training and qualification of staff; 员工培训与资格认定；**
- **Contract review and planning of certification activities; 合同评审和认证活动策划；**
- **Assignment of audit teams; 审核组的指派；**
- **Certification decisions; 认证决定；**
- **Issuance of the certificate 证书颁发。**

can take place in one or in several locations but need to be under the supervision of the FAMI-QS Scheme Manager.

这些活动可以在一个或多个地点进行，但需在FAMI-QS方案经理的监督下。

2.3. Approval Process 批准流程

Upon receipt of the application form, the duration of the approval process may vary depending on the Certification Body's readiness.

收到申请表后，批准流程的持续时间可能因认证机构的准备情况而异。

Step 1 Review of the Application and confirmation of Certification Body's eligibility for FAMI-QS Certification Services.

步骤1 申请评审并确认认证机构提供FAMI-QS认证服务的资格。

Step 2 Training Requirement

步骤2 培训要求

At least one member from each certification function (application, audit review) involved in FAMI-QS Certification Services must attend dedicated trainings organized by FAMI-QS, related to FAMI-QS Rules for Certification Bodies.

每个参与FAMI-QS认证服务的认证职能（申请、审核评审）的至少一名成员必须参加由FAMI-QS组织的与《FAMI-QS 认证机构规则》相关的专门培训。

FAMI-QS will provide the applicant Certification Body with on-site training on the FAMI-QS Code of Practice and Feed Fraud Prevention and Defense Module at the Certification Body facilities (with the cost shared between the applicant Certification Body and FAMI-QS). All auditors listed on the application must attend the FAMI-QS- provided training on the FAMI-QS Code of Practice and Feed Fraud Prevention and Defense Module.

FAMI-QS将向申请认证机构提供在其设施场所进行的关于FAMI-QS 操作规范和饲料欺诈预防与防御模块的现场培训（费用由申请认证机构和FAMI-QS分摊）。申请书上列出的所有审核员必须参加FAMI-QS提供的关于FAMI-QS操作规范和饲料欺诈预防与防御模块的培训。

Step 3 Office Assessment

步骤3 办公室评审

FAMI-QS will conduct an office assessment. The costs of the office assessment (including travel and auditors' man-days) will be shared between the applicant Certification Body and FAMI-QS.

FAMI-QS 将进行办公室评估。办公室评估的费用（包括差旅费和审核员人日）将由申请认证机构和FAMI-QS分摊。

Step 4 Provisional Approval
步骤4 临时批准

Upon completing the office assessment, provisional approval will be granted to the applicant Certification Body for three (3) years. The Certification Body must sign the contractual arrangement, and the provisional approval period will be listed on our website. During this provisional approval period, the Certification Body shall issue non-accredited certificates.

办公室评估完成后，申请认证机构将获得为期三(3)年的临时批准。认证机构必须签署合同安排，临时批准期限将在我们网站上列出。在此临时批准期间，认证机构应颁发非认可的证书。

The Certification Body must complete its accreditation against FAMI-QS prior to the end of the provisional approval. The Certification Body shall apply for FAMI-QS Accreditation to its national Accreditation Body. The Accreditation Body must be an IAF MLA Signatory for main scope of Management System Certification - ISO/IEC 17021-1, and sub-scope of FAMI-QS, and recognized by FAMI-QS ASBL to conduct accreditation activities according to FAMI-QS requirements.

认证机构必须在临时批准期结束前完成针对FAMI-QS的认可。认证机构应向其国家的认可机构申请FAMI-QS认可。该认可机构必须是IAF MLA签署方，其主范围为管理体系认证ISO/IEC 17021-1，子范围为FAMI-QS，并得到FAMI-QS ASBL的认可，可根据FAMI-QS要求进行认可活动。

Step 5 Final Approval
步骤5 最终批准

Final approval is granted upon the completion of the accreditation process.
最终批准在认可流程完成后授予。

All information obtained before, during or after assessment, including the fact that a particular Certification Body has applied for recognition, or that an application has been deferred or rejected, will be treated as highly confidential by FAMI-QS.

FAMI-QS 将对评估之前、期间或之后获得的所有信息（包括特定认证机构已申请认可，或申请已被推迟或拒绝的事实）进行高度保密。

2.4. Fees 费用

See section <http://fami-qs.org/certification-bodies.html> on FAMI-QS website.
参见 FAMI-QS 网站上的 <http://fami-qs.org/certification-bodies.html> 部分。

3. TERMS AND DEFINITIONS 术语和定义

For the purpose of this document, the terms and definitions given in FAMI-QS Code of Practice, ISO/IEC 17000:2020, ISO/IEC 17021-1:2015 and ISO 22003-1:2022 shall apply.

在本文件中给出的术语和定义参照FAMI-QS 操作规范、ISO/IEC 17000:2020、ISO/IEC 17021-1:2015和ISO 22003-1:2022中的相关定义。

4. PRINCIPLES 原则

The principles of ISO/IEC 17021-1:2015, Clause 4, are the basis for the subsequent specific performance and descriptive requirements for FAMI- QS Authorized Certification Bodies.

ISO/IEC17021-1:2015第4条所列的原则，构成了FAMI-QS授权认证机构后续具体执行及描述性要求的基础。

5. GENERAL REQUIREMENTS 通用要求

5.1. Legal and contractual matters 法律与合同事宜

5.1.1. LEGAL RESPONSIBILITY 法律责任

The requirements of ISO/IEC 17021-1:2015 § 5.1.1 are applied.
适用ISO/IEC17021-1:2015第5.1.1条的要求。

5.1.2. CERTIFICATION AGREEMENT

The requirements of ISO/IEC 17021-1:2015 § 5.1.2 are applied.
适用ISO/IEC17021-1:2015第5.1.2条的要求。

The certification agreement shall also include the: 认证协议还应包括:

- presence of the Accreditation Assessor and the FAMI-QS Integrity Auditor,
认可评审员和FAMI-QS诚信审核员的在场;
- requirements for Crisis Management,
危机管理要求;
- conditions for the provision of the unannounced audits, and
不通知审核的条件; 和
- transfer of the certificates as described in the § 8.2.5 of FAMI-QS Rules for Certification Bodies
《FAMI-QS 认证机构规则》第8.2.5节中描述的证书转换条款。

5.1.3. RESPONSIBILITY FOR CERTIFICATION DECISIONS 认证决定的责任

The requirements of ISO/IEC 17021-1:2015 § 5.1.3 shall apply.
适用ISO/IEC17021-1:2015第5.1.3条的要求。

5.2. MANAGEMENT OF IMPARTIALITY 公正性管理

The requirements of ISO/IEC 17021-1:2015 § 5.2 shall apply.
适用ISO/IEC17021-1:2015第5.2条的要求。

Consultancy shall not be provided by either the Certification Body or any part of the same legal entity. Certification Body shall collect information related to the provider (name of the organization and name of the individual consultant) of the consultancy services to their client. This information shall be documented and available upon request of FAMI-QS or an Accreditation Body.

认证机构或同一法律实体的任何部分不得提供咨询服务。认证机构应收集向其客户提供咨询服务的外部提供商（机构名称及个人咨询顾问姓名）的信息。该信息应形成文件，并在FAMI-QS或认可机构要求时提供。

Certification Bodies are allowed to assign the same auditor to the same Operator, only for three (3) consecutive years. After this period, the auditor can only perform an audit of that Operator after a three (3) year break away.

认证机构的同一审核员仅可连续三(3)年对同一经营者进行审核。该期限过后，审核员需间隔至少三年方可再次对该经营者进行审核。

An exemption to the above can be given, where the auditor is part of an audit team, and this is well justified. An impartiality assessment shall be performed prior to the release of the auditor in question. This impartiality assessment shall be per audit and a confirmation of the Impartiality Committee is required.

如果审核员作为审核组成员，且有充分理由，可以豁免上述规定。但必须在审核前对该审核员进行公正性评估，每次审核都需重新评估，并需要获得公正性委员会的确认。

6. STRUCTURAL REQUIREMENTS 结构要求

The requirements of ISO/IEC 17021-1:2015 § 6, shall apply.

适用ISO/IEC17021-1:2015第6条的要求。

7. RESOURCE REQUIREMENTS 资源要求

7.1. Competence of personnel 人员能力

7.1.1. GENERAL CONSIDERATIONS 通用考虑因素

The requirements of ISO/IEC 17021-1:2015 § 7.1.1 shall apply.

适用ISO/IEC17021-1:2015第7.1.1条的要求。

The Certification Body shall have sufficient, competent personnel for managing and supporting the provision of the FAMI-QS certification services.

认证机构应有足够数量的、有能力的人员来管理和支持FAMI-QS认证服务的提供。

7.1.2. DETERMINATION OF COMPETENCE CRITERIA 能力准则的确定

The requirements of ISO/IEC 17021-1:2015, § 7.1.2 and Annex A, shall apply.

适用ISO/IEC17021-1:2015第7.1.2条和附录A的要求。

The Certification Body shall have processes in place to ensure that personnel have appropriate knowledge and skills relevant to the FAMI-QS Certification. The Certification Bodies shall take into consideration the geographic areas in which they operate.

认证机构应有相应的流程，以确保人员具备与FAMI-QS认证相关的适当知识和技能。认证机构应考虑其运营的地理区域。

The competence criteria included in **Table 1** below shall form the basis for the criteria developed for each food chain category.

下表 1 中包含的能力准则应作为为每个食品链类别制定准则的基础。

NOTE: This table is an adaption of the requirements in ISO 22003-1, specific to the FAMI-QS scheme. Generic competencies 4-10 and 14-19 of Annex C of ISO 22003-1 have been removed, as these are covered in the ISO/IEC 17021-1 Annex A. Auditors are still required to demonstrate those competencies.

注：此表改编自ISO 22003-1的要求，专为FAMI-QS方案定制。ISO 22003-1附录C中的通用能力4-10和14-19已被删除，因为这些内容已包含在ISO/IEC 17021-1 附录A中。审核员仍需证明这些能力。

TABLE 1: COMPETENCE REQUIREMENTS PER FUNCTION. 表1 各职能的能力要求

Competence 能力 (knowledge and skills) (知识和技能)	Certification Functions 认证职能		
	Conducting the application review* 进行申请评审*	Auditing and leading the audit team 审核并领导审核组	Reviewing audit reports and making certification decisions 复核审核报告并作出 认证决定
Ability to understand the content of FAMI-QS Approval Letter 理解FAMI-QS批准函的内容	X	X	X
Ability to apply the application review requirements of ISO/IEC 17021-1, ISO 22003- 1 and those of FAMI-QS requirements for Certification Bodies procedures, including: 能够应用ISO/IEC 17021-1、ISO 22003-1和FAMI-QS认证机构程序要求中的申请评审要求，包括： 1. Integrated Management System Audits according to IAF MD 11 1.根据IAF MD 11进行的整合管理体系审核 2. Categorizing the Operator with the appropriate FAMI-QS Processes (as described Section 2 of the FAMI-QS Code of Practice), feed chain activities (Production and/or Trade) and feed chain categories (D, K, F). 2.使用适当的FAMI-QS 过程（如FAMI-QS操作规范第2节所述）、饲料链活动（生产和/或贸易）和饲料链类别（D, K, F）对经营者进行分类。 3. FAMI-QS audit duration requirements and their application. 3.FAMI-QS审核持续时间要求及其应用。	X	X	X
Ability to identify the below, in relevance to the FAMI-QS Process: 能够识别与FAMI-QS工艺过程相关的以下能力： - GMPs; -良好操作规范(GMP); - feed safety hazards; -饲料安全危害； - legal requirements. -法律要求。	X	X	X
Ability to determine if there are: 能够确定是否存在： 1. specific cultural and social customs related to the production process and geographic areas to be assessed; 1.评估与生产工艺过程和地理区域相关的特定文化及社会习俗； 2. specific factors required to audit the management system, product or process. 2.审核管理体系、产品或工艺过程所需的特殊因素。	X	X	X
Ability to identify the competence required for the audit team, in accordance with this table and the Certification Body's procedures. 能够根据本表和认证机构的程序，确定审核组所需的能力。	X	X	X

Competence 能力 (knowledge and skills) (知识和技能)	Certification Functions 认证职能		
	Conducting the application review* 进行申请评审*	Auditing and leading the audit team 审核并领导审核组	Reviewing audit reports and making certification decisions 复核审核报告并作出认证决定
Ability to conduct and manage an audit to achieve the audit objectives within the agreed time frame. 开展并管理审核，以在约定时限内达成审核目标的能力。 For the team leader, the ability to facilitate meetings for the effective exchange of information and the ability to make assignments or re-assignments where necessary to ensure: 对于审核组长，具备主持会议、有效进行信息交流的能力，并能在必要时分配或重新分配任务，以确保： 1. that the audit team members audit the processes that they are technically competent to audit; 1.审核组成员仅审核其技术能力范围内的工艺过程； 2. that the audit time is optimized; 2.审核时间得到优化； 3. that the specific FAMI-QS requirements are met. 3.满足FAMI-QS的特定要求。		X	
Ability to identify: 能够识别： - microbiological hazards; 微生物危害； - chemical hazards; 化学危害； - physical hazards; 物理危害； - feed safety labelling requirements; 饲料安全标签要求； - CP for Fraud and Defence; 欺诈与防御控制点(CP)； - supply chain mapping that are relevant to the FAMI-QS scope. 与FAMI-QS范围相关的供应链图谱。		X	
Ability to evaluate the organization's capacity to identify and meet applicable feed safety regulations (for country of production and country of destination), including the Certification Body's procedure for the handling of issues related to the statutory and regulatory requirements. 能够评估机构识别并满足适用饲料安全法规(生产国及目的地国)的能力，包括认证机构处理与法定和监管要求相关问题的程序。	X	X	X
Ability to apply the principles of feed safety, HACCP, hazard assessment and hazard analysis in the feed chain (sub)category. 能够应用饲料安全、HACCP、危害评估和饲料链（子）类别中的危害分析原则。 Ability to apply FAMI-QS requirements in relation to: 能够应用与以下相关的FAMI-QS要求： 1. outsourced processes; 外包过程； 2. feed defence; 饲料防护； 3. feed fraud. 饲料欺诈。		X	X
Ability to apply feed chain (sub)category practices and vocabulary in relation to: 应用饲料链(子)类别实践及术语的能力，包括： 1. feed chain relationships; 饲料链关系； 2. best practice with respect to PRPs and control measures; 前提方案(PRP)及控制措施的最佳实践； 3. common feed chain processes (within the scope of the		X	

Competence 能力 (knowledge and skills) (知识和技能)	Certification Functions 认证职能		
	Conducting the application review* 进行申请评审*	Auditing and leading the audit team 审核并领导审核组	Reviewing audit reports and making certification decisions 复核审核报告并作出认证决定
scheme); 食品链通用工艺过程(方案范围内); 4. production technologies and processing terms; 生产技术及加工术语; 5. common equipment; 通用设备; 6. facility design; 设施设计; 7. packaging types and attributes; 包装类型及属性; 8. microbiological terms and names; 微生物术语及名称; 9. chemical terms and names; 化学术语及名称; 10. good laboratory practices; 良好实验室规范; 11. local terminology. 本地术语。			
Knowledge of the sector of activity (by type of process) and the associated risks in relation to the place of the Operator in the feed chain. 了解行业活动（按过程类型）以及与经营者在饲料链中位置相关的风险。		X	X

* to determine audit team competence required, to select the audit team members, and to determine the audit time.

*用于确定所需的审核组能力、选择审核组成员以及确定审核时间。

Examples of personal behaviours that are important for the personnel involved in FAMI-QS certification activities are described below:

对参与FAMI-QS认证活动的人员重要的个人行为示例如下：

- a.** Ethical, i.e. fair, truthful, sincere, honest and discreet; **a.** 讲道德，即公正、真实、真诚、诚实且谨慎；
- b.** Open-minded, i.e. willing to consider alternative ideas or points of view; **b.** 开放心态，即愿意考虑不同的想法或观点；
- c.** Diplomatic, i.e. tactful in dealing with people; **c.** 擅长外交，即与人交往时得体有分寸；
- d.** Collaborative, i.e. effectively interacting with others; **d.** 注重协作，即能与他人高效互动；
- e.** Observant, i.e. actively aware of physical surroundings and activities; **e.** 善于观察，即积极关注周围环境及活动；
- f.** Perceptive, i.e. instinctively aware of and able to understand situations; **f.** 具洞察力，即凭直觉理解并感知局势；
- g.** Versatile, i.e. adjusts readily to different situations; **g.** 应变能力强，即能迅速适应不同的情境；
- h.** Tenacious, i.e. persistent and focused on achieving objectives; **h.** 坚韧执着，即坚定不移，专注于达成目标；
- i.** Decisive, i.e. reaches timely conclusions based on logical reasoning and analysis; **i.** 决断力强，即能根据逻辑推理和分析及时作出判断；
- j.** Self-reliant, i.e. acts and functions independently; **j.** 自力更生，即能够独立开展工作并履行职责；
- k.** Professional, i.e. exhibiting a courteous, conscientious and generally business-like demeanor in the workplace; **k.** 专业素养，即在工作场所展现出彬彬有礼、尽职尽责及整体上的商业举止风范；
- l.** Morally courageous, i.e. willing to act responsibly and ethically even though these actions may not always be popular and may sometimes result in disagreement or confrontation; **l.** 道德勇气，即愿意在责任与道德面前坚持正确的行动，即使这些行为可能不总是受欢迎，且可能引发争议或对抗；

m. Organized, i.e. exhibiting sound time management, prioritization, planning, and efficiency. m. 有条理，即展现出良好的时间管理、优先级排序、计划性和效率。

Determination of behaviour is situational, and weaknesses may only become apparent in a specific context. The Certification Body should take appropriate action for any identified weakness that could adversely affect the certification activity.

行为举止的评估应根据具体情境进行，仅在特定情况下才可能暴露薄弱环节。认证机构应采取适当措施，应对任何可能对认证活动产生不利影响的已识别薄弱环节。

Note: Qualification(s) and experience can be used as part of the criteria; however, competence is not based on these alone, as it is important to ensure that a person can demonstrate the ability to apply the specific knowledge and skills that one would expect a person to have after completing a qualification or having a certain amount of industry experience.

注：资格和经验可用作部分准则；然而，能力不仅仅基于这些，因为确保一个人能够展示应用特定知识和技能的能力很重要，而这些知识和技能是期望一个人在完成资格认证或具有一定行业经验后应该具备的。

7.1.3. EVALUATION PROCESSES 评价过程

ISO/IEC 17021-1:2015 and ISO 22003-1:2022 §7.1.3, shall apply.

适用ISO/IEC17021-1:2015第7.1.3条的要求。

Where the evaluation of auditors includes an on-site evaluation, the evaluator shall have the competencies of a lead auditor.

如果对审核员的评价包括现场评价，评价者应具备主任审核员的能力。

7.1.4. OTHER CONSIDERATIONS 其他考虑因素

The requirements of ISO/IEC 17021-1:2015, § 7.1.4 shall apply.

适用ISO/IEC17021-1:2015第7.1.4条的要求。



FIGURE 1: SUMMARY OF THE COMPETENCE REQUIREMENTS. 图1 能力要求概述

7.2. Personnel involved in the certification activities 参与认证活动的人员

The requirements of ISO/IEC 17021-1:2015, § 7.2 shall apply.

适用ISO/IEC17021-1:2015第7.2条的要求。

The Certification Bodies shall have, within their operations, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities related to FAMI-QS and to handle the volume of audit.

认证机构应配备足够数量的审核员，包括审核组长及技术专家，以确保覆盖所有与FAMI-QS相关的活动，并能够应对审核工作量。

7.2.1. APPROVAL OF THE AUDITORS 审核员的批准

The approval of the FAMI-QS Auditors will be undertaken for the following scopes: Bioprocess, Chemical, Extraction, Mining, Mixing, Trade and Fraud and Defence. The validity of the approval will be four (4) years.

FAMI-QS审核员的批准将针对以下范围进行：生物过程、化学、提取、采矿、混合、贸易以及欺诈与防御。批准的有效期为四(4)年。

Step 1 Define competence requirements as outlined in Table 1. The competence shall be defined for the following Feed Chain Categories/Subcategories: D, K and F. Competence requirements are maintained at the level of the Feed Chain Categories/Subcategories and not for each approved scope.

步骤1 根据表1定义能力要求。能力应针对以下饲料链类别/子类别定义：D, K 和 F。能力要求保持在饲料链类别/子类别的水平，而非每个批准的范围。

Step 2 Auditors shall meet the qualification requirements defined on the Table 2.

步骤2 审核员需满足表2中定义的资质要求。

Step 3 Auditors shall have completed the FAMI-QS Certification System Version 6 training, organised by FAMI- QS or provided internally by the Certification Body (based on the FAMI-QS Training materials).

步骤3 审核员应参加由FAMI-QS组织或认证机构内部提供的《FAMI-QS认证体系第6版》培训(基于FAMI-QS培训材料)。

Step 4 Auditors shall demonstrate knowledge on one or more FAMI-QS Process Documents (Bioprocess, Chemical, Extraction, Mining and Mixing) and on the FAMI-QS Feed Fraud Prevention and Defence Module.

步骤4 审核员应展示对一个或多个FAMI-QS工艺过程文件(如生物过程、化学、提取、采矿、混合)及《FAMI-QS饲料欺诈预防与防御模块》的知识掌握。

Step 5: The Certification Body shall conduct an on-site evaluation of the auditor during the approval site audit as part of the auditor approval process. The evaluation can be performed in a relevant feed standard that covers one of the FAMI-QS Processes.

步骤5 认证机构将在现场审核中对审核员进行现场评价，作为审核员批准流程的一部分，评价内容可在涵盖FAMI-QS任一工艺过程的相关饲料标准中进行。

Step 6 The Certification Body notifies the FAMI-QS Secretariat regarding the approval of an auditor. The notification shall contain the following:

步骤6 认证机构应向FAMI-QS秘书处通报审核员批准情况，包括以下信息：通知内容应包括以下内容：

- Auditor's full Name; 审核员全名；
- e-mail address; 电子邮件地址；
- country where the auditor is based; 审核员所在国；
- scopes (Bioprocess, Chemical, Extraction, Mining, Mixing, Trade, and Fraud and Defence). 审核范围(生物过程、化学、提取、采矿、混合、贸易及欺诈与防御)。

Step 7: In return, the FAMI-QS Secretariat will confirm the auditor's registration and inform the Certification Body regarding the registration number and validity period via a confirmation e-mail.

步骤7 FAMI-QS秘书处确认审核员的注册，并通过邮件通知认证机构审核员的注册编号及有效期。

TABLE 2: QUALIFICATION REQUIREMENTS. 表2 资格认定要求

PARAMETER 参数	AUDITOR 审核员	LEAD AUDITOR 审核组长
Education 教育背景	Post-secondary education (e.g. biology, chemistry, food engineering, pharmacy, agricultural engineering, nutritionist, zootechnology). 高等教育学历(如生物学、化学、食品工程、药学、农业工程、营养学、动物饲养等)	Same as auditor 同审核员
Knowledge 知识要求	Food/feed microbiology, food safety, chemistry, animal nutrition, animal production, animal health, Feed GMP, Feed and Food HACCP. 食品/饲料微生物学、食品安全、化学、动物营养、动物生产、动物健康、饲料良好操作规范、饲料与食品HACCP。	Same as auditor 同审核员
Total work experience in Management Systems 管理体系总工作经验	Four (4) years 四年	Same as auditor 同审核员
Work experience in Feed/Food Safety Management Systems 饲料/食品安全管理体系工作经验	At least two (2) years of the total four (4) years. 在四年工作经验中，至少有两年与饲料/食品安全管理体系相关的经验。	Same as auditor 同审核员
Feed safety training 饲料安全培训	HACCP principles, hazard assessment, hazard analysis, feed safety management principles including PRPs, FAMI-QS Code of Practice. HACCP原则、危害评估、危害分析、饲料安全管理原则，包括前提方案(PRP)和《FAMI-QS操作规范》。	Same as auditor 同审核员
Auditor's training 审核员培训	Follow the FAMI-QS Certification System Training. 参加FAMI-QS认证体系培训。	Same as auditor 同审核员
Audit experience in Feed/Food Safety Quality Management Systems 饲料/食品安全质量管理体系的审核经历	Six (6) feed/food Safety QMS Audits in the last three (3) years. 在过去三年内，至少完成六次饲料/食品安全质量管理体系审核。	Three (3) Complete FeSQMS Audits 至少完成三次完整的FeSQMS审核。
Audit experience per scope 各个范围的审核经历	At least one (1) Feed Audit in the relevant scope 至少进行过一次与相关范围有关的饲料审核。	Same as auditor 同审核员

7.2.1.1. AUDITORS' SCOPES 审核员范围

- FAM-PD-01: Bioprocess 生物过程
- FAM-PD-02: Chemical 化学
- FAM-PD-03: Extraction 提取
- FAM-PD-05: Mining 采矿
- FAM-PD-06: Mixing 混合
- FAM-AD-07: Trade 贸易
- FAM-MD-01: FFPD 欺诈与防御模块（FFPD）

7.2.1.2. AUDITORS' SCOPE EXTENSION 审核员范围扩展

If a Certification Body would like to extend the auditing FAMI-QS Scope of a currently approved auditor, the auditor shall demonstrate knowledge in the relevant FAMI-QS Process Document (where available) and have completed at least one (1)

Feed Audits or one (1) year work experience in the scope relevant to the extension process. The validity of the auditor will remain unchanged.

如果认证机构希望扩展已批准审核员的FAMI-QS审核范围，该审核员应展示对相关FAMI-QS工艺过程文件的知识储备，并且在该扩展工艺范围内至少完成一次相关的饲料审核，或具有至少一年的相关工作经验。审核员的有效期不受影响。

A witness audit of a FAMI-QS Code of Practice audit, within the requested scope, is required prior to the final confirmation of the extension. The witness audit may be undertaken remotely.

在最终确认扩展之前，需要在请求的范围内进行一次FAMI-QS操作规范审核的见证审核。见证审核可以远程进行。

The Certification Body notifies the FAMI-QS Secretariat regarding the Certification Body's approval of an auditor's scope extension. The FAMI-QS Secretariat shall confirm the maintenance on the auditor's scope and inform the Certification Body via e-mail.

认证机构通知FAMI-QS秘书处关于认证机构批准审核员范围扩展的事宜。FAMI-QS秘书处应确认审核员范围的保持，并通过电子邮件通知认证机构。

7.2.2. MAINTENANCE OF THE AUDITORS' NOMINATIONS 审核员提名的保持

For the maintenance of the auditors' nomination the following conditions shall be applied:

为了审核员提名的保持，审核员应满足以下条件：

a. Attend the annual training organized by FAMI-QS.

a. 参加由FAMI-QS组织的年度培训。

b. Maintenance of the scope: Two (2) FAMI-QS Audits in each approved process within the validity period.

b. 范围的保持：在有效期内，每个批准的过程中进行两(2)次FAMI-QS 审核。

c. The Certification Body shall monitor each FAMI-QS auditor. The documented monitoring process for auditors shall include a combination of on-site evaluation, review of audit reports and feedback from clients or from the market. Each FAMI-QS Auditor shall undergo at least one (1) monitoring during his/her validity period.

c. 认证机构应对每位FAMI-QS审核员进行监督。记录在案的监督流程应包括现场评估、审核报告审阅及客户或市场反馈。每位FAMI-QS审核员在其有效期内至少应接受一次监督。

If no audit experience can be shown for a period of four (4) years per scope, action shall be taken to reduce the scope of the auditor. The Certification Body shall inform the FAMI-QS Secretariat of any reduction in the scope of an auditor.

如果在某审核范围连续四年无审核经验，则应采取措施缩减该审核员的范围。认证机构需向FAMI-QS秘书处通报范围缩减情况。

The maintenance of the auditor's approval and documentation records of the monitoring activities are the responsibility of the Certification Body.

审核员提名的保持及监督活动文档记录由认证机构负责。

7.3. Use of individual external auditors and external technical advisors 外部审核员和外部技术专家的使用

The requirements of ISO/IEC 17021-1:2015, § 7.3 shall apply.

适用ISO/IEC17021-1:2015第7.3条的要求。

7.4. Personnel records 人员记录

The requirements of ISO/IEC 17021-1:2015, § 7.4 shall apply.

适用ISO/IEC17021-1:2015第7.4条的要求。

7.5. Outsourcing 外包

The requirements of ISO/IEC 17021-1:2015, § 7.5 shall apply.
适用ISO/IEC17021-1:2015第7.5条的要求。

8. INFORMATION REQUIREMENTS 信息要求

8.1. Public Information 公开信息

The requirements of ISO/IEC 17021-1:2015, § 8.1, shall apply.
适用ISO/IEC17021-1:2015第8.1条的要求。

8.2. Certification Documents 认证文件

The requirements of ISO/IEC 17021-1:2015, § 8.2, shall apply.
适用ISO/IEC17021-1:2015第8.2条的要求。

8.2.1. CERTIFICATE 证书

8.2.1.1. TEXT ON THE CERTIFICATE 证书上的文本

In addition to the requirements of ISO/IEC 17021-1:2015 § 8.2.2, the text on the certificate shall include the following minimum information:

除ISO/IEC17021-1:2015第8.2.2条的要求外，证书文本应至少包括以下信息：

经营者名称	
已实施并保持饲料安全与质量管理体系，包括符合良好生产规范 (GMP)，遵守：	
FAMI-QS 操作规范 (版本X, 年-月-日) 以及	
饲料欺诈预防与防御模块	
在以下地址 ⁽¹⁾ XXX	
FAMI-QS 地址注册： FAM- XXXX/XX	
特种饲料原料的活动 ⁽²⁾ ，来自 工艺过程 ⁽³⁾	
(符合FAMI-QS 工艺过程-XX)	
饲料链类别 ⁽⁴⁾ D, K, FI, FII	
本证书有效期至： 年-月-日	
认证机构签字：	地点， 日期 年-月-日
有关该证书的有效性，请查阅 www.FAMI-QS.org	

(1) For Operators running multiple manufacturing processes at different sites it is sufficient to issue one certificate listing all the sites, when the scope and the validity period are the same. Separate certificates can be provided to sites as long as the main certificate is referenced on the site certificate, and the certificate is not misleading or suggests that the site holds its own certification.

(1)对于在不同地址开展多个生产工艺过程的经营者，如果范围和有效期相同，可签发一份列出所有地址的证书。可以为现场提供单独的证书，只要在现场证书上引用主证书，并且该证书不具误导性或不暗示该现场持有其自己的认证。

(2) Activity means: **Production** and/ or **Trading**. No other term is allowed.

(2) 活动意味着：生产和/或贸易。不允许使用其他术语。

(3) Production Process: The Certification Body shall identify and clearly state the process from which the ingredients are resulting from: **Bioprocess – Chemical – Mixing – Mining –Extraction**

(3) 生产工艺过程：认证机构应识别并明确注明原料来源的工艺过程：生物过程-化学-混合-采矿-提取

(4) Classification of feed chain categories applicable to FAMI-QS (ISO 22003-1:2022 Annex A):

(4) 适用于FAMI-QS的饲料链类别分类(ISO22003-1:2022-附录A):

D: for products fed directly to the animal and/or delivered to the farm

D：直接饲喂动物和/或交付至农场的产品

K: products not given directly to the animals and/or not sold directly to the farm

K：非直接饲喂动物或非直接销售至农场的产品

FI: when Operators trade their own products

FI：经营者交易自产的产品

FII: when Operators trade products not produced by themselves.

FII：经营者交易非自产产品。

8.2.2. CERTIFICATION STATUS CHANGE 认证状态变更

The suspension or withdrawal of a certificate remains the responsibility of the Certification Body. With regards to the Suspended status, the maximum period cannot exceed three months. Following that period, if appropriate actions have not been taken by the operator, the Operator's certificate will be withdrawn by the Certification Body. At a minimum, a Stage 2 shall be conducted if the feed business Operator wishes to restore its FAMI-QS certificate.

暂停或撤销证书仍是认证机构的责任。关于暂停状态，最长期限不得超过三个月。在此期限之后，如果经营者未采取适当措施，认证机构将撤销其证书。如果饲料业务经营者希望恢复其FAMI-QS证书，至少应进行第二阶段审核。

8.2.3. EXCLUSIONS ON CERTIFICATES 证书上的除外项

FAMI-QS Certified Operators are obligated not to mislead stakeholders and authorities regarding the scope of their certification, validity of the certificate and site(s). The provision of concise and coherent information by FAMI-QS Certified Operators with regards to their activities is fundamental for FAMI-QS. Misleading the supply chain and stakeholders by providing inaccurate information with regards to the scope of certification, claims, or activities of the operator cannot be accepted.

FAMI-QS认证经营者有义务确保其在认证范围、证书有效性及场所信息方面不误导利益相关方和监管机构。对于FAMI-QS而言，获得认证的饲料企业经营者提供有关其活动简明一致的信息至关重要。通过提供关于认证范围、声明或经营者活动的不准确信息，以误导供应链及利益相关方的行为是不可接受的。

Certification Bodies shall ensure that all the communication of a FAMI-QS Certified Operator provided through marketing material, product specification and websites is not misleading, and is aligned with their certified activities.

认证机构应确保FAMI-QS认证经营者通过营销材料、产品规格及网站发布的信息准确、不具误导性，且与其认证活动一致。

Certification bodies shall review the websites of each of their FAMI-QS Certified Operators and ensure that the information published is consistent, coherent, transparent and aligned with the activities of FAMI-QS Certified Operators.

认证机构应审查其FAMI-QS认证经营者的网站，以确保所发布信息的一致性、连贯性及透明性，并与认证经营者的实际活动相符。

8.2.4. INVOICING ADDRESS 发票地址

The site related to the invoicing address must be included on the FAMI-QS Certified Operator's certificate, as this is the site responsible for placing products in the market. In the event that the invoicing address is a PO box or no activity is taking place at the site, the address can be included on the certificate after a desk review of the legal documents (business registration, registration with the feed authorities, where applicable) is performed by the auditor.

发票地址相关场所必须列入经营者证书中，因为该场所负责产品的市场投放。如果发票地址是邮政信箱或现场没有活动，则可以在审核员对法律文件（商业登记、饲料主管部门登记（如适用））进行文件评审后将地址包含在证书上。

All traceability and recall procedures shall be under the responsibility of the invoicing address. In this case, employees of the invoicing address shall be involved in the audit for the relevant parts.

所有可追溯性和召回程序应由开票地址负责。在这种情况下，发票地址的员工应参与相关部分的审核。

8.2.5. TRANSFER OF ACCREDITED FAMI-QS CERTIFICATES FAMI-QS认可证书的转换

For the transfer of accredited FAMI-QS certificates, IAF MD2:2023 *Mandatory Document for the Transfer of Accredited Certification of Management Systems* shall be applied.

对于已获认可的FAMI-QS证书的转换，适用《IAF MD2:2023管理体系认可认证转换强制性文件》。

The receiving Certification Body shall contact FAMI-QS Secretariat prior to the transfer for pre-approval. The FAMI-QS Secretariat will communicate any open issues related to the transfer of the certificate (if applicable) and provide the Certification Body with the transfer approval. This could include open non-conformities, failure to submit corrective actions, etc.

在转换前，接收认证机构须联系FAMI-QS秘书处，获取预批准。FAMI-QS秘书处将告知证书转换过程中涉及的任何未决事项(如适用)，并向认证机构提供转换批准。FAMI-QS秘书处将通报与证书转换相关的任何未决问题，包括未关闭的不符合项(NCR)、未提交的纠正措施等。

Note: Only the FAMI-QS Accredited/Authorized Branch and not the regional sales offices can get in touch with the FAMI-QS Secretariat for pre-approval. Please get in touch with the FAMI-QS Secretariat once you have confirmed that you can perform the transfer. In the event that the Certification Body cannot take over the certification, there is no need for confirmation.

注：仅限FAMI-QS认可/授权的分支机构(而非区域销售办公室)可联系FAMI-QS秘书处申请预批准。若确认可执行转换，请与FAMI-QS秘书处联系；若无法接管认证，则无需确认。

8.2.5.1. ELIGIBILITY OF A CERTIFICATE FOR TRANSFER 认证转换资格

For the receiving Certification Body to accept the transfer of the certification, it shall ensure that the necessary resources (FAMI-QS auditor) are sufficient to provide the service to the organization, without impacting the planning of the current FAMI-QS Certification. Once the auditors' capacity has been confirmed and documented, the next step will be the confirmation of the eligibility of the certification for transfer.

接收认证机构在接受证书转换时，必须确保具备充足的资源(FAMI-QS审核员)以支持机构的认证服务，并不得影响当前FAMI-QS认证计划的正常执行。一旦审核员的资质得到确认并记录，下一步即确认该证书是否符合转换资格。

In the event of a change, addition or removal of local resources, the authorized FAMI-QS Certification Bodies shall notify FAMI-QS via email to fffs_info@fami-qs.org.

若本地资源发生变更、增加或减少，授权的FAMI-QS认证机构须发送电子邮件至fffs_info@fami-qs.org通知FAMI-QS。

Only valid FAMI-QS certificates shall be transferred. A FAMI-QS Certificate which is known to be suspended shall not be accepted for transfer. To confirm the validity of the certificate, please consult the FAMI-QS list of certified operators at: <https://fami-qs.org/certified-organisations>.

仅限有效的FAMI-QS证书可转换，被暂停的FAMI-QS证书不具备转换资格。请访问FAMI-QS认证企业名单以确认证书的有效性，<https://fami-qs.org/certified-organisations/>。

If the certificate is eligible for transfer, then the transfer of the certification shall be completed prior to the date of when the next surveillance is due or prior to the expiry of the certificate.

若证书符合转换资格，则转换须在下次监督审核到期前或证书到期前完成。

The issuing Certification Body **shall not suspend or withdraw the organization's** certification following the notification that the organization is transferring to the accepting Certification Body if the client continues to satisfy the requirements of certification.

在客户持续符合认证要求的前提下，发证认证机构不得因收到客户将其证书转换至其他认证机构的通知而暂停或撤销其认证。

Certification Bodies shall include in their certification agreement with their client a clear provision on how they will handle the transfer both as an issuing and receiving Certification Body. The conditions under which the issuing Certification Body can suspend or withdraw the FAMI-QS Certificate shall be stated and aligned with the provision of IAF MD2:2023.

认证机构应在与客户的认证协议中明确规定其在作为发证机构和接收机构时如何处理转换。发证认证机构在暂停或撤销FAMI-QS证书时，须符合《IAF MD2:2023》的相关规定。

The issuing Certification Body shall withdraw the certificate upon completion of the transfer or when the requirements of the certification are not fulfilled.

在证书转换完成后，或客户未能符合认证要求时，发证认证机构应撤销其证书。

NOTE: For example, a certificate is due for a surveillance audit in May 2023. The organization informs the issuing Certification Body in February 2023 that they will transfer their certificate to a new Certification Body. In this case, as long as the requirements of the certification are fulfilled, the Certification Body shall maintain the certificate until the date of when the next audit activity is due. In this example, by May 2023.

注：例如，某证书的监督审核原定于2023年5月进行，机构于2023年2月通知发证认证机构其计划将证书转换至新的认证机构。在此情况下，只要客户持续符合认证要求，发证认证机构应维持该证书有效直至下次监督审核到期（即2023年5月）。

The transfer of the certificate shall be managed exclusively through the FAMI-QS reporting platform, and for this a dedicated pre-transfer review report/checklist has been created.

证书转换应通过FAMI-QS报告平台独家管理，并需使用专门的转换前审查报告/检查清单。

8.2.5.2. PRE-TRANSFER REVIEW 转换前审查

The pre-transfer review report is available on the FAMI-QS reporting platform under the audit type dropdown list. For the creation of the pre-transfer review report, the workflow/process is the same as the publication of a certificate.

转换前审查报告可在FAMI-QS报告平台的审核类型下拉列表中找到。创建该报告的流程与发布证书的流程完全相同。

Before submitting it for validation, the accepting Certification Body shall create:

在提交验证之前，接收认证机构须先完成以下步骤：

1. the audit folder by choosing the pre-transfer report and then

1. 选择“转换前报告”后，创建审核文件夹；

2. the certificate using the same validity period.

2. 证书使用相同的有效期。

As a minimum, the pre-transfer report shall include the evidence as described on §2.2.4 of IAF MD 2:2023.

转换前报告至少应包含IAF MD2:2023第2.2.4条所要求的证据。

Upon completion of the transfer, the accepting Certification Body shall inform the issuing Certification Body about the completion. The issuing Certification Body will then unlock the certificate and change the status to withdrawn. This will allow us to avoid the double listing of the FAMI-QS Certified Operator.

转换完成后，接收认证机构应通知发证认证机构。发证认证机构将解锁证书并将其状态更改为“撤销”，以避免FAMI-QS认证企业的重复列名。

8.3. Reference to certification and use of marks 认证标志的引用与使用

The requirements of ISO/IEC 17021-1:2015, § 8.3, shall apply.
适用ISO/IEC17021-1:2015第8.3条的要求。

During the onsite audit the Certification Bodies shall confirm that the FAMI-QS logo is used by the FAMI-QS Certified Operator according to the FAMI-QS requirements. A statement on the correct use of the FAMI-QS logo shall be included in the audit report's "General Assessment" section.

在现场审核期间，认证机构应确认认证企业按FAMI-QS要求正确使用FAMI-QS标志。审核报告中的“总体评估”部分应包括关于FAMI-QS标志使用情况的声明。

The FAMI-QS name and logo may only be used by Operators that have obtained certification from a Certification Body recognized by FAMI-QS. The right to use the FAMI-QS logo and/or name is exclusively granted by FAMI-QS and can be withdrawn at any moment in the event of non-compliance with certification requirements.

FAMI-QS的名称及标志仅限获得FAMI-QS认可的认证机构所认证的经营者使用。FAMI-QS对标志和/或名称的使用享有独家授权，并有权在使用者未能符合认证要求时撤销该授权。

FAMI-QS Certified Operators may display the FAMI-QS logo for the period of validity of their certificate. Use or display of the FAMI-QS logo does not constitute proof that the Operator is certified.

认证的经营者可在其证书有效期内使用和展示FAMI-QS标志。然而，标志的使用或展示并不必然意味着经营者已获得认证。

The FAMI-QS logo is available upon request made to the FAMI-QS Secretariat and/or to the relevant Certification Body. It may be used only in its original colours and proportions. Guidelines are displayed on the FAMI-QS Website. The FAMI-QS name and logo shall not be used on products, packaging, labels, certificates of analysis, means of transport, but may be used on certificates, advertisements and brochures.

FAMI-QS标志可通过向FAMI-QS秘书处和/或相关认证机构申请获得。标志只能按照其原始颜色和比例使用。详细使用指南可在FAMI-QS官网查阅。FAMI-QS名称及标志不得用于产品、包装、标签或运输工具上，但可用于证书、广告及宣传册中。

8.4. Confidentiality 保密性

The requirements of ISO/IEC 17021-1:2015, § 8.4 shall apply.
适用ISO/IEC17021-1:2015第8.4条的要求。

8.5. Information exchange between the Certification Body and its clients 认证机构与客户之间的信息转换

8.5.1. INFORMATION ON THE CERTIFICATION ACTIVITY AND REQUIREMENTS 认证机构及要求的信息

The requirements of ISO/IEC 17021-1:2015, § 8.5.1 shall apply.
适用ISO/IEC17021-1:2015第8.5.1条的要求。

8.5.2. NOTICE OF CHANGES BY THE CERTIFICATION BODY 认证机构的变更通知

The requirements of ISO/IEC 17021-1:2015, 8.5.2 shall apply.
适用ISO/IEC17021-1:2015第8.5.2条的要求。

The Certification Body shall have a procedure in place to notify the FAMI-QS Certified Operators of the FAMI-QS specific requirements and any changes related to the certification procedure.

认证机构应建立程序，通知FAMI-QS认证经营者关于FAMI-QS具体要求及认证程序的任何变更。

8.5.3. NOTICE OF CHANGES BY A CERTIFIED OPERATOR 认证客户的变更通知

The Certification Bodies shall ensure that the FAMI-QS Certified Operator informs the Certification Body and FAMI-QS without delay, of the following changes:

认证机构应确保FAMI-QS认证经营者须在以下变更发生时，立即通知认证机构及FAMI-QS：

- a. Legal, commercial, organizational status or ownership; 法律、商业、组织状态或所有权的变更;
- b. Operator and management changes; 经营者及管理层的调整;
- c. Contact details, address and sites; 联系方式、地址和场所的变更;
- d. Changes to the current certified scope; 现有认证范围的变化;
- e. Major changes to the management system and processes; 管理体系和工艺过程的重大变更;
- f. Issues related to the safety of the product; 任何与产品安全相关的问题;
- g. Any other issue which may affect the capability of the Feed Safety and Quality Management System. 其他任何可能影响饲料安全与质量管理体系能力的事项。

NOTE: For changes regarding a, b, c and d, the FAMI-QS Certified Operator needs to provide a marked-up approval letter for review and acceptance by the FAMI-QSASBL Secretariat. The Secretariat will then provide the Operator with a revised approval letter.

注:对于a、b、c和d类变更, FAMI-QS 认证经营者须提供已标注的批准函, 以供FAMI-QS ASBL秘书处审核并确认接受。秘书处审核通过后, 将向经营者提供修订后的批准函。

9. PROCESS REQUIREMENTS 过程要求

9.1. Pre-Certification Activities 认证前活动

9.1.1. APPLICATION 申请

The requirements of ISO/IEC 17021-1:2015, § 9.1.1 shall apply. For the application, the following information, in addition to ISO/IEC 17021-1:2015, § 9.1.1, is required:

适用ISO/IEC17021-1:2015第9.1.1条的要求。除ISO/IEC17021-1:2015第9.1.1条外, 申请还应提供以下信息:

- a. Approval letter exclusively issued by the FAMI-QS ASBL Secretariat; FAMI-QS ASBL秘书处独家签发的批准函;
- b. Legal feed business operations documents e.g. registration with competent authorities, tax authorities etc; 合法的饲料业务经营文件, 例如: 与主管部门、税务部门等的注册文件;
- c. List of products coming from the processes covered in the FAMI-QS Scope. For products coming from bioprocess this information will include the name and number of the strain, and the microorganism used in the process. **This applies to producers and traders.** The listing shall be in the following format: **ingredient, microorganism/strain, deposition number.** If, during the audit, auditors identify products that fall under FAMI-QS scope and are not part of the list, they shall immediately inform the Operator that all products shall be part of the audit; 来自FAMI-QS范围所涵盖过程的产品列表。对于来自生物过程的产品, 此信息将包括菌株名称和编号, 以及过程中使用的微生物。这适用于生产者和贸易商。列表应采用以下格式: 成分、微生物/菌株、保藏编号。如果在审核过程中, 审核员发现属于FAMI-QS范围但不在列表中的产品, 他们应立即通知运营者所有产品都应是审核的一部分;
- d. List of ingredients purchased from non-assured suppliers (processing aids/intermediates are excluded); 从非保证来源的供应商处采购的原料清单(加工助剂/中间产品除外);
- e. Information about production site(s); 生产场所信息;
- f. Externally provided services (contract manufactures, warehouses). Service providers suppliers or services that have an impact on feed safety, such as contract manufacturers, toll manufacturers, evaluation control, equipment, packaging materials, uniform cleaning, facility cleaning services must be included in the Operator's identification and evaluation of externally provided sources; 外部提供的服务信息(如合同制造商、仓库等)。所有可能影响饲料安全的服务提供商或服务(如合同制造商、委托工厂、评估控制、设备、包装材料、制服清洁、设施清洁等)必须纳入经营者对外部来源的识别与评估;
- g. Audit report or risk assessment from the subcontractor(s), toll manufacturer(s), supplier(s), if applicable; 如适用, 分包商、委托工厂、供应商的审核报告或风险评估;

h. Countries where the products are placed. 贸易目的国信息。

The Certification Body shall not exclude activities, processes, products or services from the scope of the audit when those activities/processes/products or services can have an impact on the feed safety. These considerations shall be considered by the Certification Body in determining the audit programme and audit plan.

认证机构不得从审核范围中排除可能影响饲料安全的任何活动、工艺、产品或服务。认证机构在制定审核方案和审核计划时，应充分考虑这些因素。

9.1.2. APPLICATION REVIEW 申请评审

The requirements of ISO/IEC 17021-1:2015, § 9.1.2 shall apply.

适用ISO/IEC17021-1:2015第9.1.2条的要求。

9.1.3. AUDIT PROGRAMME 审核方案

The requirements of ISO/IEC 17021-1:2015, § 9.1.3 shall apply.

适用ISO/IEC17021-1:2015第9.1.3条的要求。

The Certification Body shall include confirmation of the Audit Program and the effectiveness of the auditing time calculation as part of the certification decision.

认证机构应将确认审核方案和审核时间计算的有效性作为认证决定的一部分。

Confirmation that the elements of the auditing time calculation remain unchanged is required e.g. changes on the number of assured non-assured sources, processes, number of employees.

需要确认审核时间计算的要素保持不变，例如保证/非保证来源数量、工艺过程、员工人数的变化。

9.1.4. DETERMINING AUDIT TIME 确定审核时间

The requirements of ISO/IEC 17021-1:2015, § 9.1.4, shall apply. The requirements of Annex B.1 ISO 22003-1:2022, shall apply.

适用ISO/IEC17021-1:2015第9.1.4条及ISO22003-1:2022附录B.1条的要求。

TABLE 3: MODIFIED INITIAL AUDITING TIME CALCULATION TABLE (Table B.1 of ISO 22003-1:2022)

表3 修改后的初次审核时间计算表(ISO22003-1:2022表B.1)

	A	B	C	D
Feed Chain Category 饲料链类别	Basic site audit duration in audit days 基础现场审核持续时间（审核人日）	Number of audit days for each additional HACCP study (process) 每增加一个HACCP项目（工艺过程）审核人日	Additional auditing time for auditing of the files for feed ingredients purchased from non- assured sources. 用于审核从非保证来源购买的饲料原料文件的附加审核人日数	Additional number of audit days based on full-time equivalent employees (FTE) 基于全职等效员工人数的附加审核人日数
Category D D类别	1.0	0.5	01-05 ingredients 0.25 06-10 Ingredients 0.50 11-15 ingredients 0.75 >15 ingredients 1.00	1 to 5 = 0.0 6 to 49 = 0.5 50 to 99 = 1.0 100 to 199 = 1.5 200 to 499 = 2.0 500 to 999 = 2.5 >1000 = 3.0
Category F F类别	1.0		01-05种原料: 0.25 06-10种原料: 0.50 11-15种原料: 0.75 >15种原料: 1.00	
Category K K类别	2.0			

Additional notes: 附加说明:

A: Basic audit time: in all cases Feed Fraud Prevention and Defence Module is included. In the case of trading scope F, the basic audit time only covers one process from which the total number of final product(s) are derived.

A: 基本审核时间: 所有审核均包含饲料欺诈预防与防御模块。对于范围F的贸易商, 基本审核时间仅涵盖获得最终产品总数的一个工艺过程。

B: Additional auditing time for additional manufacturing processes: For traders of the scope F, the additional time covers the total number of additional processes.

B: 额外制造工艺过程的附加审核时间: 对于范围F的贸易商, 额外时间涵盖所有额外工艺过程的总数。

C: Additional auditing time dedicated to the auditing of the files for those feed ingredients entering the production process and/or trading which are coming from non-assured sources.

C: 专门针对来自非保证来源原料的审核时间, 这些原料进入生产工艺过程和/或贸易环节。

D: Additional auditing time according to the number of full-time equivalent employees (FTE) under the FAMI-QS System.

D: 根据FAMI-QS体系中的全职等效员工(FTE)数量, 所需的额外审核时间。

The initial certification auditing time includes the auditing time for Stage 1 and Stage 2. However, it does not include the time for preparation of the audit nor for writing the audit report. The Certification Body shall decide how the time will be split between Stage 1 and Stage 2.

初次认证审核时间包括第一阶段和第二阶段审核时间。但不包括审核准备和编写审核报告的时间。认证机构应决定如何在第一阶段和第二阶段之间分配时间。

Auditing Time shall be approved by the FAMI-QS Scheme Manager or a competent employee of the Certification Body. For Certification Bodies with more than one location offering FAMI-QS Certification services, auditing time calculation shall be released by the Certification Body's location/ branch authorized by FAMI-QS. Formal appointment is required. Auditing time calculation shall be recorded and must be traceable. A maximum reduction of 10% can be given based on previous experience of the Certification Body with the Operator. For audits of integrated management systems IAF MD 11 shall be applied for the auditing time reduction.

审核时间应由FAMI-QS方案经理或认证机构具备资质的人员批准。对于在多个地点提供FAMI-QS认证服务的认证机构, 审核时间计算应由认证机构经FAMI-QS授权的地点/分支机构发布。需要正式任命。审核时间计算应被记录并必须可追溯。基于认证机构对经营者的先前经验, 最多可减少10%的审核时间。对于一体化管理体系的审核, 审核时间应按照IAF MD11的规定进行相应减少。

9.1.5. Auditing time calculation for Global Invoicing Sites / Sales offices 全球发票地址/销售办公室的审核时间计算

This process is added on to the initial auditing time calculation for the inclusion of site(s) that do not hold any product responsibility.

该过程作为初始审核时间计算的补充, 适用于不承担任何产品责任的场所。

If an Operator would like to include the network of their global invoicing sites/sales offices, the auditing time calculation should be adjusted accordingly and as it is shown on the table.

如果经营者希望将其全球发票地址/销售办公室网络纳入认证范围, 则应根据下表对审核时间进行相应调整。

	A	B
Feed Chain Category 饲料链类别	HQ Auditing Time 总部审核时间	Time for each additional site (invoicing site / sales office) 每个额外场所 (发票地址/销售办公室) 的审核时间
Category F F类别	1.0	1h 15min

The following conditions should also be in place: 还应满足以下条件:

- The global invoicing sites /sales offices trade only products that are produced or sold (contract manufacture) by the Operator.
• 全球发票地址/销售办公室仅可交易由经营者生产或销售(合同制造)的产品。
- All the production sites that deliver to the customers of their global invoicing sites/sales offices are FAMI-QS Certified (certified with mutual recognised standards excluded).
• 所有向全球发票地址/销售办公室客户交付产品的生产场所, 必须已获得FAMI-QS认证(互认标准认证除外)。
- The invoicing site / sales office does not hold any warehousing, transport, repacking, sampling and release responsibilities.
• 发票地址/销售办公室不承担仓储、运输、重新包装、取样和放行等责任。
- The Operator has a multisite structure with a centralised FAMI-QS Management System.
• 经营者具有多场所架构, 并设有集中的FAMI-QS管理体系。
- The audit is conducted remotely in the case of the invoicing sites/ sales offices with the audit team to be located at the HQ.
• 发票地址/销售办公室的审核以远程方式进行, 审核组设于总部。
- The audit cycle is three (3) years (each site must be audited at least once over the certification cycle).
• 审核周期为三(3)年(每个现场必须在认证周期内至少审核一次)。

At the HQ, the following elements are checked by the Certification Body: 在总部, 认证机构应检查以下要素:

- Verification of the scope of audit (product, sites/offices, processes),
审核范围的验证(产品、场所/办公室、工艺过程),
- Verification of FAMI-QS-Approval Letter,
FAMI-QS批准函的验证,
- Verification of actual and draft certificate(s),
实际与草拟证书的验证,
- Leadership and Policy,
领导力与政策,
- Management Review,
管理评审,
- Control of externally provided products and services,
外部提供产品与服务的控制,
- Purchased /produced materials,
采购/生产的材料,
- Communication,
沟通,
- Roles and Responsibilities.
角色和职责。

For each site/office, it is necessary to check: 针对每个场所/办公室, 应检查以下要素:

- Local organization, roles and responsibilities (e.g. most senior management responsible person, recall manager),
当地机构、角色及职责(如最高管理层负责人、负责召回的经理),
- Interfaces, requirements and general issues with local authorities (registrations, permits, inspections),
与当地监管机构的接口、要求及一般事项(注册、许可证、检查等),

- Overview of feed business customers (feed products, customer requirements),
饲料企业客户概览(产品、客户要求),
- Overview of local complaints (if applicable).
当地投诉情况概览(如适用)。

9.1.6. AUDITING TIME CALCULATION FOR SURVEILLANCE AUDIT AND RE-CERTIFICATION 监督审核与再认证审核的审核时间计算

- a. Surveillance Audit: the total minimum surveillance audit time shall be one-third of the initial certification audit time, with a minimum of eight (8) hours.
a. 监督审核：监督审核的总时长应为初次认证审核时长的三分之一，但最低不得少于8小时。
- b. Re-Certification Audit: the total minimum time shall be two-thirds of the initial certification audit time, with a minimum of eight (8) hours.
b. 再认证审核：总审核时间至少为初始认证审核时长的三分之二，但最低不得少于8小时。

The initial, surveillance and re-certification auditing time does not include the time for preparation of the audit nor for writing the audit report.

初次、监督和再认证审核时长均不包含审核准备及审核报告撰写时间。

9.1.7. MULTISITE SAMPLING 多场所抽样

The requirements of ISO/IEC 17021-1:2015, § 9.1.5 shall apply. The requirements of ISO 22003-1:2022, § 9.1.5 shall also apply.

适用ISO/IEC17021-1:2015第9.1.5条的要求及ISO 22003-1:2022第9.1.5条的要求。

9.1.8. MULTIPLE MANAGEMENT SYSTEMS STANDARDS 多管理体系标准

The requirements of ISO/IEC 17021-1:2015, § 9.1.6, apply. The IAF MD 11:2023 and IAF MD1:2023 should be considered.

适用ISO/IEC17021-1:2015第9.1.6条的要求，需考虑IAF MD11:2023和IAF MD1:2023要求。

9.2. Planning audits 审核策划

The requirements of ISO/IEC 17021-1:2015, § 9.2, shall apply.

适用ISO/IEC17021-1:2015第9.2条的要求。

Traders that place products on the market under their own label are considered producers. Production in this case is done by a subcontractor. In case the subcontractor is not certified against one of the standards with which FAMI-QS maintains mutual recognition arrangements (see document P-MS-003), the Certification Body shall consider auditing the contracted manufacturer, at least once within the certification cycle.

以自有标签销售产品的贸易商视为生产商，在这种情况下，生产由分包商完成。如果分包商未获得与FAMI-QS保持互认协议的标准之一的认证(见文件P-MS-003)，认证机构应考虑在认证周期内至少对合同制造商进行一次审核。

9.3. Initial certification 初次认证

9.3.1. INITIAL CERTIFICATION AUDIT 初次认证审核

The requirements of ISO/IEC 17021-1:2015, § 9.3.1 shall apply.

适用ISO/IEC17021-1:2015第9.3.1条的要求。

9.3.1.1. GENERAL 总则

The initial certification audit of a Feed Safety and Quality Management System shall be conducted in two stages: Stage 1 and Stage 2.

饲料安全与质量管理体系的初次认证审核分两个阶段进行：第一阶段和第二阶段。

9.3.1.2. STAGE 1 第一阶段

Planning shall ensure that the objectives of Stage 1 can be met, and the client shall be informed of any “on site” activities during Stage 1. Stage 1 does not require a formal audit plan.

策划应确保能够达到第一阶段的目标，客户应被告知第一阶段期间的任何“现场”活动。第一阶段不需要正式的审核计划。

The objective of Stage 1 is to provide a focus for planning Stage 2. This shall be achieved by gaining an understanding of the Feed Safety and Quality Management System, in the context of the Operator's feed safety hazard identification, analysis, HACCP plan and PRPs, policy and objectives, and according to the Operator's level of preparation for the audit by reviewing the extent to which:

第一阶段的目标是为第二阶段的审核确立重点。为实现这一目标，需要重点评估饲料安全与质量管理体系的建立情况，具体包括企业对饲料安全危害的识别与分析、HACCP计划、前提方案(PRPs)、方针和目标等方面，特别要了解经营者在审核筹备阶段所做的各项准备工作。通过审查以下内容来达成这一目标：

a. The Feed Safety and Quality Management System is aligned with the requirements in the FAMI-QS Code of Practice.

a. 饲料安全与质量管理体系是否符合《FAMI-QS操作规范》的要求。

b. Any publicly available information corresponds to the actual operations of the feed business organization (e.g. website).

b. 任何公开可获取的信息(如网站)是否与饲料企业的实际运营情况一致。

c. The Operator has identified PRPs that are appropriate to the business.

c. 经营者是否已建立适用于其业务的前提方案(PRPs)。

d. Audit report/risk assessment on audits carried out at the supplier premises is available (if applicable), the effectiveness of the report(s), and on whether additional actions are required prior to Stage 2.

d. 是否已获得供应商场所的审核报告/风险评估(如适用)，其有效性如何，以及是否需在第二阶段前采取额外措施。

e. Audit report on audits carried out at the subcontractors' facilities is available (if applicable), the effectiveness of the report (s) and whether an audit is required at the premises of the subcontractor(s).

e. 是否已获得分包商场所的审核报告(如适用)，其有效性如何，以及是否需对分包商场所进行审核。

f. Review appropriateness of the audit duration for an effective audit during Stage 2.

f. 计划的审核时长是否足以确保第二阶段审核的有效性。

g. The Feed Safety and Quality Management System comply with the requirements of the FAMI-QS Code, Process Documents and Feed Fraud Prevention and Defence module.

g. 饲料安全与质量管理体系是否符合《FAMI-QS操作规范》、工艺过程文件及饲料欺诈预防与防御模块的要求。

h. All processes that have an impact on feed safety have identified and included in the scope of the Feed Safety and Quality Management System.

h. 所有可能影响饲料安全的工艺过程是否已被识别，并纳入饲料安全与质量管理体系的范围。

i. The Operator's System collects the relevant statutory and regulatory requirements relevant to its operations.

i. 经营者的体系是否已收集并遵循与其经营相关的法律法规及监管要求。

j. The Feed Safety and Quality Management System is designed to achieve the Operator's feed safety policy.

j. 饲料安全与质量管理体系的设计是否支持经营者的饲料安全方针的实现。

k. The Feed Safety and Quality Management System implementation programme allows to proceed to Stage 2 of the audit.

k. 饲料安全与质量管理体系的实施方案是否满足进入第二阶段审核的条件。

l. The Feed Safety and Quality Management System documentation is in place and its requirements are internally and externally communicated (relevant suppliers, customers, other interested parties, etc.).

l. 饲料安全与质量管理体系文件是否到位，其要求是否已在内部及外部(如供应商、客户及其他利益相关方)得到有效传达。

m. Additional documentation that needs to be reviewed /or which knowledge needs to be obtained in advance.

m. 是否需要额外审查附加文件，或是否存在需提前了解的知识。

Stage 1 is required for the initial certification audit and shall be carried out onsite at the Operator's premises to achieve the objectives of the audit.

第一阶段审核是初次认证审核的必要环节，且原则上应在经营者现场进行，以确保审核目的的达成。

In exceptional circumstances, a part of Stage 1 can take place off-site and shall be fully justified. The evidence demonstrating that Stage 1 objectives are fully achieved shall be provided. Exceptional circumstances or events can include very remote location, a natural disaster, a pandemic, a short seasonal production and other special circumstances.

在特殊情况下，第一阶段的一部分可以在非现场进行，且必须有充分理由。应提供证明第一阶段目标已完全实现的证据。异常情况或事件可能包括非常偏远的地点、自然灾害、大流行病、短暂的季节性生产和其他特殊情况。

The findings in Stage 1 shall be documented and communicated to the client. The findings of Stage 1 do not include non-conformities reporting but advice to address issues where they arise.

第一阶段的发现应形成文件并传达给客户。第一阶段的发现不包括不符合项报告，但包括在问题出现时解决它们的建议。

The interval between Stage 1 and Stage 2 shall not be longer than 6 months. Stage 1 shall be repeated if a longer interval is needed. If the Operator is already certified to a Feed Safety and Quality Management System by the same Certification Body, Stage 1 is not mandatory.

第一阶段和第二阶段之间的间隔不应超过6个月。如果需要更长的间隔，应重复第一阶段。如果运营者已获得同一认证机构的饲料安全质量管理体系认证，则第一阶段不是强制性的。

9.3.1.3. STAGE 2 第二阶段

The requirements of ISO/IEC 17021-1:2015, § 9.3.1.3 shall apply.

适用ISO/IEC17021-1:2015第9.3.1.3条的要求。

Any part of the Feed Safety and Quality Management System that is audited during Stage 1 and determined to be fully implemented, effective and in conformity with requirements, may not need to be re-audited during Stage 2. However, the Certification Body shall ensure that the already audited parts of the Feed Safety and Quality Management System continue to conform to the certification requirements. In this case, the audit report shall include these findings and shall clearly state that conformity has been established during Stage 1.

在第一阶段审核并确定为完全实施、有效且符合要求的饲料安全质量管理体系的任何部分，可能不需要在第二阶段重新审核。但是，认证机构应确保已经审核的饲料安全质量管理体系部分继续符合认证要求。在这种情况下，审核报告应包含这些发现，并明确说明符合性已在第一阶段确立。

9.4. Conducting audits 实施审核

The requirements of ISO/IEC 17021-1:2015, § 9.4 shall apply.

适用ISO/IEC17021-1:2015第9.4条的要求。

9.4.1. GENERAL 总则

The requirements of ISO/IEC 17021-1:2015, § 9.4.1 shall apply.

适用ISO/IEC17021-1:2015第9.4.1条的要求。

9.4.2. CONDUCTING THE OPENING MEETING 实施首次会议

The requirements of ISO/IEC 17021-1:2015, § 9.4.2 shall apply.

适用ISO/IEC17021-1:2015第9.4.2条的要求。

9.4.3. COMMUNICATION DURING THE AUDIT 审核中的沟通

The requirements of ISO/IEC 17021-1:2015, § 9.4.3 shall apply.

适用ISO/IEC17021-1:2015第9.4.3条的要求。

9.4.4. OBTAINING AND VERIFYING INFORMATION 获取和验证信息

The requirements of ISO/IEC 17021-1:2015, § 9.4.4 shall apply.

适用ISO/IEC17021-1:2015第9.4.4条的要求。

9.4.5. IDENTIFYING AND RECORDING AUDIT FINDINGS 识别和记录审核发现

The requirements of ISO/IEC 17021-1:2015, § 9.4.5 shall apply.

适用ISO/IEC17021-1:2015第9.4.5条的要求。

9.4.5.1. CLASSIFICATION OF NON-CONFORMITIES AND RECOMMENDATIONS 不符合项和建议的分类

a. Major non-conformities 严重不符合

The definition for Major non-conformity is included in ISO/IEC 17021-1 at Clause 3.12. A major non-conformity is a non-conformity that affects the capability of the Feed Safety and Quality Management System to achieve the intended results or a complete failure to implement the requirements of the FAMI-QS Code of Practice.

严重不符合项的定义包含在ISO/IEC 17021-1第3.12条。严重不符合项是影响饲料安全和质量管理体系实现预期结果的能力或完全未能实施FAMI-QS操作规范要求的不符合项。

Non-conformities could be classified as major in the following circumstances: 以下情况可归类为严重不符合项:

- if there is documented evidence that there is no effective process control in place, or 如果有文件化证据表明没有实施有效的过程控制, 或者
- that products or services do not meet the specified requirements; or 产品或服务不符合规定要求; 或者
- More than three minor nonconformities associated with the same requirement or issues could demonstrate a systematic failure and thus constitute a major nonconformity.

与同一要求或问题相关的三个以上轻微不符合项可能表明系统性失效, 从而构成严重不符合项。

b. Minor non-conformities 一般/轻微不符合项

The definition for Minor non-conformity is included in ISO/IEC 17021-1 at Clause 3.13. A minor non-conformity exists when a requirement of the FAMI-QS Code of Practice has been addressed but there is insufficient evidence to demonstrate that it has been properly controlled or implemented but does not affect the capability of the management system to achieve the intended results. More than three (3) minor non-conformities under the same clause shall be considered as major.

轻微不符合项的定义包含在ISO/IEC 17021-1第3.13条。当FAMI-QS操作规范的要求已被处理, 但没有足够的证据证明其已得到适当控制或实施, 但不影响管理体系实现预期结果的能力时, 存在一般/轻微不符合项。同一条款下的三(3)个以上轻微不符合项应视为严重不符合项。

9.4.5.2. CONSEQUENCES OF NON-CONFORMITIES 不符合项的后果

TABLE 4: CONSEQUENCES OF NON-CONFORMITIES. 表4 不符合项的后果

TYPE 类型	INITIAL AUDIT 初次审核	SURVEILLANCE (including unannounced audits) 监督审核（包括不通知审核）	RE-CERTIFICATION AUDIT 再认证审核
Major 严重	Certification cannot be granted. An action plan shall be submitted within seven (7) days after the audit. Non-conformities shall be closed within six (6) weeks after the audit 认证不予通过。 整改计划须在审核后7天内提交。 审核后6周内完成不符合项的关闭。	The action plan shall be presented to the Certification Body in fourteen (14) calendar days at the latest after the audit date. Evidence that non-conformities have been closed will be checked twenty- eight (28) days after the presentation of the action plan at the latest. In case the time frame is not sufficient, further coordination with FAMI-QS is required. If a non-conformity is not resolved, then the certification is suspended, and a special audit shall be applied for the closing of the major non-conformity. 整改计划须在审核后最迟14个日历日内提交至认证机构。 整改计划提交后28天内，需提供不符合项已关闭的证据并进行核查。如上述时限不足，则需进一步与FAMI-QS协调。 若不符合项未能解决，认证将被暂停，并需进行特殊审核以验证严重不符合项的关闭情况。	Certification cannot be granted. An action plan shall be submitted within seven (7) days after the audit. Non-conformities shall be closed within six (6) weeks after the audit. 认证不予通过。 整改计划须在审核后7天内提交。 审核后6周内完成不符合项的关闭。
Minor 一般/轻微	Certification cannot be granted until the non-conformities have been closed. An action plan shall be submitted within seven (7) days after the audit. Non-conformities shall be closed within six (6) weeks after the audit 认证需待不符合项关闭后方可通过。 整改计划须在审核后7天内提交。 审核后6周内完成不符合项的关闭。	Certification continues. The Certification Body shall indicate acceptability of the action plan within fourteen (14) calendar days of receipt of the action plan from the Operator. Evidence that non-conformities have been closed will be verified by the auditor, at the latest, during the following audit. If the non-conformity cannot be closed by then, it becomes a major non-conformity. 认证仍然有效。 认证机构与经营者应就整改计划达成协议，最迟应在认证机构收到整改计划后14个日历日内完成协议。 审核员最迟将在下一次审核期间，检查不符合项已关闭的证据。若不符合项未得到解决并关闭，则将升级为严重不符合项。	Certification continues. The Certification Body shall indicate acceptability of the action plan within fourteen (14) calendar days of receipt of the action plan from the Operator. Evidence that non-conformities have been closed will be checked by the auditor, at the latest, during the following audit. If the non-conformity cannot be closed by then, it becomes a major non-conformity. 认证仍然有效。 认证机构与经营者应就整改计划达成协议，最迟应在认证机构收到整改计划后14个日历日内完成协议。 审核员最迟将在下一次审核期间，检查不符合项已关闭的证据。若不符合项未得到解决并关闭，则将升级为严重不符合项。

The auditor shall confirm that he/she/they has/have reviewed, accepted and verified the effectiveness of corrective actions as described in ISO/IEC 17021-1:2015, § 9.4.10. Additionally, all non-conformities (major and minor) need to be closed on the FAMI-QS reporting platform.

审核员应确认其已审查、接受并验证纠正措施的有效性(如ISO/EC17021-1:2015第9.4.10条所述)。此外，所有不符合项(包括严重不符合项和一般/轻微不符合项)均须在FAMI-QS报告平台上完成关闭。

9.4.6. PREPARING AUDIT CONCLUSIONS 准备审核结论

The requirements of ISO/IEC 17021-1:2015, § 9.4.6 shall apply.

适用ISO/IEC17021-1:2015第9.4.6条的要求。

9.4.7. CONDUCTING THE CLOSING MEETING 实施末次会议

The requirements of ISO/IEC 17021-1:2015, § 9.4.7 shall apply.

适用ISO/IEC17021-1:2015第9.4.7条的要求。

9.4.8. AUDIT REPORT 审核报告

The requirements of ISO/IEC 17021-1:2015, § 9.4.8 shall apply.

适用ISO/IEC17021-1:2015第9.4.8条的要求。

If audit evidence indicates that the audit findings lead to the identification of a non-conformity, this shall be clearly mentioned in the relevant section of the audit report. The report shall include a disclaimer statement to indicate that the audit is based on a sampling of the available information and that consequently, there will always be an element of uncertainty present in the auditing evidence, which may be reflected in the audit findings. Those relying or acting upon the audit results and conclusions need to be aware of this uncertainty.

如果审核证据表明审核结果存在不符合项，应在审核报告的相关部分明确说明。报告应包括免责声明，表明审核是基于可用信息的抽样，因此审核证据本身不可避免地存在不确定性，这种不确定性可能会反映在审核结果中。任何依赖审核结果和结论采取行动的人应当理解这一不确定性。

The Certification Body shall upload each report onto the FAMI-QS audit documentation platform.

认证机构应将每份审核报告上传至FAMI-QS审核文件平台。

Audit reports provided to Operators in the local language (not English) shall include a statement that a summary report in English and the non-conformities will be sent to FAMI-QS and to the FAMI-QS Certified Operator, and that the report will be treated in strictest confidentiality.

提供给经营者的审核报告如果为本地语言(非英语)版本，报告中应包含一项声明，说明将向FAMI-QS和经营者发送英文版的摘要报告及不符合项，并且将对报告严格保密。

9.4.8.1. SUBMISSION OF AUDIT DOCUMENTATION TO FAMI-QS 向FAMI-QS提交审核文件

Audit documentation (including documentation related to unannounced audits) shall be provided exclusively through the FAMI-QS audit documentation platform.

所有审核文件(包括与不通知审核相关的文件)应通过FAMI-QS审核文件平台独家提交。

9.5. Certification Decision 认证决定

The requirements of ISO/IEC 17021-1:2015, § 9.5 shall apply.

适用ISO/IEC17021-1:2015第9.5条的要求。

9.5.1. REQUIREMENTS FOR PERSON OR COMMITTEES THAT MAKE THE CERTIFICATION DECISION 作出认证决定的人员或委员会的要求

The Certification Body shall ensure that the person(s) who review the audit reports of initial, surveillance, re-certification and special audits and make the certification decision has appropriate competence. The decision maker(s) shall be able to demonstrate compliance with the same requirements as the FAMI-QS auditor and be approved by the Certification Body.

认证机构应确保，审查初次审核、监督审核、再认证审核及特殊审核报告并作出认证决定的人员具备必要的能力。这些人员应能证明其符合与FAMI-QS审核员相同的要求，并获得认证机构的批准。

The decision maker is not required to have or to maintain audit experience.

认证决定人员不要求具备或保持审核经验。

The competent person(s) assigned by the Certification Body to make the certification decision shall not participate in the audit team. In the case of an initial certification or re-certification audit, the review by the competent person(s) shall be carried out before issuing the certificate.

认证机构指定的认证决定人员不得参与审核组。对于初次认证或再认证审核，认证决定人员应在发放证书前进行审查。

9.6. Maintaining certification 保持认证

9.6.1. GENERAL 总则

The requirements of ISO/IEC 17021-1:2015, § 9.6.1 shall apply.

适用ISO/IEC17021-1:2015第9.6.1条的要求。

9.6.2. SURVEILLANCE ACTIVITIES 监督活动

The requirements of ISO/IEC 17021-1:2015, § 9.6.2 shall apply.

适用ISO/IEC17021-1:2015第9.6.2条的要求。

9.6.2.1. SURVEILLANCE AUDIT 监督审核

The requirements of ISO/IEC 17021-1:2015, § 9.6.2.2 shall apply.

适用ISO/IEC17021-1:2015第9.6.2条的要求。

Frequency of the surveillance audits: 监督审核的频率：

a. 1st Surveillance Audit: within twelve (12) months after the end date of the Initial Certification Audit.

a. 第一次监督审核：须在初次认证审核结束后12个月内进行。

b. 2nd Surveillance Audit: approximately twenty-four (24) months after the end date of the Initial Certification Audit.

b. 第二次监督审核：须在初次认证审核结束后约24个月内进行。

The Certification Body shall report to FAMI-QS Secretariat the annual surveillance activities (Company name, site, Auditor(s), audit dates).

认证机构应向FAMI-QS秘书处报告年度监督活动(包括企业名称、地址、审核员、审核日期)。

9.6.3. RECERTIFICATION 再认证

The requirements of ISO/IEC 17021-1:2011, § 9.6.3 shall apply, with the following modifications.

适用ISO/IEC17021-1:2015第9.6.3条的要求，并作如下调整。

The Certification Body shall conduct a recertification audit at least thirty (30) days prior to the expiry date of the certificate to allow time for the certification decision prior to the expiry of the certificate.

认证机构需在证书到期前至少30天进行再认证审核，以便在证书到期前做出认证决定。

A failure to perform the re-certification audit before the expiration of the certificate results in the interruption of the certification cycle. In this case, the wording “certified since” cannot be included on the certificate.

若未能在证书到期前完成再认证审核，将导致认证周期中断。在此情况下，证书上不得包含“自.....起认证”的表述。

If a re-certification is conducted within six (6) months after the expiry of a certificate, at least a Stage 2 shall be conducted.

If the certification expiry is more than six (6) months, a Stage 1 and Stage 2 shall be conducted to restore the certification.

若在证书到期后6个月内进行再认证，至少需进行第二阶段审核。若证书到期超过6个月，则需重新进行第一阶段和第二阶段审核，方可恢复认证。

9.6.4. SPECIAL AUDITS 特殊审核

The requirements of ISO/IEC 17021-1:2015, § 9.6.4.1 shall apply.

适用ISO/IEC17021-1:2015第9.6.4.1条的要求。

Special audits can be conducted remotely only if the objectives of the audit can be achieved in a fully remote setting. Where remote special audits are conducted, they shall be conducted in accordance with the requirements in this document and the requirements of *IAF MD 4-IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes*. The justification for using a remote audit shall be recorded by the Certification Body.

只有在完全远程设置下也能实现审核目标时，特殊审核才能远程进行。当进行远程特殊审核时，应按照本文件的要求和 IAF MD 4-IAF强制性文件《为审核/评估目的使用信息通信技术》的要求进行。认证机构应记录使用远程审核的理由。

9.6.4.1. EXTENSION TO THE SCOPE 扩大认证范围

The requirements of ISO/IEC 17021-1:2015, § 9.6.4.1 shall apply.

适用ISO/IEC17021-1:2015第9.6.4.1条的要求。

In response to an application for the extension of the scope of a certification that has already been granted, the Certification Body shall undertake a review of the application and determine any audit activities that may be deemed necessary to decide whether the extension may be granted. This may be conducted in conjunction with a surveillance or recertification audit.

对于扩大已授予认证范围的申请，认证机构应进行申请评审，并确定任何可能认为必要的审核活动，以决定是否可以批准扩展。这可以与监督审核或再认证审核结合进行。

9.6.4.2. SHORT-NOTICE AUDITS 提前较短时间通知审核

The requirements of ISO/IEC 17021-1:2015, § 9.6.4.2, shall apply.

适用ISO/IEC17021-1:2015第9.6.4.2条的要求。

The conditions for the provision of short notice audits shall be agreed between the Certification Body and the FAMI-QS Certified Operator and shall be part of the certification agreement.

提供较短时间通知审核的条件应由认证机构和FAMI-QS获证经营者商定，并成为认证协议的一部分。

It might be necessary for the Certification Body to conduct an audit of a FAMI-QS Certified Operator at short notice (up to seventy-two (72) hours' notice) to:

认证机构可能有必要在短时间通知（最多提前七十二(72)小时）下对FAMI-QS获证经营者进行审核，以便：

- **investigate a complaint, or 调查投诉或**
- **in response to a feed safety incident or crisis at the Operator's site or 应对经营者场所发生的饲料安全事件或危机，或**
- **as a follow-up on suspended certificate(s). 跟进已暂停证书的后续处理。**

In such cases:在这种情况下：

a. The Certification Body shall inform the FAMI-QS Certified Operator(s) in advance and describe the conditions under which this/these short-notice visit(s) will be conducted.

a. 认证机构应提前通知 FAMI-QS 获证经营者，并说明进行提前较短时间通知审核的实施方式及相关要求。

b. The Certification Body shall notify FAMI-QS the result of the audit.

b. 认证机构应将审核结果通知 FAMI-QS。

In case of an incident, the P-CM-01 *Feed Incident Management Procedure for Operators and Certification Bodies* current version shall be applied. A short-notice audit could be initiated upon FAMI-QS request. The cost of the audits will be covered by the FAMI-QS Certified Operator.

如果发生事件，应应用当前版本的P-CM-01《经营者和认证机构的饲料事件管理程序》。FAMI-QS的要求可能触发提前较短时间通知审核。审核费用将由FAMI-QS获证经营者承担。

9.6.4.3. UNANNOUNCED AUDITS 不通知审核

Certification Bodies shall include an unannounced audit in their audit program for each FAMI-QS Certified Operator. The unannounced audits are applicable to both producers and traders. Participation in the unannounced audit program is mandatory.

认证机构应在其内部审核方案中，为每家FAMI-QS认证经营者安排一次不通知审核。该审核适用于生产商及贸易商，且经营者必须参与。

Frequency: once per certification cycle.

频率：每个认证周期一次。

Duration: 0.5 man-days minimum. The unannounced audits can be done by any approved Feed/ Food Auditor.

持续时间：至少0.5个工作日。不通知审核可以由任何已批准的饲料/食品审核员执行。

Notification to the FAMI-QS Certified Operator: No notice in advance. The Certification Body shall ensure the FAMI-QS Certified Operator takes the necessary steps for granting access to the auditor in such events.

通知FAMI-QS认证经营者：无需提前通知。认证机构应确保经营者在不通知审核期间采取必要措施，以允许审核员进入并开展审核。

Restrictions on scheduling unannounced audits: Unannounced audits shall not be:

不通知审核的时间安排限制：不通知审核不得：

- **in the first 6 months or the last six months of the certification cycle** 安排在认证周期的前6个月或最后6个月内，
- **adjacent to a surveillance audit.** 与监督审核相邻。

Note: Operators should follow a similar procedure as for unannounced audits performed by the authorities.

注：经营者应按照监管机构突击审核的类似程序执行。

The conditions for the provision of the unannounced audits shall be agreed on between the Certification Body and the FAMI-QS Certified Operator and shall be part of the contract. The contract shall include that a minimum of one (1) unannounced audit is undertaken after the initial certification audit and within each 3-year period thereafter as an additional audit, on top of surveillance audits.

不通知审核的具体条件应由认证机构与FAMI-QS认证经营者协商确定，并作为合同的一部分。合同中须明确规定：初次认证审核后及每3年认证周期内，至少进行一次不通知审核，该审核为额外审核，不包括在监督审核内。

FAMI-QS Certified Operators shall inform the Certification Body regarding any scheduled maintenance closure of the company.

FAMI-QS认证经营者应向认证机构通报任何计划中的维护关闭信息。

1) Topics covered during an unannounced audit for production activity

1) 生产活动的不通知审核涵盖的主题

The auditor should cover all or a combination of the below areas: 审核员应覆盖以下全部或部分领域：

- **Monitoring of CCP; 关键控制点(CCP)监控；**
- **Outsourced processes and evaluations of suppliers; 外包过程及供应商评估；**
- **Inspection of the premises (internal – external); 场所检查(内部-外部)；**
- **Observation if the employees perform their tasks according to the written procedure; 观察员工是否按照书面程序执行任务；**
- **Crisis Management. 危机管理。**

2) Topics covered during an unannounced audit for trading activity

2) 贸易活动的不通知审核涵盖的主题

The auditor should cover all or a combination of the below areas: 审核员应覆盖以下全部或部分领域:

- **Suppliers' evaluation;** 供应商评估;
- **Purchase orders and specs;** 采购订单和规格;
- **Certificates of analysis (shall be checked per purchase order);** 分析证书 (应按每个采购订单检查);
- **Traceability;** 可追溯性;
- **Crisis management.** 危机管理。

If the FAMI-QS Certified Operator refuses to participate in the unannounced audit, as defined in the contract between the Certification Body and the FAMI-QS Certified Operator, the certificate shall be suspended immediately, and the Certification Body shall withdraw the certificate, if the unannounced audit is not conducted within a six-month timeframe.

如果认证经营者拒绝参与不通知审核(即违反认证机构与FAMI-QS经营者所签订的合同)其证书将立即被暂停。如果在六个月内未完成不通知审核, 认证机构应撤销其证书。

For Integrated Management Systems both for Feed and Food (FAMI-QS/FSSC 22000), the unannounced audit performed for FSSC 22000 could be also considered for FAMI-QS, if common topics have been checked and the food/feed chain category (D, K, FI or FII) is the same. In this case, the auditor shall also be a FAMI-QS approved auditor for the same food/feed chain category. The FAMI-QS and FSSC 22000 certificates shall be issued by the same Certification Body and for the same food/feed chain category.

对于饲料和食品的一体化管理体系(FAMI-QS/FSSC 22000), 若FSSC 22000不通知审核涵盖相同的检查主题, 并适用于相同的饲料/食品链类别(D、K、FI、FII), 则该审核可被视为FAMI-QS的不通知审核。在此情况下, 审核员必须为同一饲料/食品链类别的FAMI-QS批准的审核员。FAMI-QS与FSSC22000认证证书必须由同一认证机构颁发, 并适用于相同的饲料/食品链类别。

9.6.5. SUSPENDING, WITHDRAWING OR REDUCING THE SCOPE OF CERTIFICATION 暂停、撤销或缩小认证范围

The suspension or the withdrawal of a certificate remains the responsibility of the Certification Body.

暂停或撤销证书仍是认证机构的责任。

Once a withdrawal is confirmed, the certification body shall immediately inform FAMI-QS ASBL Secretariat, about the status change, the reason of withdrawal and submit the certificate under “withdrawn” status. The certificate remains visible on FAMI-QS website as withdrawn. Automatically, a notification is sent to the members that have subscribed to receive the status changes.

一旦确认撤销, 认证机构应立即将状态变更、撤销原因通知FAMI-QS ASBL秘书处, 并将证书提交为“已撤销”状态。证书将在FAMI-QS网站上保持可见, 状态为已撤销。自动向已订阅接收状态变更的成员发送通知。

With regards to the suspended status, the certification body shall make FAMI-QS immediately aware of the suspension of the certificate and the reason of the suspension. Also in this case, the certificate remains visible on FAMI-QS website as suspended, and a notification is sent to the subscribed members.

关于暂停状态, 认证机构应立即让 FAMI-QS 了解证书的暂停及暂停原因。同样在这种情况下, 证书在 FAMI-QS 网站上保持可见, 状态为暂停, 并向订阅成员发送通知。

The maximum period of the suspension cannot exceed three months. Following that period, if appropriate actions have not been taken by the operator, the Operator's certificate will be withdrawn by the Certification Body. At a minimum, a Stage 2 shall be conducted if the feed business Operator wishes to restore its FAMI-QS certificate.

暂停的最长期限不能超过三个月。在此期限之后, 如果经营者未采取适当行动, 认证机构将撤销经营者的证书。如果饲料业务经营者希望恢复其FAMI-QS证书, 至少应进行第二阶段审核。

9.7. Complaints 投诉

The requirements of ISO/IEC 17021-1:2015, § 9.8 shall apply.

适用ISO/IEC17021-1:2015第9.8条的要求。

9.8. Client records 客户记录

The requirements of ISO/IEC 17021-1:2015, § 9.9 shall apply.
适用ISO/IEC17021-1:2015第9.9条的要求。

10. MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES 认证机构管理体系的要求

The requirements of ISO/IEC 17021-1:2015, § 10 shall apply.
适用ISO/IEC17021-1:2015第10条的要求。

11. ADDITIONAL APPLICABLE PROCEDURES 附加的适用程序

11.1. Extraordinary Events or Circumstances 特殊事件或情况

IAF ID 3:2011 Informative Document for Management of Extraordinary Events or Circumstances affecting Accreditation Bodies, Certification Bodies and Certified Operators should be considered.

应参照IAF ID3:2011《关于影响认可机构、认证机构和认证经营者的特殊事件或情况的管理信息文件》。

Certification Body shall inform FAMI-QS about the extraordinary events or circumstances where a FAMI-QS Operator may be involved and when scheduled surveillance audits or recertification cannot be conducted.

认证机构应向FAMI-QS报告可能涉及FAMI-QS经营者的特殊事件或情况，以及无法按计划进行监督审核或再认证的情况。

11.2. Surveillance Programme 监督方案

All FAMI-QS authorized Certification Bodies may undergo an assessment additional to the accreditation, as defined in *P-SP-01 Surveillance Programme*. The results of the FAMI-QS surveillance programme audit will always be communicated to the Accreditation Body related to the Certification Body.

所有FAMI-QS授权的认证机构可能需要接受除认可外的额外评估，具体内容请参见《P-SP-01监督方案》。FAMI-QS监督方案审核的结果将始终传达给与认证机构相关的认可机构。

11.3. Certification Instructions 认证指令

In an event that Certification Bodies are required to take certain actions that are not described in the current Rules, the FAMI-QS Scheme Management Director will issue Certification Instructions. FAMI-QS will define all the actions that need to be implemented by the Certification Body.

若认证机构需采取当前规则未描述的某些行动，FAMI-QS方案管理总监将发布认证指令，并明确认证机构需要执行的所有相关措施。

The following events (non-exhaustive list) might trigger the issuing of a Certification Instruction:
以下事件(非穷尽列表)可能触发认证指令的发布：

- Changes in legislation. 立法变更。

- **Changes in international standards.** 国家标准变更。
- **Lessons learned following an incident or a crisis.** 事件或危机后的经验教训。
- **Results of the Surveillance Programme.** 监督方案结果。
- **A need for a specific interpretation of the FAMI-QS Code or the Rules for Operators and/or the Rules for Certification Bodies.** 对《FAMI-QS操作规范》或《经营者规则》和/或《认证机构规则》的特定解释需求。