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## Procedure 程序

Approving, Maintaining,  
Changing, Suspension, Withdrawal,  
Termination and Refusing  
Certification

批准、保持、变更、暂停、撤销、终  
止及拒绝认证的程序



China

# Approving, Maintaining, Changing, Suspension, Withdrawal, Termination and Refusing Certification

## 批准、保持、变更、暂停、撤销、 终止及拒绝认证的程序



China

创享价值  
激发信任

**Add value.  
Inspire trust.**

TÜV SÜD Certification and Testing (China) Co., Ltd.

南德认证检测（中国）有限公司

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### Establishment and History of Changes 文件生效及修改记录

Rev No. 版本号	Page Affected 修改页码	Effective Date 生效日期	Reasons / Contents 原因 / 内容	Prepared by 编制	Reviewed by 审核	Approved by 批准
00	--	2018-08-01	Establishment of Document 文件生效	Li Tao	Andreas Horn	Dirk von Wahl
01	Whole document	2018-11-27	Add the contents about withdrawal 增加撤销的相关内容	Yu Lingfang	Andreas Horn, Li Tao	Li Tao
02	Whole document 全文档	2019-01-18	Change the contents related to organization chart modification 更改了与组织结构图变更相关的内容	Yu, Lingfang	Li Tao, Andreas Horn	Li Tao
03	5, 11	2019-01-31	GCN_CCB_F_10.01 Release of a Certificate by the Technical Certifier replaced ITC_F_10.02CS Release of a Certificate by the Technical Certifier GCN_CCB_F_10.01 复核及认证决定表代替了ITC_F_10.02CS_复核及认证决定表	Yu, Lingfang	Li Tao, Andreas Horn	Li Tao
04	Whole document 全文档	2019-7-16	Changed the logo in first page and header. Changed company information in footer. Added responsibility for the content of this procedure. Replaced certification expert with CBW expert 更改了首页和页眉的logo, 更改了页脚的公司名称, 增加了对本程序内容的负责人, 更新出证文员的英文表述	Zhang, He	Li Tao, Andreas Horn	Li Tao
05	5, 6, 11	2019-12-03	Added requirements related to information reported to CNCA and/or CNAS 增加了与CNCA和/或CNAS信息上报相关的要求	Zhou Jianfang	Li Tao, Andreas Horn	Li Tao
06	Whole document 全文档	2021-08-02	Added description and requirements for additional requirements in a specific scheme, updated Chinese translation of "Technical Certifier", updated relevant clauses to meet all schemes covered by CRT-CHN 增加特定认证方案特殊要求时的描述, 将Technical Certifier的中文翻译由“授权技术签字人”变为“技术签证官”, 修改相应章节使其适用于认证部门所有认证方案	Zhang He	Wang Liwei	Wang Liwei

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## 1. Purpose 目的

This procedure defines management requirements for approving, maintaining, changing, suspending, withdrawing, terminating and refusing certification.  
 本程序规定了批准、保持、变更、暂停、撤销、终止及拒绝认证的管理要求。

## 2. Scope 范围

This procedure is applicable to certification activities related to the certification schemes under CRT-CHN.

本程序适用于由认证部门相关认证方案的认证活动。

Note: If there are additional requirements in the scheme procedure of a specific scheme, these requirements shall be fulfilled in parallel.

注：当特定认证方案的操作程序有额外要求，也需要被满足。

## 3. Definition 定义

Certification project: basing on customers' application for certification, a complete process which finishes all certification activities and forms an output according to certification scheme.

认证项目：按照客户的认证申请要求，根据认证方案完成认证活动的各个环节并形成输出的完整过程。

Technical certifier: possess the technical knowledge and appropriate qualification to make a certification review and certification decision on the results of the evaluation activities.

技术签证官：具备技术知识和适当的资格，以对评价活动的结果做出认证复核和认证决定的人员。

CRT-CHN: China Certification Body in TÜV SÜD Group, an independent and defined part of TÜV SÜD Certification and Testing (China) Co., Ltd. and all its branch offices (hereafter as "TÜV SÜD(China)") which has been authorized by the top management to lead certification related activities covered by CRT-CHN

认证部门：TÜV南德意志集团中国认证机构，南德认证检测(中国)有限公司及分公司独立且明确界定的一部分，被最高管理层授权管理旗下所有相关的认证活动。

CBW expert: Administrative staff in CRT-CHN for formal review and releasing certificate in CBW system and management for records of certification activities.

出证文员：认证部门的行政人员，负责证书系统发放前的形式检查及认证活动记录的管理。

## 4. Responsibility 职责

The technical certifier or the head of CRT CHN is responsible for making decision of approving, maintaining, suspending, withdrawing, terminating for refusing certification.

技术签证官或认证部门负责人负责做出有关批准、保持、变更、暂停、撤销、终止或拒绝认证的决定。

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Personnel who provide explanation and communicate with customer can be CBW expert, technical certifier or head of CRT-CHN.

向客户提供解释和沟通的人员可以是业务部门客服代表、出证文员、技术签证官或认证部门负责人等。

The head of CRT CHN is responsible for the content of this procedure.

认证部门负责人对该程序的内容负责。

## 5. Procedure 程序

### 5.1 General 总则

As a part of certification contract, requirements of “Testing and Certification Regulations” of TÜV SÜD Group and relevant Terms and Conditions are applicable and shall be complied with.

作为认证合同的一部分，TÜV南德意志集团的《测试及认证准则》和相应的条款及条件中的相关要求适用并应得到遵守。

If applicable, certification information related to approving, maintaining, changing, suspension, withdrawal, termination and refusing shall be reported to the relevant stakeholders, including but not limited to:

若适用，与批准、保持、变更、暂停、撤销、终止及拒绝有关的认证信息需依照认证方案的相关要求上报给利益相关方，包括但不限于：

- Administrative authority: Certification and Accreditation Administration of the PRC (hereafter as CNCA) and/or  
监管机构：中国国家认证认可监督管理委员会（以下简称CNCA）和或
- Accreditation body (if required), e.g. CNAS(according to CNAS-RC03), or IOAS;  
认可机构（若要求），例如：CNAS（参考CNAS RC03），IOAS；
- Scheme owner (if required), e.g. Textile Exchange.  
认证方案所有者（若要求），例如：纺织贸易促进会；
- etc.  
等等

### 5.2 Approve Certification 批准认证

If authorized scope of technical certifier covers the certification project, when the technical certifier considers that to-be certified products meet certification requirements after reviewing evaluation results, the technical certifier can make the certification decision.当技术签证官的授权领域可以完全覆盖认证项目涉及的所有技术领域时，技术签证官完成复核确认申请认证的产品满足了认证要求，做出认证决定。

When several technical certifiers review evaluation results of the leading technical certifier shall integrate the information and record result of review and make certification decision.

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由多位技术签证官对评价结果进行复核时，由主导技术签证官整合后，记录复核和认证决定结果。详见《复核及认证决定程序》(GCN\_CCB\_P\_10ECS)

### 5.3 Maintain Certification 认证的保持

Certification keeps valid if following requirements are met:

在满足下列要求的基础上，认证保持有效：

- Customer continues to fulfill responsibility and obligation defined in signed contract  
客户持续履行所签署的认证合同中约定的责任和义务；
- Certified organization and product continue to meet requirements of certification scheme and certification rules  
获证组织和产品持续满足认证方案和认证规则的要求；
- Production facility passes periodical surveillance which is required by certification scheme  
生产场地通过认证方案要求的定期监督。

When conformity of above requirements is doubted due to certain causes (such as customers' feedback, information from supervision organization, change of requirement from certification scheme), TÜV SÜD(China) shall take corresponding actions to verify, including but not limited to

当由于某种原因导致对上述要求的符合性产生怀疑时（例如，消费者的反馈，来自监管机构的信息，认证方案要求的变化等），南德（中国）应采取相应的措施进行验证，包括但不限于：

- Checking with customer  
与客户进行核实；
- Picking up sample from production facility or market for re-testing  
通过工厂或市场获取样品并再次检测；
- Additional factory inspection/audit and etc.  
对工厂进行额外检查/审核等。

TÜV SÜD(China) determines whether certification is valid or not according to results of above actions, other actions such as suspending or withdrawing certificate (clause 5.6, 5.7) may also be taken. Decision is made by technical certifier or the head of CRT-CHN.

南德（中国）根据上述措施的结果决定认证是否保持有效，或需要采取其他措施，例如暂停或撤销认证证书（见5.6、5.7）。决定应由技术签证官或认证部门负责人做出。

### 5.4 Changes Affecting Certification 影响认证的变更

#### 5.4.1 Changes caused by modification of certification scheme 由认证方案变化导致的变更

When certification scheme has new or revised requirements which affect customer's certification (For example, the standards are updated with new version), TÜV SÜD(China) shall inform customer and CNAS of these changes and actions which customer shall take to keep validity of certificate by following measures:



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当认证方案有对客户的认证产生影响的新的或修订的要求时（例如标准版本更新），南德（中国）应通过下列措施将这些变更以及客户为保持认证有效性需采取的措施通知到所有客户以及CNAS：

- posting announcement on the company website  
在公司网站发布公告；
- Informs by E-mail or letter  
通过电子邮件、信函的方式通知。

TÜV SÜD(China) shall supervise and verify customer's change actions. If it is confirmed that customer can't finish these change actions according to requirements or ensure these change actions meet the certification requirements within specified period, technical certifier or the head of CRT-CHN shall make decision to suspend certificate.

南德（中国）应对客户是否实施这些变更进行监督和验证。如果确认客户未能在规定期限内按要求实施变更并确保满足认证要求，应由技术签证官或认证部门负责人做出暂停认证证书的决定。

#### 5.4.2 Changes Caused by Customer 由客户引起的变更

According to certification contract , customers shall inform TÜV SÜD(China) of changes may affect the certification due to themselves'. After receiving information about changes, technical certifier shall review the information and take appropriate measures.

根据认证合同要求，客户应将由其引起的对认证有影响的变更及时通知南德（中国）。获得这些变更的信息后，应由技术签证官按下面要求确定并采取适宜的措施。

#### 5.4.3 Actions Due to Changes因变更采取的措施

Actions which are taken may include evaluation, review, certification decision, expanding or reducing certification scope and issuing new certificate. Technical certifier shall decide actions which shall be taken and keep records. While taking these actions, it shall meet requirements of procedure "Evaluation" (GCN\_CCB\_P\_09ECS), "Review and Decision" (GCN\_CCB\_P\_10ECS), Clause 5.4 of procedure "Management of Certificate" (GCN\_CCB\_P\_12ECS) and Clause 5.2, 5.5 of this procedure.

采取的措施可能包括评价、复核、认证决定、扩大或缩小认证范围并颁发新的认证证书。应由技术签证官确定需采取的措施并保留记录。执行这些措施时，应满足《评价程序》（GCN\_CCB\_P\_09ECS）、《复核和认证决定程序》（GCN\_CCB\_P\_10ECS）、《认证证书管理程序》（GCN\_CCB\_P\_12ECS）第5.4条以及本程序第5.2、5.5条的要求。

Below table lists the most frequent change and corresponding measures 本表列举了常见的变更以及相应的措施：

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	Change registration in system系统更新客户信息	FST-inspection 工厂监督	Re testing 重新检查	Manufacturer Declaration 制造商申明	Revised certificates 更新证书
Change of the certificate holder in legal terms 持证者变更的官方证明 <sup>1)</sup>	Y	N	N	N	V
Change of holder's address due to renaming of street 由于路名变更引起的持证者地址变更	Y	N	N	N	V
Change of the certificate holder 持证者变更	Y	N	N	N	Y
Change of certificate holder's address due to move 由于搬迁引起的持证者地址变更	Y	N	N	N	V
FST change of address due to renaming of street 由于路名变更引起的生产厂地址变更	Y	N	N	N	N
FST change of address due to move 由于搬迁引起的生产厂地址变更	Y	Y	N	N	N
Change or expiry of the standards 标准过期或者变更	N	N	Y	N	Y
Change of the product parameters (technical data) 产品参数变化 (技术数据)	N	N	Y	N	Y
additional product 新增产品	N	N	Y	N	Y
new model description for same core product 相同产品的不同型号表现形式	N	N	N	Y	Y
FST change (additional FST or replacement) 生产厂变更 (新增或替代)	N	Y	N	N	Y
Abbreviation definition 缩写的定义:					
Y: Required 需要; N: Not required 不需要; V: Voluntary 自愿					
Note: <sup>1)</sup> : official assurance about the update by the authority shall be provided 关于变更的官方证明					

## 5.5 Expanding or Reducing Certification Scope 扩大或缩小认证范围

### 5.5.1 Expand Certification Scope 扩大认证范围

Within validity period of certification, customer can apply to expand certification scope. Technical certifier shall follow procedure "Application Review" (GCN\_CCB\_P\_08) to review application.

在认证有效期内，客户可以申请扩大认证范围。技术签证官应按照《认证申请评审程序》(GCN\_CCB\_P\_08) 对扩大认证范围的申请进行评审。

If customer's application is accepted, TÜV SÜD(China) shall follow relevant procedures to conduct evaluation, review and make decision. If approve expand certification scope, TÜV SÜD(China) shall issue new certificate to the customer, terminate the replaced certificate and change the published certification information.

如客户申请被接受，南德（中国）应按相关程序的要求开展评价、复核并做出认证决定。如果批准认证范围扩大，南德（中国）应向客户颁发新的认证证书，终止被替换的认证证书，并对公布的认证信息做出相应的更改。



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### 5.5.2 Reduce Certification Scope 缩小认证范围

Customer can apply to reduce certification scope. Technical certifier shall follow procedure “Application Review” (GCN\_CCB\_P\_08) to review application.

客户可以申请缩小认证范围。技术签证官应按照《认证申请评审程序》(GCN\_CCB\_P\_08) 对缩小认证范围的申请进行评审。

If customer's application is accepted, TÜV SÜD(China) shall follow relevant procedures to conduct evaluation, review and make decision. If approve reduce the certification scope, TÜV SÜD(China) shall issue new certificate to the customer, terminate the replaced original certificate and change the published certification information.

如客户申请被接受，南德（中国）应按相关程序的要求开展评价、复核并做出认证决定。如果决定批准认证，南德（中国）应向客户颁发新的认证证书，终止被替换的旧认证证书，并对公布的认证信息做出相应的更改。

## 5.6 Suspension Certification 认证的暂停

TÜV SÜD(China) shall suspend certificate when following situations happen:

当发生以下情形时，南德（中国）应按照认证规则规定的期限暂停认证证书：

- customer applies to suspend certificate  
客户申请暂停；
- when requirements of certification scheme change, customer can not complete modification to meet certification requirements within specified period  
认证方案要求发生变更，客户未能在规定期限内按要求完成变更并满足认证要求；
- TÜV SÜD(China) finds many nonconformities during inspection on production facility, which causes doubt about customer's ability of quality assurance  
对生产场地的检查发现较多不符合，从而导致对其质量保证能力产生怀疑；
- supervision or results of other activities prove that certified organization and product can not continue to meet certification requirements.  
监督或其他活动结果证实获证组织和产品不能持续满足认证要求；
- customer violates clauses of certification contract;  
客户违反了认证合同中的相关条款；
- Situations stated on „Testing and Certification Regulations“ or relevant Terms and Conditions under which TÜV SÜD(China) can suspend certificates.

《测试及认证准则》或相关条款及条件规定的南德（中国）可以暂停证书的情形。

It is technical certifier or the head of CRT-CHN who make decision to suspend certification. CBW expert shall inform the customer about suspending certification in writing. This writing information shall include following:

暂停认证的决定由技术签证官或认证部门负责人作出。出证文员书面通知客户关于暂停认证证书的决定。书面通知应包括以下信息：

- the suspended certificate number and project number

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被暂停的认证证书编号和项目编号；

- reasons for suspending certification

做出暂停认证决定的理由；

- suspending period

暂停的期限；

- obligations which customer shall fulfill during suspending period, for example: customer can not use certificate, product's advertisement can not be related to certification.

客户在认证暂停期内应遵守的义务，例如不能继续使用认证证书，不能进行产品获得认证的宣传等；

- actions which need to be taken for ending suspending and restoring certification, and consequences if relevant actions have not been taken during suspending period

为结束暂停和恢复认证，客户需要采取的措施，以及如果客户未能在暂停期内采取这些措施可能导致的后果；

- contact information if customer needs further explanation

如客户需要进一步解释的联系信息；

Personnel who provide explanation and communicate with customer can be customer service representative in business line, CBW expert, technical certifier or the head of CRT-CHN, etc..

向客户提供解释和沟通的人员可以是业务部门客服代表、出证文员、技术签证官或认证部门负责人等。

CBW expert shall make corresponding modifications to published information to prevent any information refer to relevant product is still certified.

出证文员应对公布的信息做相应的更改，以防有信息显示相关产品仍持续获得认证。

If relevant actions have been taken and meet requirements during suspending period, technical certifier or the head of CRT-CHN can make decision to reinstate certification. CBW expert shall inform the customer about resuming certification in writing and modify relevant published information.

如果客户在暂停期限内采取了相关措施并满足要求，应由技术签证官或认证部门负责人作出恢复认证的决定，由出证文员书面通知客户关于恢复认证证书的决定并对公布的信息进行更改。

If customer reduces certification scope for reinstating certification, shall follow requirements of Clause 5.5.2.

如果客户为恢复认证而申请缩小认证范围，应按5.5.2条的要求执行。

If customer can't successfully take actions to resume certification during suspending period, certification shall be withdrawn according to Clause 5.7

如果客户未能在暂停期限内完成恢复认证所必需的措施，按5.7条的要求撤销认证。

## 5.7 Withdrawal Certification 认证的撤销

TÜV SÜD(China) shall withdraw certificate, when one of following situations happen:

当发生以下情形之一时，南德（中国）应撤销认证证书：

- customer can't successfully take actions to resume certification during suspending period;

客户未能在暂停期限内按要求完成恢复认证所必需的措施；

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- certificate has expired and customer does not apply for extending validity;  
认证证书有效期满，客户未申请延续；
- main certificate which the co-certificate bases on is invalid;  
副证书基于的主证书处于失效状态；
- TÜV SÜD(China) finds serious nonconformities during inspection on production facility;  
对生产场地的检查发现严重不符合；
- customer violates clauses of certification contract and leads to serious consequences;  
客户违反了认证合同中的相关条款并导致严重后果；
- Situations stated on „Testing and Certification Regulations“ which TÜV SÜD(China) can withdraw certificates.

《测试及认证准则》规定的南德（中国）可以撤销证书的情形。

It is technical certifier or the head of CRT-CHN who make decision to withdraw certification. CBW expert shall inform the customer about withdrawing certification in writing. This writing information shall include following:

撤销认证的决定由技术签证官或认证部门负责人做出。出证文员书面通知客户关于撤销认证证书的决定。书面通知应包括以下信息：

- the withdrawn certificate number and information of certified product  
被撤销的认证证书编号及获证产品的相关信息；
- reasons for withdrawing certificate  
做出撤销认证决定的理由；
- inform customer of returning certificate to TÜV SÜD(China), stop using certificate and certification mark, and stop advertisement related to certification  
告知客户应向南德（中国）交回认证证书，停止使用认证证书和认证标志，并停止产品获得了认证的宣传；
- contact information if customer needs further explanation  
客户需要进一步解释的联系人及联系信息；

Personnel who provide explanation and communicate with customer can be CBW expert, technical certifier or head of CRT-CHN etc.

向客户提供解释和沟通的人员可以是业务部门客服代表、出证文员、技术签证官或认证部门负责人等。

CBW expert shall make corresponding modifications to published information to prevent any information refer to relevant product is still certified.

出证文员应对公布的信息做相应的更改，以确保没有任何信息显示相关产品仍持续获得认证。

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## 5.8 Termination Certification 认证的终止

TÜV SÜD(China) shall terminate certificate when one of following situations happens:

当发生以下情形之一时，南德（中国）应终止认证证书：

- customer applies for cancellation certificate

客户申请终止

CBW expert shall make corresponding modifications to published information to prevent any information refer to relevant product is still certified

出证文员应对公布的信息做相应的更改，以确保没有任何信息显示相关产品仍持续获得认证。

## 5.9 Refuse Certification 拒绝认证

TÜV SÜD(China) shall refuse certification and close certification project when one of following situations happens:

当发生以下情形之一时，南德（中国）应做出拒绝认证的决定并关闭认证项目：

- Customer decides to terminate certification before TÜV SÜD(China) making certification decision

在南德（中国）做出认证决定之前的任何时刻，客户决定中止认证过程；

- During evaluation nonconformity is spotted and customer can not hand in additional samples and/or documents for further evaluation within specified period (including proof documents for corrective actions during factory inspection);

评价过程中发现不符合后，客户未能在规定的期限内提交为进行附加评价所需的样品和/或文件（包括有要求时针对工厂检查所发现不符合的纠正措施证明资料）；

- During factory inspection critical nonconformities related to production facility's quality management are spotted, product's continuing conformity can not be guaranteed.

工厂检查发现生产场地质量管理存在系统性的严重不符合，无法保证所生产的产品持续符合认证要求。

TÜV SÜD(China) will inform the customer of the results and reasons of rejection.

南德（中国）将告知客户拒绝认证的理由及结果。

## 6. Records 记录

Records of decisions that TÜV SÜD(China) makes for approving, changing, suspending, withdrawing, cancelling or refusing certification shall be kept with certification project documents.

南德（中国）所做出的有关批准、变更、暂停、撤销、注销或拒绝认证的决定的记录应随认证项目文件保存。


## 7. Relevant Documents 相关文件

GCN\_CCB\_P\_09ECS

[Evaluation评价程序](#)

GCN\_CCB\_P\_12ECS

[Management of Certificate认证证书管理程序](#)

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PZO	<a href="#">Testing and Certification Regulation 测试及认证准则</a>
CNAS-RC03	<a href="#">Rule of Information Reported by Certification Body 认证机构信息通报规则</a>