

	深圳诺测检测技术有限公司 Shenzhen NCT Testing Technology Co.,Ltd.	File No. /文件编号	NCT-CI-016
	<b>Certification Granting, Maintenance, Renewal, Expanding and Reduction</b> 认证授予、保持、更新、扩大和缩小	Ed./ Rev. /版本/修订号	A/00
		Effective date /生效日期	2025.01.16
		Page /页码	Page 1 of 8

## CONTENTS 目录

- 1 Purpose 目的
  - 2 Scope 适用范围
  - 3 Authorization 权限
  - 4 Process 流程
  - 5 Related Procedures, Forms & Templates 相关程序，表格和模板
  - 6 Related Specific Programs' Procedures, Forms & Templates 特定流程的相关程序，表格和模板
  - 7 References 参考标准
- ★ Revision History 修订历史

	<b>深圳诺测检测技术有限公司</b> <b>Shenzhen NCT Testing Technology Co.,Ltd.</b>	File No. /文件编号	NCT-CI-016
	<b>Certification Granting, Maintenance, Renewal, Expanding and Reduction</b> <b>认证授予、保持、更新、扩大和缩小</b>	Ed./ Rev. /版本/修订号	A/00
		Effective date /生效日期	2025.01.16
		Page /页码	Page 2 of 8

## 1 Purpose 目的

This procedure is formulated to regulate the granting, maintenance, renewal, expanding and reduction of all the certification scope of the recognized organization.

为规范认证授予、保持、更新、扩大和缩小获证组织的全部认证范围，特制定本程序。

## 2 Scope 适用范围

This document applies to all certification programs operated by NCT. Specific certification programs may include additional requirements as identified in section 6 of this procedure.

本文件适用于产品认证证书的授予、保持、更新、扩大和缩小认证的管理。

## 3 Authorization 权限

Review / Addition / Deletion: NCT Management, Certification Body and Quality Department

审查 / 增加 / 删除: 公司管理层，认证机构和质量部

Systems Implementation: NCT Management, Certification Body and Quality Department

体系的贯彻: 公司管理层，认证机构和质量部

## 4 Procedure 流程

### 4.1 Conditions and procedures for granting accreditation 授予认证资格的条件和程序

#### 4.1.1 Conditions for granting certification 授予认证资格的条件

a.The certification applicant is an organization with legal status or part of a larger organization

认证申请方是法律地位的组织，或是就有法律地位较大组织的一部分

b.Where there is a national or local or industrial requirement, the certification applicant shall have the prescribed qualifications

国家或地方或行业有要求时候，认证申请方具有规定的资质

c.The scope of the certification applicant shall be within the scope stipulated in the legal status documents and qualifications

认证申请方申请认证范围在法律地位文件和资质规定的范围内

d.The application information of the certification applicant are true, accurate and effective;

认证申请方的申请资料真实、准确、有效；

e.The certification applicant signs the certification contract with NCT, and promises to always abide by the relevant provisions of certification, and pay the certification fee in accordance with the provisions of the certification contract.

认证申请方与NCT签署认证合同，承诺始终遵守认证的有关规定，并按照认证合同规定缴纳认证费用。

f.The management system established and implemented by the certification applicant meets the requirements of certification standards

认证申请方建立和实施的管理体系符合认证标准的要求

#### 4.1.2 Procedures for granting accreditation 授予认证资格的程序

a. NCT provides public documents of certification-related information to certification applicants, which are known and understood by certification applicants;

NCT向认证申请方提供认证有关信息的公开文件，认证申请方已知悉并理解；

b.The certification application is submitted to NCT with the NCT-QPPC-4.1-01-F02 "Certification Application Form" and its related attachments.

	<b>深圳诺测检测技术有限公司</b> <b>Shenzhen NCT Testing Technology Co.,Ltd.</b>	File No. /文件编号	NCT-CI-016
	<b>Certification Granting, Maintenance, Renewal, Expanding and Reduction</b> <b>认证授予、保持、更新、扩大和缩小</b>	Ed./ Rev. /版本/修订号	A/00
		Effective date /生效日期	2025.01.16
		Page /页码	Page 3 of 8

认证申请方向NCT提交NCT-QPPC-4.1-01-F02《认证申请表》和相关附件。

c. The certification applicant signs certification and contract with NCT, and pays certification fee according to regulations.

认证申请方与NCT签署认证和合同，并按照规定缴纳认证费用。

d. The products applied for certification by the certification applicant meet the certification standards and are within the scope of certification.

认证申请方申请认证的产品符合认证标准，并在认证范围内。

e. The product certification applied by the certification applicant shall meet the certification standards and other necessary additional requirements through the audit team appointed by NCT. The non-conformities proposed in the non-conformity report shall be corrected and corrective measures shall be taken within the agreed time limit, which shall be verified to be effective. The audit team puts forward the conclusion of recommended certification.

认证申请方申请的产品认证，经过NCT委派的审核组审核符合认证标准和其他必要的额附加要求。在不符合报告中提出的不符合项在商定的额限期内采取纠正和纠正措施，并经验证有效。审核组提出推荐认证的结论意见。

f. According to the decision of NCT certification decision-maker, it is considered that the applicant has met the conditions for granting certification qualification within the scope of certification, and the certificate is issued with the approval of the authorized personnel of technical certification;

经过NCT认证决定人员决定，认为申请方在认证范围内已经满足授予认证资格的条件，经技认证书授权人批准，签发认证证书；

g. NCT issues certificates to the certification applicants and authorizes the use of certification marks.

NCT向认证申请方颁发认证证书，并授权使用认证标志。

## 4.2 Certification maintenance conditions and procedures 保持认证资格的条件和程序

### 4.2.1 Certification maintenance conditions 保持认证资格的条件

a. The legal status and qualifications of the certified organizations continue to meet the latest national requirements, and the scope of certification is within the scope of legal documents and qualifications

获证组织的法律地位、资质持续的符合国家的最新要求，认证范围在法律文件和资质的规定范围内

b. The management system of the certified organization continues to meet the requirements of certification standards;

获证组织的管理体系持续符合认证标准要求；

c. Failure of the certified organization to comply with relevant regulations during the certification period, including changes to regulations;

获证组织获证期间内未遵守有关的规定，包括变更的规定；

d. During the certification period, the certified organization did not have a major accident and failed the national inspection within the scope of certification;

获证组织于获证期间在认证范围内未发生重大事故和国家检查不合格；

e. The certified organization has not misused the certificate and certification mark during the certification period. If it occurs, it can take corrective and corrective actions in a timely and effective manner and minimize the impact of misuse.

获证组织在获证期间未发生误用认证证书和认证标志，如有发生能够及时有效的采取纠正和纠正措施，并将误用产生的影响降至最小程度。

f. The certified organization can handle major complaints and complaints from customers or interested parties in a timely and effective manner

获证组织对顾客或相关方的重大投诉和抱怨能及时有效地处理

g. The certified organization can notify the NCT of the management system and important process changes in accordance with the requirements of the NCT;

获证组织能够按照NCT要求向NCT通报管理体系和重要过程变更等信息；

h. The certified organization fulfills the responsibilities and obligations stipulated in the certification contract

Prepared By 编制: Boris Lin 林博谋

Approved By 批准: Billy Tu 涂志强

	<b>深圳诺测检测技术有限公司</b> <b>Shenzhen NCT Testing Technology Co.,Ltd.</b>	File No. /文件编号	NCT-CI-016
	<b>Certification Granting, Maintenance, Renewal, Expanding and Reduction</b> <b>认证授予、保持、更新、扩大和缩小</b>	Ed./ Rev. /版本/修订号	A/00
		Effective date /生效日期	2025.01.16
		Page /页码	Page 4 of 8

signed with NCT, and pays the certification fee according to the certification contract.

获证组织履行与NCT签署认证合同中规定的责任和义务，并按照认证合同缴纳认证费用。

#### 4.2.2 Certification maintenance procedures 保持认证资格的程序

a. The management system and important processes of the certified organization within the scope of certification have been confirmed by NCT to meet the certification mark and other additional requirements;

获证组织在认证范围内额的管理体系和重要过程等变更，经过NCT确认符合认证标志和其他附加的要求；

b. Within the specified validity period, the certified organization shall submit a re-evaluation application to the NCT before the validity period ends;

认证证书在规定的有效期内，获证组织在有效结束前向NCT提出复评申请；

c. Within the prescribed period, the certified organization accepts the NCT's supervision and audit, and believes that it can continue to meet the certification standards and other necessary additional requirements, and take corrective and corrective actions within the agreed period within the non-conformity reported in the non-conformity report And verified to be effective. The audit team made recommendations for maintaining certification.

在规定的期限内，获证组织接受NCT的监督审核，认为能持续符合认证标准和其他必要的附加要求，在不符合报告中提出的不符合已经在商定的额期限内采取纠正和纠正措施，并经验证有效。审核组提出保持认证资格建议。

d. In case of any change of certification requirements within the validity period of the certificate, the certified organization shall accept the change of certification requirements, and NCT shall verify that the management system within the certification scope meets the change requirements;

在认证证书有效期内如有认证要求变更，获证组织接受认证要求变更，并经NCT验证在认证范围内管理体系满足变更的要求；

e. The certification contract specifies the amount of the validity period. In addition to the terms of automatic extension, the certified organization shall resign or handle the extension certification contract with NCT before the end of the validity period of the certification contract;

认证合同规定了有效期的额，除有自动延期的条款外，获证组织在认证合同有效期结束前与NCT重新签署或办理延期认证合同；

f. In the case of a certificate renewal, the NCT certification decision team reviews the relevant materials and believes that the certified organization can meet the conditions for maintaining certification within the scope of certification, and the certification authority approves the renewal of the certificate and the continued use of the certificate.

需要换发证书情况下，经过NCT认证决定小组对相关材料进行审定，认为获证组织在认证范围内能满足保持认证资格条件，经认证证书授权人批准换发认证证书，批准继续使用证书。

g. In the case of supervision and audit, the certification decision team of the evaluation center shall review and approve the supervision and audit materials, and considering that the certified organization can meet the requirements for maintaining the certification qualification within the certification scope. The certification decision authorized personnel shall approve, issue the NCT-CI-016-F01 "Supervisory Audit Compliance Notice", and approve the continuous use of the certificate.

监督审核情况下，评审中心认证决定小组对监督审核材料进行审定，认为获证组织在认证范围内能满足保持认证资格的条件，认证决定授权人批准，发放NCT-CI-016-F01《监督审核合格通知书》，批准持续使用证书。

#### 4.3 Certification scope expansion conditions and procedures 扩大认证范围的条件和程序

##### 4.3.1 Certification scope expansion conditions 扩大认证范围的条件

a. Where there is a national or local or industrial requirement, the certified organization shall have the prescribed qualifications within the scope of the expanded certification

国家或地方或行业有要求时，获证组织在扩大认证范围内具有规定的资质

b. The certified organization applies for the extension of the scope of certification within the scope specified in the legal status documents and qualifications

获证组织在申请扩大认证范围在法律地位文件和资质规定的范围内

	<b>深圳诺测检测技术有限公司</b> <b>Shenzhen NCT Testing Technology Co.,Ltd.</b>	File No. /文件编号	NCT-CI-016
		Ed./ Rev. /版本/修订号	A/00
	<b>Certification Granting, Maintenance, Renewal, Expanding and Reduction</b> <b>认证授予、保持、更新、扩大和缩小</b>	Effective date /生效日期	2025.01.16
		Page /页码	Page 5 of 8

c.The management system of the certificated organization covers the extended scope of certification and meets the requirements of certification standards

获证组织的管理体系覆盖申请扩大的认证范围，并符合认证标准要求

d.For at least one year, there have been no major accidents or national inspection failures within the scope of the application.

至少近一年内，获证组织在申请扩大范围内未发生重大事故和国家检查不合格。

e.If the certification scope of hunting tour in the contract signed by the certified organization and NCT does not include the expanded certification scope, the expanded certification scope shall be supplemented and the supplementary certification fee shall be paid in accordance with the certification contract.

获证组织与NCT签署合同中的认证范围未包括扩大认证范围的，需要补充扩大的认证范围，并按照认证合同规定缴纳补充认证费用。

#### 4.3.2 Certification scope expansion procedures 扩大认证范围的程序

a.NCT provides the certified organization with public documentation of information relating to the expansion of the scope of certification, which is known and understood by the certified organization.

NCT向获证组织提供与扩大认证范围有关信息的公开文件，获证组织已知悉并理解。

b. The certified organization submits the NCT-GI-007-F01 "Change Application Form" and related attachments to NCT for expanding the scope of certification.

获证组织向NCT提交扩大认证范围的NCT-GI-007-F01《变更申请表》和相关附件

c.If necessary, the certified organization shall sign or amend the certification contract with NCT and pay the certification fee as required.

需要时，获证组织与NCT补充签署或修订认证合同，并按照规定缴纳认证费用。

d.The management system documents involved in the certified organization's application to expand the scope of certification have been reviewed and have met the certification standards

获证组织申请扩大认证范围所涉及的管理体系文件已经审查并已经符合认证标准。

e.The management system involved in the certified organization's application to expand the scope of certification shall be audited for compliance with the certification standards and other necessary additional requirements by an audit team appointed by NCT. The non-conformities proposed in the non-conformity report shall be corrected and corrective actions shall be taken within the agreed time limit, which shall be verified to be effective. The audit team puts forward the conclusion of recommended certification.

获证组织申请扩大认证范围所涉及的管理体系，经过NCT委派的审核组审核符合认证标准和其他必要的额附加要求。在不符合报告中提出的不符合项在商定的额限期内采取纠正和纠正措施，并经验证有效。审核组提出推荐认证的结论意见。

f.According to the decision of NCT certification decision-maker, it is considered that the applicant has met the conditions for awarding certification qualification within the certification scope, and signed and renewed the certificate with the approval of the certification authorized personnel, but the registration number and validity period of the certificate remain unchanged;

经过NCT认证决定人员决定，认为申请方在认证范围内已满足授予认证资格的条件，经认证书授权人批准，签署换发认证证书，但认证证书的注册号和有效期保持不变；

#### 4.4 Certification scope reduction conditions and procedures 缩小认证范围的条件和程序

##### 4.4.1 Certification scope reduction conditions 缩小认证范围的条件

a.Some product ranges, sites, areas, production lines, main processes, etc. within the certification scope of the certified organization do not continue to meet the certification standards and other additional requirements

获证组织的认证范围内部分产品范围、现场、区域、生产线、主要过程等不继续符合认证标准和其他附加要求

b.Some products, sites, areas, production lines, main processes, etc. within the certification scope of the certified organization are unwilling to continue to maintain the certification qualification, but cannot remove the large risk part that cannot be separated.

	<b>深圳诺测检测技术有限公司</b> <b>Shenzhen NCT Testing Technology Co.,Ltd.</b>	File No. /文件编号	NCT-CI-016
	<b>Certification Granting, Maintenance, Renewal, Expanding and Reduction</b> <b>认证授予、保持、更新、扩大和缩小</b>	Ed./ Rev. /版本/修订号	A/00
		Effective date /生效日期	2025.01.16
		Page /页码	Page 6 of 8

获证组织的认证范围内部分产品范围、现场、区域、生产线、主要过程等不愿继续保持认证资格，但不能将不可分开的风险较大的部分去掉。

c.The organization no longer produces a product or provides a service.

组织不再生产某类产品或不再提供某种服务

#### 4.4.2 Certification scope reduction procedures 缩小认证范围的程序

a. The certified organization shall submit the NCT-GI-007-F01 "Change Application Form" and relevant attachments to NCT to reduce the scope of certification, or the evaluation center shall propose suggestions to reduce the scope of certification, and provide reasons and evidence

获证组织向NCT提交缩小认证范围的NCT-GI-007-F01《变更申请表》和相关附件，或评审中心提出缩小获证组织认证范围的建议，并提供理由和证据

b.If necessary, the evaluation center shall identify whether the reduction of the scope of certification has an impact on the requirements for the certification of activities within the scope of certification. If appropriate, the evaluation center shall propose Suggestions on the handling measures;

需要时，评审中心应识别缩小认证范围后是否对仍保证认证范围内的活动持续符合认证要求产生影响，适当时，提出处理措施意见；

c.After the approval of NCT certification decision team, it is believed that the application for reducing the scope of certification by the certified organization will not have an impact on the scope of certification that is still maintained. The application shall be submitted to the certificate authorized personnel for approval, and the certificate authorized personnel shall renew the certificate, but the registration number and validity period of the certificate shall remain unchanged;

经过NCT认证决定小组审定，认为获证组织在申请缩小认证范围不会对仍保持的认证的认证范围产生影响，报证书授权人批准，由证书授权人换发认证证书，但认证证书的注册号和有效期保持不变；

d.The certified organization shall amend the certification contract with NCT if necessary

需要时，获证组织与NCT修订认证合同。

#### 4.5 Disposal of OEM and ODM certificates OEM、ODM证书的处置

##### 4.5.1 Disposal of ODM certificate ODM证书的处置

a. When an ODM production enterprise or producer suspends or revokes a certificate due to unsatisfactory ODM product testing or factory inspection, all ODM certificates related to the certificate shall be suspended or revoked at the same time and the relevant certification client shall be notified.

当ODM生产企业或生产者由于ODM产品检测或工厂检查不合格造成证书被暂停或撤销时，所有与该证书相关的ODM证书应同时暂停或撤销，并通知相关认证委托人。

b. When an ODM producer fails to meet the post-certification annual supervision and inspection requirements due to failure to entrust a production enterprise to produce certified products for 12 consecutive months, the product certificates of all the ODM producers shall be suspended and the relevant certification client shall be notified.

当某一ODM生产者因连续12个月未批量委托生产企业生产认证产品而造成不能满足证后年度监督检查要求时，应暂停所有该ODM生产者的产品证书，并通知相关认证委托人。

c.When an ODM holder cancels a certificate due to other reasons such as product sales, other certificates can still meet the requirements of the implementation rules / details, which do not affect the validity of other certificates.

当某一ODM持证人因为产品销售等其它原因注销证书时，其他证书仍能满足实施规则/细则的规定，则不影响其他证书的有效性。

d. When the ODM certificate is suspended / withdraw / revoked due to other reasons, other ODM certificates shall be evaluated, and certificates that fail to meet the certification requirements shall be suspended / withdraw/ revoked at the same time, and the relevant certification client shall be notified.

当ODM证书由于其它被暂停/注销/撤销时，应对其它ODM证书进行评价，对于不能满足认证要求的证书同时予以暂停/注销/撤销，并通知相关认证委托人。

	深圳诺测检测技术有限公司 Shenzhen NCT Testing Technology Co.,Ltd.	File No. /文件编号	NCT-CI-016
	<b>Certification Granting, Maintenance, Renewal, Expanding and Reduction</b> <b>认证授予、保持、更新、扩大和缩小</b>	Ed./ Rev. /版本/修订号	A/00
		Effective date /生效日期	2025.01.16
		Page /页码	Page 7 of 8

e. When the ODM initial certificate related to the certified product is changed and approved, and other ODM certification clients fail to apply for certification changes as required, the relevant ODM certificate should be suspended and the certification client be notified.

当与认证产品相关的ODM初始认证证书产品发生变更并获得批准的，而其它ODM认证委托人未按要求申请认证变更的，应暂停相关ODM认证证书，并通知认证委托人。

f. The application for resuming of the ODM certificate suspended due to unqualified product testing or factory inspection must be submitted by the ODM initial certification client. After the restoration of the ODM initial certificate is approved in accordance with relevant procedures, other ODM certification clients may submit the application for resuming the certificate.

对于因产品检测或工厂检查不合格而被暂停的ODM认证证书的恢复申请，须由ODM初始认证委托人提出，在按相关程序批准恢复ODM初始认证证书后，其它ODM认证委托人方可提交证书恢复申请。

#### 4.5.2 OEM证书的处置 Disposal of OEM certificate

a. When an OEM production enterprise is suspended or revoked for unqualified factory inspections, all relevant OEM certifications will be suspended or revoked at the same time, and the relevant certification client will be notified.

当OEM生产企业因工厂检查不合格被暂停或撤销认证证书，将同时暂停或撤销所有相关的OEM认证证书，并通知相关认证委托人。

b. When an OEM manufacturer fails to meet the post-certification supervision and inspection requirements due to failure to entrust an OEM manufacturer to produce certified products for 12 consecutive months, the product certification certificate marked with the OEM manufacturer will be suspended and the relevant certification client will be notified.

当某一OEM生产者因连续12个月未批量委托OEM生产企业生产认证产品而造成不能满足证后监督检查要求时，将暂停标有该OEM生产者的产品认证证书，并通知相关认证委托人。

#### 4.6 Information communication 信息沟通

4.6.1 After suspending, revoking, withdrawing, and resuming certificates, the Product Certification Department shall promptly report to the National Certification and Accreditation Administration Information Center CNCA, and the Provincial, Autonomous Region, and Municipality Quality and Technical Supervision Bureau and Each directly under the inspection and quarantine bureau certification or GSO regulatory agency in accordance with the requirements of CNCA certification or GSO information data reporting.

产品认证部在暂停、撤销、注销、恢复证书后按照中国国家认监委认证或GSO信息数据上报工作的要求，及时报送国家认监委信息中心，以及省、自治区、直辖市质量技术监督局和各直属检验检疫局认证或GSO监管机构。

4.6.2 In daily work, the company shall strengthen information communication and cooperation with local certification regulatory authorities, law enforcement (AUDIT) or GSO departments, timely collect illegal information of regulatory law enforcement, special supervision and spot check at all levels, complaints from interested parties, media exposure and other market or industry regulatory authorities, assist in the investigation of illegal activities for products involving illegal activities, and carry out relevant regulations Relevant certificates shall be suspended and revoked.

本公司在日常工作中应与地方认证监管部门、执法（稽查）或GSO部门加强信息沟通合作，及时收集监管执法、各级专项监督检查、相关方投诉、媒体曝光及其他市场或行业监管部门的违法信息，对涉及违法的产品，本公司协助对违法行为进行调查，并按相应规定对相关证书采取暂停、撤销等后续处理措施。

#### 5 Related Procedures, Forms & Templates 相关程序，表格和模板

5.1 NCT-QPPC-4.1-01-F02 Certification Application Form 《认证申请表》

5.2 NCT-CI-004 Certificate Granting 《证书批准》

5.3 NCT-CI-008 Certification Termination and Withdraw 《认证注销和撤销》

5.4 NCT-CI-007 Certification Suspension and Reinstatement 《认证暂停和恢复》

	深圳诺测检测技术有限公司 Shenzhen NCT Testing Technology Co.,Ltd.	File No. /文件编号	NCT-CI-016
		Ed./ Rev. /版本/修订号	A/00
	Certification Granting, Maintenance, Renewal, Expanding and Reduction 认证授予、保持、更新、扩大和缩小	Effective date /生效日期	2025.01.16
		Page /页码	Page 8 of 8

5.5 NCT-CI-016-F02 Re-evaluation Application Form 《复评申请书》

5.6 NCT-CI-016-F01 Supervisory Audit Compliance Notice 《监督审核合格通知书》

5.7 NCT-GI-007-F01 Change Application Form 《变更申请表》

6 Related Specific Programs' Procedures, Forms & Templates 特定流程的相关程序，表格和模板

6.1 NCT-WI-008 Product Certification Scheme for Technical regulation for Electrical Batteries 《电气电池技术规范产品认证方案》

6.2 NCT-WI-009 Product Certification Scheme for Technical regulation for Toys 《玩具技术规范产品认证方案》

6.3 NCT-WI-011 GCC Certification Program 《GCC 认证方案》

6.4 NCT-WI-007 SASO Certification Program 《SASO 认证方案》

7 Reference 参考标准

7.1 "Conformity assessment - Requirements for bodies certifying products, processes and services" ISO/IEC 17065

《合格评定 产品、过程和服务认证机构要求》ISO/IEC 17065

7.2 Relevant SASO Technical Regulation.

相关 SASO 技术规范。

★ Revision History 修订历史			
Issue No. 发布编号	Effective Date 生效日期	Approved By 批准人	Revision Summary 修订摘要
A/00	2025.01.16	Billy Tu涂志强	Initial Publication 初版

=== END 结束 ===