	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-WI-008
		Ver./Rev./版本 /修订号:	A/00
	Product Certification Scheme for Technical regulation for Electrical Batteries 电气电池技术规范产品认证 方案	Effective date/生效日期:	2025.01.16
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Product Certification Scheme for Technical regulation for Electrical Batteries

电池认证方案

	Name 名字	Date 日期	Signature 签名
Created by创建者:			
Controlled by受控于:			
Approved by批准人:			

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1 GENERAL INFORMATION 基本信息

1.1 Purpose, certification scope and basis 目的、认证范围和依据

The regulation apply to the voluntary certification of electrical battery products, targeting secondary rechargeable batteries and primary non-rechargeable batteries, including but not limited to the following types of batteries: lithium batteries, sodium batteries, nickel-metal hydride batteries, nickel-chromium batteries, and primary aqueous electrolyte batteries, etc.

本规则适用于电气电池的产品自愿性认证，针对二次可充电电池和一次不可充电电池，包括但不限于以下类型的电池，锂电池，钠电池，镍氢电池，镍铬电池，一次含水电解质电池等。

Through this certification program, Shenzhen NCT Testing Technology Co., Ltd. standardizes the implementation of certification services for electrical battery products within the scope of ISO/IEC 17065 certification. Shenzhen NCT Testing Technology Co., Ltd. hereinafter referred to as NCT.

通过此认证项目，深圳NCT检测技术有限公司在ISO/IEC 17065认证的范围内，对电气电池产品认证服务的执行进行规范。深圳NCT检测技术有限公司以下简称NCT。

Scope of Certification: Battery products and standards within the scope of ISO/IEC 17065 certification of Shenzhen NCT Testing Technology Co., Ltd. For details, see the standards listed in the document “NCT-QR-002 NCT Capability List NCT”.

认证范围：深圳NCT检测技术有限公司在ISO/IEC 17065认证的范围内的电池产品和标准。详细见文件《NCT-QR-002 NCT 认证范围》中列举的标准。

The policies and procedures that guide certification are administered in a non-discriminatory manner and are not used to impede or inhibit access by applicants.

指导认证的政策和程序以非歧视的方式执行，不会用于阻碍或限制申请人的申请。

NCT Certification services are accessible to all applicants whose activities fall within the scope of NCT 's operations. Access to the certification process is not conditional upon the size of the applicant or membership in any association or group, nor is certification conditional upon the number of certificates issued.

所有活动属于NCT运营范围内的申请人均可获得NCT认证服务。参与认证流程并不取决于申请人的规模或是否为任何协会或团体的成员，认证也不取决于颁发的证书数量。

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to the scope of the certification being considered.

NCT将其要求、评估、审查、决定和监督的范围限定在与所考虑认证范围具体相关的事项上。

NCT is responsible for, and retains authority for, its decisions relating to certification.

NCT对其与认证相关的决策负责，并保留相关决策权。

NCT shall provide to each of its certification clients, formal certification documents describing the products to be certified, the Mark authorized for use and the scope of certification.

NCT应向其每位认证客户提供正式的认证文件，其中应说明待认证的产品、授权使用的标志以及认证范围。

This program forms an integral part of the contractual agreement with the customer and is made available to him with each offer.

本计划构成与客户签订的合同协议中不可或缺的一部分，并随每次报价一并提供给客户。

This certification program applies to NCT and all organizations that will carry out this activity under the operational control of NCT.

本认证计划适用于NCT以及所有将在NCT运营控制下开展此活动的组织。

1.2 General legal conditions 一般法律条件

For the issuing of a product certificate by the certification body, the completion of a legally enforceable agreement (certification contract) with the certification body of NCT is a requirement.

认证机构颁发产品证书的前提条件是，必须与NCT认证机构签订具有法律效力的协议（认证合同）。

The order is granted by the signature of both parties on behalf of 该订单由双方代表签字确认:

- the customer - this is the product certificate applicant –and客户——即产品证书申请人——以及
- The certification body of NCT or a legal entity which is under or ganizational control of NCT
NCT的认证机构或受NCT组织控制的法人实体

The entire contract consists of the following documents, which form an integral part

整个合同由以下文件组成，这些文件构成合同不可分割的一部分:


✓Written assignment/certification contract(quotation)

书面委托/认证合同（报价单）

✓General Terms and Conditions of NCT

NCT的一般条款和条件

✓Certification agreement 认证协议

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The order is completely and exclusively regulated by this certification program. If provisions of individual documents are in contradiction to each other, the provisions of the first mentioned document apply.

本认证计划完全且唯一地规范此订单。若个别文件的规定相互矛盾，则以首先提及的文件的规定为准。

The certification body of NCT concludes only contracts with customers under the conditions described in the documents mentioned above. These terms and conditions apply to contracts between the certification body of NCT and the customer regarding the certification of products as well as additional services and other additional obligations provided within the scope of the service provision. Once agreed upon conditions also apply to future contracting. The validity of purchasing and other terms and conditions of the customer is hereby explicitly excluded for the entire business relationship.

NCT认证机构仅在上述文件所述条件下与客户签订合同。这些条款和条件适用于NCT认证机构与客户之间就产品认证以及在服务提供范围内提供的额外服务和其他附加义务所签订的合同。一旦达成协议，这些条款和条件也适用于未来的合同。在此明确声明，在整个业务关系中，客户的采购条款和其他条款和条件均不适用。

If a product to be certified is not distributed under the name of the customer, the customer shall document, in the form of a binding declaration, under which brand he wishes to place the product on the market.

如果待认证的产品并非以客户名义分销，客户应以具有约束力的声明形式，记录其希望以哪个品牌将产品投放市场。

The restriction of product certificates to certain contingents or lots is allowed. The issuing of product certificates under certain conditions is also possible in special cases.

允许将产品证书限制在某些特定批次或分批中。在特殊情况下，也可能在某些条件下颁发产品证书。

If the certificate holder wishes to transfer his product certificate to a third party, he shall inform the certification body of NCT before the transfer, so that the possibility of the transfer can be checked. A transfer is only allowed with the written agreement of the certification body of NCT and under inclusion of the third party in the contractual documents. In case of a transfer of the product certificate, the customer shall transfer all obligations from this contract to the purchaser of the certificate.

若证书持有人希望将其产品证书转让给第三方，则应在转让前通知NCT认证机构，以便核实转让的可能性。只有在获得NCT认证机构的书面同意且第三方被纳入合同文件后，才允许进行转让。若产品证书发生转让，客户应将本合同中的所有义务转移给证书的购买者。

The customer has to pay the fee agreed upon at the time of nomination, which has been calculated according to the price list of the certification body of NCT. It is at the discretion of the certification body of NCT, to desire the payment before the completion of the service provision (certification).

客户需按照提名时商定的费用支付，该费用已根据NCT认证机构的价格表计算得出。NCT认证机构有权决定是否要

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求在服务提供（认证）完成前支付费用。

The product certificates issued by the certification body of NCT always remain property of the certification body of NCT and neither release the customer from the contractual warranty obligation due to defects nor from the legal product liability obligation.

NCT认证机构颁发的产品证书始终属于NCT认证机构的财产，既不能免除客户因产品缺陷而应承担的合同保修义务，也不能免除其应承担的法律产品责任义务。

The customer allows the certification body of NCT to publish specific data on the certified products for the purpose of informing consumers and other interested parties.

客户允许NCT的认证机构发布关于认证产品的特定数据，以便向消费者和其他相关方提供信息。

Furthermore, the customer allows the certification body of NCT to publish contents of an issued product certificate, except for details of the production facility, to pass it on to third parties upon request or to give access to everyone. 此外，客户允许NCT的认证机构发布已颁发产品证书的内容（生产设施的详细信息除外），以便根据要求将其传递给第三方或向所有人开放。

The certification body of NCT has the possibility to withdraw the product certificates at any time if the test basis and/or the certification requirements are changed or if the customer violates the criteria of this certification program for product certification. In that case, the customer shall hand over the product certificate without any delay to the certification body of the NCT

如果测试依据和/或认证要求发生变化，或者客户违反了本认证计划的产品认证标准，NCT的认证机构有权随时撤销产品证书。在这种情况下，客户应立即将产品证书交还给NCT的认证机构

The certification body of NCT can declare invalidation of the product certificates at any time with immediate effect.

NCT的认证机构可随时宣布产品证书无效，且立即生效。

The customer permits the certification body of NCT to publish the product certificates, which have been withdrawn and thus invalidated. This does not require an agreement of the former certificate holder.

客户允许NCT的认证机构发布已被撤销并因此失效的产品证书。此操作无需原证书持有人的同意。

The certification body of NCT will ensure that new or revised requirements by the certification program, which affect the customer, are brought to the attention of the customer. The certification body will examine the implementation of changes executed by the customer and take actions required by the program.

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NCT的认证机构将确认证计划中影响客户的新要求或修订要求能引起客户的注意。认证机构将检查客户对变更的执行情况，并采取计划所要求的行动。

1.2.1 Exclusion of liability for damage on products 产品损坏责任免除

The certification body of NCT takes no liability for damages to products resulting from evaluations, tests and the like.

NCT的认证机构对因评估、测试等行为导致的产品损坏不承担任何责任。

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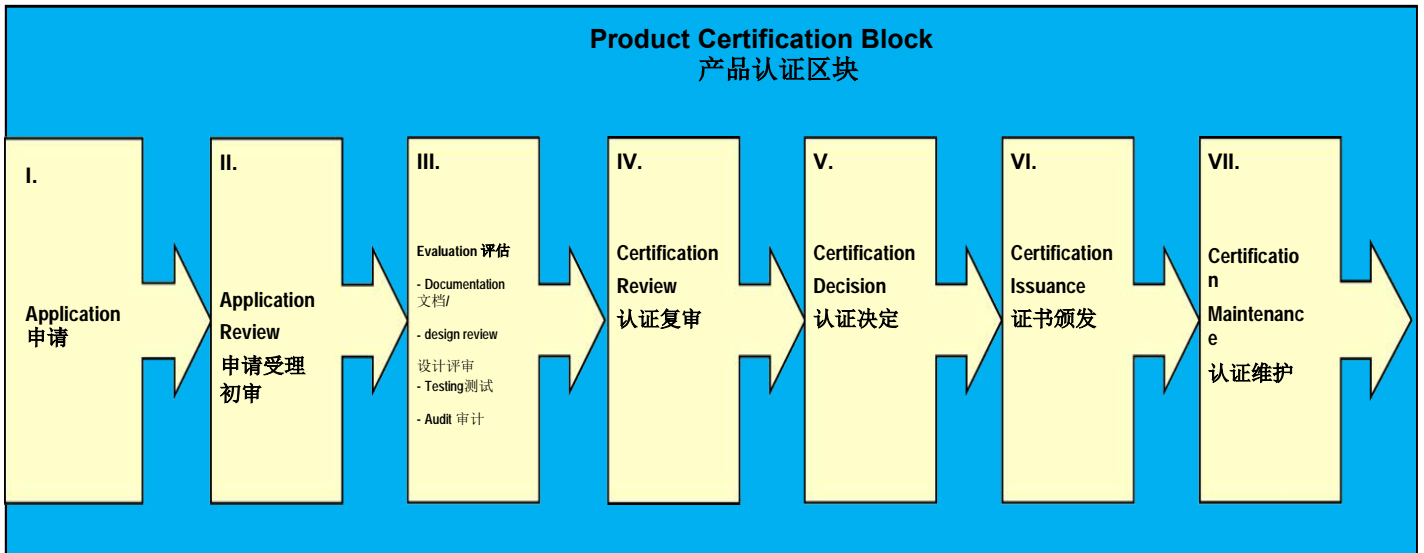
2 CONFORMITY ASSESSMENT PROCESS 合格评定程序

根据ISO/IEC 17067标准，共有7种方案，针对NCT的电气电池技术规范产品认证方案，仅涵盖方案1a，方案3。

Certification Flowchart please refer to “NCT-GI-004 General Process for Product Certification”.

认证流程图请参考NCT-GI-004 《产品认证基本流程》

The basic certification process is to follow the following Block 基本认证流程是遵循以下步骤。



The Process NCT-GI-004 General Process for Product Certification outlines the basic certification process operated by NCT.

NCT-GI-004 《产品认证通用流程》概述了NCT所执行的基本认证流程。

2.1 Scheme Type1a 方案类型1a

In this scheme, one or more samples of the product are subject to the determination activities. A certificate of conformity or other statement of conformity is issued for the product type, the characteristics of which are detailed in the certificate or a document referred to in the certificate.

在此方案中，对产品的一个或多个样品进行测定活动。针对该产品类型颁发合格证书或其他合格声明，其特征在证书或证书中提及的文件中有详细说明。

The sample are representative of subsequent production items which could be referred to by the manufacturer as being manufactured in accordance with the certified type.

该样品代表了后续生产的产品，制造商可将其称为按照认证型号生产的产品。

NCT may grant to the manufacturer the right to use the type certificate or other statement of conformity as a basis

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for the manufacturer to declare that subsequent production items confirm to the specified requirements.

NCT可授权制造商使用型号合格证或其他符合性声明，作为制造商声明后续生产产品符合规定要求的依据。

2.2 Scheme type3 方案类型3

The surveillance part of this scheme involves periodically taking samples of the product from the point of production and subjecting them to determination activities to check that items produced subsequent to the initial attestation fulfill the specified requirements. NCT performs factory audit with NCT-CI-014-F05 "Factory Inspection Report".

该方案的监督部分包括定期从生产点抽取产品样品，并进行测定活动，以检查初次认证后生产的产品是否符合规定要求。NCT将根据NCT-CI-014-F05 《工厂检查报告》进行工厂审核。

The surveillance includes a periodic assessment of the production process. This scheme does not provide any indication of the impact the distribution channel plays on conformity. When serious nonconformity are found, the opportunity may exist to resolve them before widespread market distribution occurs.

监督工作包括对生产过程的定期评估。该方案并未提供任何关于分销渠道对合规性影响的指示。当发现严重不合规问题时，可能有机会在产品广泛进入市场分销之前解决这些问题。

After all positive evaluation results, NCT performs Type 1a activities.

在所有评估结果均为正面后，NCT会执行1a类活动。

3 CONDITIONS FOR THE CONFORMITY ASSESSMENT PROCESS 合格评定程序的条件

As a basis for the assessment in line with the certification, only test reports from approved laboratories that have been accredited according to the rules of ISO/IEC 17025 or analogue ISO guides can be used.

作为符合认证要求的评估依据，只能使用根据ISO/IEC 17025规则或类似ISO指南获得认证的认可实验室出具的测试报告。

The certification body of NCT primarily carries out evaluations and certifications based on the test reports of the approved laboratories of NCT.

NCT的认证机构主要根据NCT认可实验室的测试报告进行评估和认证。

The following types of certification programs are available which are regulated in accordance with ISO/IEC 17067, whereby each type comprises the following program:

以下类型的认证项目均按照ISO/IEC 17067标准进行管理，每种类型均包括以下程序：

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Product Certification System Elements 产品认证体系要素		Type 1a 1a型	Type 3 3型	Type 5 5型
I	Selection (Determination of mandatory documents to be the basis for certification) 选择 (确定作为认证依据的必备文件)	X	X	X
II	Evaluation of services 服务评估	X	X	X
III	Review 审查	X	X	X
IV	Certification Decision (granting, expanding, maintaining, suspending, withdrawing the certification.) 认证决定 (授予、扩大、维持、暂停、撤销认证。)	X	X	X
V	Licensing 许可			
	a- Issue of conformity certificate a- 合格证书的颁发	X	X	X
	b- Certification and granting the right of use of NCT brand b- 认证并授予NCT品牌使用权	X	X	X
	c- Certificate of conformity for the product Group c- 产品组合合格证书	-	-	-
	d- The certificate and the continuation of the right to use the NCT brand are subject to surveillance. d- 该证书以及NCT品牌使用权的延续均需接受监督。	-	X	X
VI	Surveillance 监视			
	a- Testing or inspection of samples taken from the market a- 对从市场上抽取的样品进行测试或检验	-	-	-
	b- Testing or inspection of samples taken from the factory b- 对工厂抽取的样品进行测试或检验	-	X	X

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Product Certification System Elements 产品认证体系要素	Product Certification System 产品认证体系			
	Type 1a 1a型	Type 3 3a型	Type 5 5a型	Procedure / Record 程序/记录
c- Evaluation of production, delivery of service or operations c- 生产、服务交付或运营评估	-	X	X	
d- Control of management system d- 管理体系的控制	-	-	X	

4 CERTIFICATION APPLICATION 认证申请（初审）

4.1 Request of Certification 认证请求

The applicant applies for certification from NCT by contacting NCT business personnel.

申请人通过联系NCT业务人员，向NCT申请认证。

4.2 Required information from the customer as a basis 客户所需提供的信息作为依据

NCT requests the following information and documents from Application Form in accordance with the certification programs.

NCT根据认证计划要求提供以下申请表格中的信息和文件。

- ✓ Information on product-service-process to be certified, 待认证的产品-服务-流程信息，
- ✓ Technical Regulation(s), Standards and/or other normative documents that the client wants to certify,
客户希望认证的技术法规、标准和/或其他规范性文件，
- ✓ The general characteristics of the client, including the name, address/addresses of the physical location / locations, important aspects of the processes and operations (when the relevant certification program requires it) and any related legal obligations,
客户的一般特征，包括名称、实际地点/多个地点的地址、流程和运营的重要方面（当相关认证计划要求时）以及任何相关的法律义务，
- ✓ Regarding the certification area where the application is made; general information about the customer, including his / her activities, human and technical resources, including laboratories and/or assessment facilities, and functions and connections, if any, in a larger legal entity,
关于申请认证的领域；客户的基本信息，包括其活动、人力和技术资源（包括实验室和/或评估设施），以及在更大法律实体中的职能和关联（如有），
- ✓ Information related to all outsourced processes that affect compliance with requirements and clients use;
 - These processes can be revised by NCT based on the agreement in accordance with Certification

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Program.

与所有外包流程相关的信息，这些流程会影响对要求的遵守和客户的使用；

这些流程可由NCT根据认证计划中的协议进行修订。

- ✓ All other information in the context of the relevant Certification requirements, such as information for initial assessment and surveillance activities (e.g. production locations of certificated products / products and personnel to be settled at these locations.

在相关认证要求的背景下，所有其他信息，如初步评估和监督活动的信息（例如，认证产品的生产地点/产品以及将在此地点安置的人员）。

The customer has to provide the following documents 客户需提供以下文件:

- ✓ A valid ISO 9001:2015 and/or ISO 14001 and/or ISO 16949 management system certification must be provided
需提供有效的ISO 9001:2015和/或ISO 14001和/或ISO 16949管理体系认证证书
- ✓ Certification Agreement 认证协议
- ✓ Valid test reports 有效的测试报告
- ✓ Valid Certificates 有效的合格证书
- ✓ Application Form 申请表
- ✓ Supplier Declaration of Conformity 供应商符合性声明


5 REVIEW OF APPLICATION 申请审核

NCT handles the information obtained from the application (which include all the information in the relevant Application Forms and sent by the client in written and/or in document) through the same Application Forms.

NCT通过相同的申请表处理从申请中获得的信息（包括相关申请表中的所有信息以及客户以书面和/或文件形式发送的信息）。

During application review, it is guaranteed that 在申请审核过程中，保证

- ✓ Client and product information are adequate for the execution of certification process,
客户和产品信息对于认证流程的执行是足够的，
- ✓ All kinds of disagreements between NCT and client has been resolved, including the relevant standards or agreement regarding other normative documents,
NCT与客户之间的所有分歧，包括与其他规范性文件相关的标准或协议，均已得到解决。
- ✓ Required certification scope has been defined,
所需的认证范围已经确定，
- ✓ Tools are available and appropriate for the execution of all conformity assessment activities,
有工具可用且适合执行所有合格评定活动，
- ✓ NCT has an adequate level of competence to perform conformity assessment activities.

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NCT具备足够的的能力水平来执行合格评定活动。

In the review of the application, due to any major nonconformity or an invisible document that can be obtained as a result of the examination of the records and documents received from the customer, the application cannot be passed to the audit stage until the customer's deficiencies are met.

在审核申请过程中，若发现任何重大不符合项，或因审查客户提供的记录和文件而发现任何缺失文件，则该申请在客户补齐缺失项之前，不得进入审核阶段。

The Process NCT-CI-001 Certification Application Review outlines the basic Application Review process operated by NCT.

《NCT-CI-001认证申请审核》概述了NCT执行的基本申请初审流程。

Test reports must be only from an ISO/IEC 17025 accredited or CBTL lab, and within the scope of accreditation. Labs that are used to test samples handled by NCT. Labs that are used to test samples chosen, and handled by the client; should be checked for their accreditation and validity. Tested product should be in accordance with the applicable standard and related to the shipment; either by the type of the tested product or brand, or model.

测试报告必须仅来自ISO/IEC 17025认证或CBTL实验室，且在认证范围内。用于测试客户选择并处理的样品的实验室；应检查其认证和有效性。测试产品应符合适用标准，并与货物相关；无论是通过测试产品的类型、品牌还是型号。

The validity of the test reports should be as below; except where the direct manager has been consulted and a special approval have been given according to the surrounding circumstances:

测试报告的有效性应如下所述；除非已咨询直接经理，并根据具体情况获得了特别批准：

✓ Test is valid for 3 years (accompanied with a declaration from the client that there has been no change on the product)

测试有效期为3年（需附上客户声明，证明产品未发生任何变化）

✓ Test reports intended to serve as the basis for a product certification shall not be older than six months at the time of the certification decision of the certification body.

在认证机构做出认证决定时，作为产品认证依据的测试报告不得超过六个月。

The Application Review is carried out via Form NCT-CI-007-F07 Application Review Form (NCT Mark) by Certification application review personnel / Preliminary Reviewer.

申请审核是通过初审人员填写表格《NCT-CI-007-F07 (NCT Mark) 申请审查表》来完成的。

6 Planning and preparation 规划与准备

The Process NCT-CI-001 Certification Application Review outlines the basic Planning and preparation process operated by NCT.

NCT-CI-001认证申请审核流程概述了NCT公司所执行的基本规划和准备流程。

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7 Factory Audit 工厂审核

Factory audits are conducted by NCT auditors in accordance with the NCT-CI-014-F06 "Factory Inspection Procedure" or by accepting the ISO 9001 certification-related documents provided by the factory.

工厂审核由NCT审核员按照NCT-CI-014-F06《工厂检查程序》进行或者由工厂提供ISO 9001认证相关资料进行采信。

During the Factory Audit, the NCT Auditor will determine if the factory is capable of manufacturing certified product on a continuing basis within the parameters specified in the Certification Documentation and in accordance with relevant Technical Regulations.

在工厂审核期间，NCT审核员将确定工厂是否能够在认证文件规定的参数范围内，并按照相关技术法规，持续生产符合认证要求的产品。

The supplier shall submit an application to NCT it chooses, in order to assess the system of safety management of the concerned products. Such application shall include the followings:

供应商应向其选定的NCT提交申请，以评估相关产品的安全管理体系。该申请应包括以下内容：

✓Name and address of the supplier in addition to name and address of the manufacturer- when the application is submitted by the official representative.

除制造商的名称和地址外，若申请由官方代表提交，还需提供供应商的名称和地址。

✓The manufacturers shall be officially authorized by competent authorities of the country of manufacturing.

制造商应获得制造国主管部门的正式授权。

✓A written declaration that the same applications shall not be submitted to any other approved body.

一份书面声明，声明不会向任何其他已批准的机构提交相同的申请。

✓All relevant information regarding the targeted products class.

关于目标产品类别的所有相关信息。

✓Documents of the product safety management system.

产品安全管理体系文件。

✓Technical documents of the approved type and a copy of the Type Approval Certificate

已认证类型的技术文件和型式认证证书副本

All system elements and requirements must be documented -approved by the supplier- in a systematic and structured manner in the form of written policies, procedures and instructions Product safety management system documents should provide a consistent understanding of the plans, manuals and safety records, System documents must include -In particular- a sufficient description of the followings:

所有系统要素和要求必须以书面政策、程序和说明的形式，以系统化和结构化的方式记录并经供应商批准。产品安全管理体系文件应确保对计划、手册和安全记录有统一的理解。体系文件必须包括——特别是——对以下内容的充

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分描述:

- ✓a. Quality goals, organizational Structure, duties and powers of management with regard to product safety.
 - a. 质量目标、组织结构、管理层在产品安全方面的职责与权限。
- ✓b. manufacturing techniques, procedures of the product quality and safety control, and the applicable processes and procedures.
 - b. 制造技术、产品质量和安全控制的程序，以及适用的流程和程序。
- ✓c. Carried out tests and inspections prior to and after manufacturing and frequency thereof.
 - c. 在制造前后进行测试和检查，并说明其频率。
- ✓d. Records: reports of inspection, tests and calibration and documents of qualifications of concerned staff...etc.
 - d. 记录：检查报告、测试报告、校准报告以及相关工作人员的资质文件等。
- ✓e. Measures of controlling achievement of desired safety with regard to product and effective operation of product safety system.
 - e. 衡量在产品 and 产品安全体系有效运行方面实现预期安全性的措施。

The product safety management system shall ensure that manufactured products are in conformity with the type defined in Type Approval Certificate and with specifications of the applicable technical regulations.

产品安全管理体系应确保所生产的产品符合型式认证证书中规定的型号，并符合适用技术法规的规范。

All system components and requirements, as approved by the supplier, shall be recorded in a methodical and organized manner, i.e., written policies, procedures and instructions. In addition, the documents of product safety management system shall give a consistent explanation of the programs, plans, guides and records of safety.

所有经供应商批准的系统组件和要求，均应以有条理、有组织的方式记录，即书面政策、程序和说明。此外，产品安全管理体系的文件应对安全方案、计划、指南和记录作出一致的解釋。

System documents shall especially include a full explanation of the following:

系统文件应特别包括对以下内容的完整说明:

The accredited Body, carrying out the approval of product safety management system, shall assess the system to determine whether it fulfils all above-mentioned requirements throughout the period of system approval.

负责产品安全管理体系认证的认证机构，应对该体系进行评估，以确定其在体系认证期间是否满足上述所有要求。

A product shall be considered to be in conformity with specifications of technical regulations –with regard to product safety management system- if it is in conformity with standard specifications.

如果产品符合标准规范，则应视为符合技术法规中关于产品安全管理体系的规定。

The NCT-CI-014 Factory Inspection Procedure outlines the basic factory audit process operated by NCT.

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《NCT-CI-014工厂检查流程》概述了NCT执行的工厂基本审核流程。

A report of findings or NCT-CI-014-F05 "Factory Inspection Report" must be issued within 3 working days and sent to the Certification application review personnel / Acceptance Officer along with the photos, in order to be checked. Factory Inspection Report is valid for 12 months; After that another inspection should be done and the extra expenses should be paid by the nominator.

必须在3个工作日内出具一份调查结果报告或NCT-CI-014-F05 《工厂检查报告》，并将其与照片一起发送给受理人员以供核查。工厂检查总结报告有效期为12个月；有效期过后，应再次进行检查，额外费用由提名者承担。

8 CERTIFICATION REVIEW, DECISION OF CERTIFICATION AND ISSUING OF THE CERTIFICATE 认证复审，决定与证书颁发

8.1 Certification Review and Decision 认证复审与决定

Certificate can be issued, after the following activities have been performed and supporting documents are on file at the Certification Body:

在完成以下活动且证明文件已提交至认证机构存档后，方可颁发证书：

- ✓The Test Report has been reviewed and accepted; 测试报告已审核并接受；
- ✓The Factory Audit Report has been reviewed and accepted; 工厂审核报告已审核并接受；
- ✓The Certification Agreements (Quotation) have been signed by all parties; 认证协议（报价）已由各方签署；

In the case of a negative review, the customer does not receive a certificate, but a nonconformity report. In the event of a negative review result, the customer has the possibility to improve his product or resolve nonconformities within a period of 8 weeks.

若评价结果为负面，客户不会收到证书，而是会收到一份不合格报告。若评价结果为负面，客户可在8周内改进其产品或解决不合格问题。

After the certification is terminated, if applicant want to continue to apply for certification, certification application shall be re-submitted.

认证终止后，若申请人希望继续申请认证，则需重新提交认证申请。

The review is exclusively subject to the certification body of NCT. The decision does not take place outside the certification body of NCT.

审核仅受NCT认证机构的管辖。决定不会在NCT认证机构之外做出。

The NCT-CI-002 Certification Review outlines the basic Certification Review process operated by NCT.

《NCT-CI-002认证复核》概述了NCT所执行的认证复审流程。

Certification Review is carried out via NCT-CI-002 Certification Review by the Reviewer.

认证复审是复审人员通过《NCT-CI-002认证复核》来完成的。

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The NCT-CI-003 Certification Decision outlines the certification decision process operated by NCT.

《NCT-CI-003认证决定》概述了NCT所执行的基本认证决定流程。

8.2 Certification granting 认证授予

Certification is granted by the NCT Certification Body after the following activities have been performed and supporting documents a) – c) and d) – f), if applicable, are available at the Certification Body:

在完成以下活动后，NCT认证机构将授予认证，且认证机构处应具备有a)至c)项和d)至f)项（如适用）的支持文件：

- 1) Completion of the Certification Review and Decision. 完成认证审查并做出决定。
- 2) The Applicant has accepted the Terms and Conditions of the Certification Program, including agreement to permit publication of certified products in a public directory.
申请人已接受认证计划的条款和条件，包括同意在公开目录中发布认证产品。
- 3) The Certification application provided by applicant has been received and accepted.
申请人提交的认证申请已收到并已受理。
- 4) The Certification agreement (quotation) has been signed by an authorized representative of the client.
认证协议（报价单）已由客户授权代表签署。
- 5) The Certification agreement has been countersigned by the Certification Body.
认证协议已由认证机构会签。

The Certificate is signed by the Certification Manager or designee, and is provided to the Applicant. The Certification Body is responsible for maintenance of these records. Copy of the Certification documents and Certificate filed at the NCT Certification Body. The original Certificate is provided to the Applicant.

证书由认证经理或其指定人员签署，并提供给申请人。认证机构负责维护这些记录。认证文件和证书的副本需存档于NCT认证机构。证书原件则提供给申请人。

After receiving the signed Certificate, the Applicant and Manufacturer are obligated to produce a product that is in compliance with the standard used for certification, the terms of the Certification Agreement and the Certification documents.

在收到已签署的证书后，申请人和制造商有义务生产出符合认证标准、认证协议条款和认证文件要求的产品。

The NCT-CI-004 Certification Granting outlines the basic Certification granting process operated by NCT.

《NCT-CI-004认证授予》概述了NCT执行的基本认证授予流程。

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8.3 Certificate content 证书内容

The following information will be shown on the Certificate 证书上将显示以下信息:

- 1) Name of the Certification Body. 认证机构的名称
- 2) Unique certificate reference number. 唯一的证书参考编号
- 3) Name and Address of Client. 客户名称和地址
- 4) Name of Manufacturer 制造商名称
- 5) Product Name. 产品名称
- 6) Model /Type. 型号/类型
- 7) Product Description 产品描述
- 8) Scope of certification (Technical Regulations). 认证范围 (技术法规)
- 9) Certificate grant date. 证书授予日期
- 10) Expiration date of certification. 认证有效期
- 11) Name and signature, or other defined authorization of the NCT Signatory. 姓名和签名, 或NCT签字人的其他明确授权

9 Certification Updates 认证变更

If an Applicant/Manufacturer that has been granted certification wishes to update certificate(s), based on the assumption that 如果已获得认证的申请人/制造商希望变更证书, 基于以下假设:


- 1) the Applicant/Manufacturer exists within the records system with signed Certification Agreements, Initial Factory Inspection, and is currently under periodic surveillance:

申请方/制造商在记录系统中存在, 并已签署认证协议、完成初始工厂检查, 且目前处于定期监督之下, and the following sections of this procedure must be completed, 并且必须完成本程序的以下部分,

- 1) Application for Certification update 认证变更申请
- 2) The NCT Certification Body shall decide if the update requires a technical evaluation (testing, factory inspection). If a technical evaluation is required, it shall be performed as determined by the certification body and recorded in the certification file.

NCT认证机构应决定变更是否需要技术评估(测试、工厂检查)。如需进行技术评估, 则应按照认证机构的决定进行, 并记录在认证文件中。

- 3) Issuance of updated Certificate. If a updated certificate is issued, the number and validity period of the updated certificate shall remain unchanged, but the date of update shall be indicated in the updated certificate.

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颁发变更后的证书。若颁发变更后的证书，其编号和有效期应保持不变，但应在变更后的证书上注明变更日期。

9.1 Update due to Certification Maintenance因证书维护而进行的变更

If a certification update arises due to Certification Maintenance, the Certification Body shall decide if the update requires a technical evaluation. If a technical evaluation is required, it shall be performed as determined by the certification body and recorded in the certification file. Otherwise, the certification can be immediately updated.

若因认证维护导致认证变更，认证机构应决定该变更是否需要进行技术评估。若需进行技术评估，则应按照认证机构的决定进行评估，并记录在认证文件中。否则，认证可立即变更。

9.2 Update due to Location or Name Change因地点或名称变更而变更

If a certification update arises due to a factory, manufacturer or client location, address, or name change; the Certification Body shall verify all conditions specified in Certification Granting have been met prior to updating the certification.

若因工厂、制造商或客户地点、地址或名称变更而需变更认证，认证机构应在变更认证前核实是否已满足认证授予中规定的所有条件。

9.3 Update due to Technical Data Change因技术数据变更而变更

If a certification update arises due to a product's technical data change, the Certification Body shall decide if the changes require a technical evaluation. If a technical evaluation is required, it shall be performed as determined by the certification body and recorded in the certification file. Otherwise, the certification can be immediately updated.

若因产品技术数据变更而需变更认证，认证机构应判定该变更是否需要进行技术评估。若需进行技术评估，则应按照认证机构的决定进行评估，并将评估结果记录在认证文件中。否则，认证可立即变更。

9.4 Update due to Alternative Design or Components因替代设计或组件而变更

If a certification update arises due to a requested alternative design, the Certification Body shall require a technical evaluation be carried out.

若因请求的替代设计导致认证变更，认证机构应要求进行技术评估。

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10 Suspension, termination, withdrawal, limitation, reduction, or expiration of certification 认证暂停、终止、撤销、限制、缩小范围、到期

10.1 Expiring of Certificates 证书到期

Certificates expire, if 如果满足以下条件，证书将过期

- a) the period of validity specified in the product certificate has expired and there has been no extension.
产品证书上规定的有效期已过，且未进行延期。
- b) the product certificate holder resigns from the product certification contract and informs the certification body of NCT within the notice periods in writing,
产品认证证书持有人辞去产品认证合同，并在通知期限内以书面形式通知NCT认证机构，
- c) the product certificate holder goes bankrupt or an application of insolvency is rejected due to a lack of assets,
产品证书持有人破产，或因资产不足导致破产申请被驳回，

10.2 Certification Suspension and Reinstatement 认证暂停与恢复

1) If the need for suspension arises, the NCT Certification Body shall suspend the certification and concurrently 若出现需要暂停的情况，NCT认证机构应暂停认证，并同时:

- ✓ Inform the Certification Holder the reason for suspension, 通知认证持有人暂停的原因
- ✓ Request corrective action, and, 请求采取纠正措施，并且，
- ✓ Specify a period in which it shall be resolved. 指定一个解决问题的期限。

Reasons for suspension include, but are not limited to, the following 暂停的原因包括但不限于以下几种:

- ✓ Issues arising from Certification Maintenance
认证维护引发的问题
- ✓ Claims of non-conformity
不合格索赔
- ✓ Misuse of product mark or certificate
产品标识或证书的滥用
- ✓ Non-payment
未付款

✓ Confirmed third party complaints

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已确认的第三方投诉

- 2) If the correction actions have not been resolved by the client within the stipulated time, the certification shall be withdrawn per NCT-CI-007 Certification Suspension and Reinstatement.

若客户未在规定时间内解决纠正措施，则应根据《NCT-CI-007认证暂停和恢复》的规定撤销认证。

- 3) If the corrective actions are resolved, the certification can be reinstated under the same conditions as before the suspension. In the event the corrective actions required a product modification, a differentiator shall be required to distinguish prior certified products to those being reinstated. (e.g. New model number or production date.)

如果纠正措施得到解决，则可以在与暂停前相同的条件下恢复认证。如果纠正措施需要修改产品，则应要求提供区分符，以区分先前已认证的产品和正在恢复认证的产品。（例如，新的型号或生产日期。）

10.3 Certification Termination and Withdraw 认证终止与撤销

- 1) A certification can be terminated at any time when requested in writing by the client. When a request for termination is received, the Certification Body shall acknowledge the client and terminate the certification in accordance with the Certification agreements, and Terms and Conditions.

客户可随时以书面形式提出终止认证的请求。当收到终止请求时，认证机构应向客户确认，并根据认证协议、条款和条件终止认证。

- 2) Reasons for withdrawal include 退出的原因包括：

✓Withdrawal resulting from Certification Requirements: The Certification Body shall withdraw the certification when the need arises due to Certification Suspension and Reinstatement, Certification Complaints, or Certification Maintenance.

因认证要求而撤销：当因认证暂停与恢复、认证投诉或认证维护而有必要撤销认证时，认证机构应撤销认证。

✓Withdrawal due to 3rd-party Requests: A certification can be withdraw on the request of a 3rd-party only if determined valid by the Certification Body. The 3rd-party can be a government, Accreditation Body, or another Certification Body.

因第三方请求而撤销：仅当认证机构认定有效时，方可应第三方请求撤销认证。第三方可以是政府、认证机构或其他认证机构。

✓Termination due to Other Reasons: There can also be other reasons to terminate a certification such as, but not limited to, non-payment.

因其他原因终止认证：终止认证还可能存在其他原因，例如但不限于未付款。

- 3) Whenever a certification is terminated other than at the client's request, the Certification Body shall inform the client about the reason for the termination using Certification Termination Letter.

若认证终止并非应客户要求，认证机构应通过《认证终止函》告知客户终止原因。

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10.4 Procedure of the limitation, suspension or withdrawal of the certification 认证限制、暂停或撤销的程序

The certification body of NCT gives the customer the opportunity to state its position prior to the declaration of limitation, suspension or withdrawal of a product certificate, unless such a hearing is not suitable due to the urgency of the measures to be taken.

NCT 的认证机构在宣布限制、暂停或撤销产品证书之前，给予客户陈述其立场的机会，除非由于所采取措施的紧急性而不适合举行此类听证会。

The right of the product certificate holder to continue the hold of the product certificate of the certification body of NCT automatically expires for those products listed in the product certificate which are affected by the restriction or suspension or which expire on the basis of termination by a specific date or become invalid in a short-term. 对于产品证书中所列受限制、暂停、基于特定日期终止而到期或在短期内失效的产品，产品证书持有人继续持有 NCT 认证机构产品证书的权利将自动失效。

The certification body of NCT is authorized to publish restrictions, suspensions, in validations and withdrawals as well as deletion of product certificates of the customer.

NCT 的认证机构有权发布客户的限制、暂停、无效和撤销以及删除产品证书的信息。

The certification body of NCT may report, in particular in the context of violations, name and address of the customer, the type of the violation or the reason for the invalidity declaration, possibly information on the product, etc., to the competent authority and the accreditation authorities, to other "authorities", to importers and to other interested parties.

NCT 的认证机构可向主管当局和认证机构、其他“当局”、进口商以及其他相关方报告（特别是在违规情况下）客户的姓名和地址、违规类型或无效声明的原因，以及可能涉及的产品信息等。

In the event of suspension, withdrawal or termination of the certification, the use of all advertising materials that contain any reference to the certification shall be stopped and the measures required by the certification program must be taken (e.g. the return of certification documents, consideration of the logo usage right, etc.). and all other necessary measures.

若认证被暂停、撤销或终止，所有包含认证相关内容的广告材料应立即停止使用，且必须采取认证计划所要求的措施（如归还认证文件、考虑标志使用权等）以及其他所有必要措施。

The certification body of NCT is not liable for disadvantages incurred at the customer in connection with the non-grant, restriction or suspension as well as the expiry or withdrawal of a product certificate.

NCT 的认证机构不对客户因产品证书未授予、受限或吊销以及到期或撤销而遭受的不利影响承担责任。

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For disadvantages, which occur for the customer in connection with non-grant, restriction or suspension as well as the expiry or withdrawal of a product certificate, the certification body of NCT cannot be held responsible.

NCT的认证机构不对客户因产品证书未授予、受限或吊销以及到期或撤销而遭受的不利影响承担责任。

11 Certification Maintenance 认证维护

The validity of the product certificates associated with this certification program is 5 year from the date of issue, unless not otherwise agreed in the contract.

除非合同中另有约定，否则与此认证计划相关的产品证书有效期为自签发之日起5年。

In order to guarantee the maintenance of certification, regular Surveillance activities may be taken, the requirements shall be completely fulfilled at all times over the duration of the validity.

为保证认证的维持，可定期进行监督活动，在有效期内应始终完全满足各项要求。

11.1 Maintenance documented 维护记录

The results of all ongoing maintenance activity shall be documented with the outcome, indicating that the certification is 所有正在进行的维护活动的结果都应记录在案，并注明认证情况:

- ✓ maintained, 维持
- ✓ updated according to Certification Updates, 根据认证变更进行变更
- ✓ models added according to Extension of a certification(scope), 根据认证（范围）扩展而增加的模型
- ✓ suspended according to Certification Suspension and Reinstatement, or 根据《认证暂停与恢复》的规定被暂停，
或
- ✓ withdrawn or terminated according to Certification Termination and Withdraw.
根据认证终止与撤销规定，已撤销或终止。

11.2 Certification Maintenance 认证维护

If the outcome of the following maintenance activities shows variances or non-compliances, the certification may be suspended, terminated or withdrawn. When re-evaluation is required, affected clients shall be notified. If requested by the client, affected products shall be re-certified per the Certification Program. If the client does not request the products to be re-certified, the certification may be terminated.

如果以下维护活动的结果存在差异或不符合要求，认证可能会被暂停、终止或撤销。当需要重新评估时，应通知受影响的客户。如果客户要求，受影响的产品应按照认证计划重新认证。如果客户不要求产品重新认证，认证可能会被终

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止。

1) **Standard Updates:** If a standard used for certification has been amended, changed, altered or withdrawn, the product may require to be re-certified as required by the particular certification scheme. As an alternative, the Certification Body may apply a shortened validity period to the certificate.

标准变更：若用于认证的标准已被修订、更改、修改或撤销，则产品可能需要按照特定认证方案的要求重新进行认证。作为替代方案，认证机构可对证书适用缩短的有效期。

2) **Factory Inspection:** Carried out when a certification program requires regular Factory Inspections to validate continued compliance.

工厂检查：当认证计划要求定期进行工厂检查以验证持续合规性时，会进行此项检查。

3) **Product Verification Tests:** Carried out when a certification program requires periodic Product Verification Tests to validate continued compliance.

产品验证测试：当认证计划要求定期进行产品验证测试以验证持续合规性时，会进行此类测试。

4) **Certification Program Rules/Scope Changes:** When certification program rules/scope have been amended or changed, affected clients shall be notified and affected certifications re-evaluated.

认证计划规则/范围变更：当认证计划的规则/范围发生修订或变更时，应通知受影响的客户，并对受影响的认证进行重新评估。

5) **Typographical and Certification Errors:** If the Certification Body has issued a Certificate that contains typographical errors or has wrongly issued a certificate, the certificate shall be corrected or terminated.

排版和认证错误：若认证机构签发的证书存在排版错误或错误签发证书，该证书应予以更正或终止。

6) the certified product no longer conforms to the approved sample,

认证产品不再符合已批准的样品，

7) products endanger the end users or third parties,

产品对最终用户或第三方构成威胁，

8) at the time of the audit, facts were not or were not properly seen and assessed or were not identifiable that would be in conflict with a positive certification - this includes, for example, incorrect categorization of products into certain risk classes or classification according to purposes of use, including also a mistake or a lack of certification to the certification body of NCT ,

在审计时，存在未发现、未正确评估或无法识别的事实，这些事实与正面认证相冲突——例如，包括将产品错误分类到某些风险类别中，或根据使用目的进行分类，还包括向NCT认证机构提交的认证存在错误或缺失，

9) in the event of recurring surveillance, market controls or any other subsequent product or system defect that is not remedied by the product certificate holder within a reasonable period,

若产品证书持有人未在合理期限内补救反复出现的监督问题、市场管控问题或任何其他后续产品或系统缺陷，

10) the product certificate holder does not carry out the periodic monitoring activities by the certification body of NCT, or inspections are postponed or NCT is denied access to the factory or products, or impedes or restricts the proper implementation,

产品证书持有人未按照NCT认证机构的定期监测活动进行，或检查被推迟，或NCT被拒绝进入工厂或接触产品，

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或阻碍或限制了活动的正常实施，

11) product certificates or product certificate copies have been altered and thus falsified by the Certificate Holder,
产品证书或产品证书副本已被证书持有人篡改，从而被伪造，

12) existing authorizations for the use of the certificate are also applied to non-certified products and thus a certificate abuse takes place, which substantially affects the basis for a trusting cooperation,
现有的证书使用授权也适用于非认证产品，因此存在证书滥用的情况，这严重影响了信任合作的基础，

13) misleading or otherwise inadmissible advertisement with product certificates is done,
带有产品证书的误导性或不可接受的广告，

14) Client Non-Payment: If the client does not pay ongoing certification or other fees, such as fees for product certification and / or factory inspection are not paid by the product certificate holder within the specified period. If the charges relate to several product certificates, the certification body of NCT decides which product or product certificate the measure should cover.

客户未付款：若客户未支付持续认证费用或其他费用，如产品证书持有人未在规定期限内支付产品认证和/或工厂检查的费用。若费用涉及多张产品证书，则由NCT认证机构决定该措施应涵盖哪个产品或产品证书。

15) Despite information from the NCT regarding changes of the technical state of the certified product, the customer does not meet the requirements of the certification body.

尽管NCT提供了关于认证产品技术状态变更的信息，但客户仍未达到认证机构的要求。

12 Surveillance activities 监控活动

The certification body of NCT performs regular checks to ensure and maintain a consistent product quality. As a rule, this surveillance is carried out annually for Type 3 products.

NCT的认证机构会定期进行检查，以确保并维持产品质量的稳定性。通常，对于3类产品，每年都会进行一次此类监督。

The certification body of NCT can shorten the surveillance intervals if abnormalities are recognized within the surveillance activities, based on product-specific information by third parties or under any other circumstances.

若在监督活动中发现异常，NCT的认证机构可根据第三方提供的产品特定信息或在任何其他情况下，缩短监督间隔。

The certification body of NCT may, in special cases, establish a product inspection before the first dispatch of the goods.

在特殊情况下，NCT的认证机构可能会在货物首次发货前进行产品检验。

The certification body of NCT is authorized to inspect the products, production facilities and warehouses indicated in the product certificate (for foreign product certificate holders, the importer's warehouses or the authorized person and branch offices) at any time and without prior notification.

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NCT的认证机构有权随时且无需事先通知，对产品证书上所列明的产品、生产设施和仓库（对于外国产品证书持有者，则为进口商的仓库或其授权人员和分支机构）进行检查。

The certification body of NCT is authorized to take products for which a product certificate has been issued free of charge to carry out inspection tests as well as inspections in production facilities and warehouses.

NCT的认证机构有权对已免费获得产品证书的产品进行检验测试，以及在生产设施和仓库中进行检查。

The certification body of NCT may commission other independent and suitable bodies to carry out the surveillance activities on their behalf. Upon request, the same observations mechanisms shall be granted to those bodies. In case of the placement of an order by the NCT, the customer will be informed.

NCT的认证机构可委托其他独立且合适的机构代为执行监督活动。如有要求，这些机构也应享有相同的观察机制。若NCT下达订单，将通知客户。

In the event of gross violations or blatant non-compliance during the surveillance activities, point 10.4 of this document applies.

若在监督活动中发现严重违规或公然违规行为，则适用本文件第10.4条。

The certification body of NCT will charge the product certificate holder for carrying out the surveillance according to the contractual agreement or their respective valid price list, unless a flat rate has been agreed on. Additional expenses which have not been stated in the contractual documents will always be invoiced in accordance with the current valid price list of NCT.

除非已商定统一费率，否则NCT认证机构将根据合同协议或各自的有效价格表向产品证书持有人收取监督费用。合同中未列明的额外费用将始终按照NCT当前有效的价格表开具发票。

13 Handling of nonconformities (defects) 不合格品（缺陷）的处理

After every assessment or evaluation within the framework of the certification activity or after the surveillance activities, a so-called "List of deviation" is made available to the customer when nonconformities are identified in NCT-CI-014-F05 "Factory Inspection Report". On the basis of this, the certification decision is made.

在认证活动框架内的每次评估或评价后，或在监督活动后，若在NCT-CI-014-F05《工厂检查报告》中发现不合格项，会向客户提供一份所谓的“偏差清单”。基于此，做出认证决定。

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13.1 Definition nonconformity 不符合项定义

First it should be noted that a nonconformity is understood to be the non-compliance with one or more requirements for a product or its specification or the associated management system. In this certification program, the term nonconformity is treated as a defect.

首先，需要指出的是，不合格被理解为产品或其规格或相关管理体系的一项或多项要求未得到满足。在本认证计划中，不合格一词被视为缺陷。

A defect is any deviation (in the sense of worsening) from the prerequisites that were necessary to be fulfilled to lead to or maintain a positive certification decision by the certification body of NCT.

缺陷是指任何偏离（即恶化）为获得或维持NCT认证机构做出的正面认证决定所必需满足的前提条件的情况。

Basically, identified defects in the context of certification activities, according to this certification program, are divided into the following categories:

根据本认证计划，在认证活动中发现的缺陷基本分为以下几类：

✓Slight defect 轻微瑕疵

If a deviation is slightly compared to the target value, recoverable and does not entail any immediate danger to body, life, health and the environment, no withdrawal of the product certification is necessary if the customer remedies the defect as soon as possible and demonstrably sustainable.

如果偏差与目标值相比较小，且可恢复，且不会对人身、生命、健康和环境构成任何直接威胁，那么只要客户尽快并以可证明的可持续方式补救缺陷，就不必撤销产品认证。

✓Serious defect 严重缺陷

If a deviation is massive compared to the target value, cannot be rectified directly or involves a potential risk to body, life, health and the environment, a withdrawal of the product certification is necessary, either until the deviation has been corrected or changed positive, or finally in the case of permanently insufficient rework.

如果偏差与目标值相比过大，无法直接纠正，或可能对人身、生命、健康和环境构成潜在风险，则有必要撤销产品认证，直至偏差得到纠正或情况变得积极，或者在返工始终不足的情况下最终撤销。

13.2 Handling of nonconformities 不合项处理

The customer shall take appropriate measures to remedy nonconformities. The evidence of implementation must be provided in a suitable form within a period of validity dates of Inspection Report.

客户应采取适当措施对不合格项进行补救。必须在检验报告的有效期内，以适当的形式提供实施证据。

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In general, defects have to be removed immediately, as quickly as possible and sustainable by the customer.

一般来说，缺陷必须立即、尽快且以客户可承受的方式予以消除。

The plan of measures as well as proof of the successful removal of the defects must be submitted to the certification body of NCT

必须将措施计划以及成功消除缺陷的证明提交给NCT的认证机构

The certification body of NCT has the right to check the removal of the defect at any time at the expense of the product certificate holder.

NCT的认证机构有权随时检查缺陷的消除情况，相关费用由产品证书持有人承担。

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14 POSSIBLE INFORMATION ABOUT INVOLVED THIRD PARTIES, SUBCONTRACTORS 关于相关第三方、分包商的可能信息

The procedure of the incorporated third party lies only within the responsibility of NCT, if the third party carries out activities incorporated by the NCT. In case of a third party incorporated by the customer, the acting people of NCT only check the plausibility of the submitted results.

如果第三方执行的是NCT所纳入的活动，则该纳入的第三方的程序仅由NCT负责。若第三方是由客户纳入的，则NCT的代理人员仅检查所提交结果的合理性。

NCT Certification Body reserves the right to subcontract testing or parts of the testing to other recognized laboratories.

NCT认证机构保留将测试或部分测试分包给其他认可实验室的权利。

The certification process cannot be subcontracted.

认证过程不能分包。

15 Obligation, Rights & Liabilities 义务、权利与责任

15.1 Rights of the customer 客户的权利

During the validity of the product certificate the customer is entitled to 在产品证书有效期内，客户有权：

- ✓ product specific advertising with the NCT certificate 获得NCT证书的产品特定广告
- ✓ presentation of issued product certificates in original form for advertising measures
出示原始形式的已颁发产品证书以进行广告宣传
- ✓ application for product certificates 产品证书申请

Further advertising measures by the customer, which refer to the activity of the certification body of NCT, must be agreed with the certification body of NCT. The responsibility of the customer for the design of his advertising remains unaffected.

客户采取的进一步广告措施，涉及NCT认证机构的活动，必须与NCT的认证机构达成一致。客户对其广告设计的责任不受影响。

15.2 Obligations of the customer (exporter) 客户（出口商）的义务

During the period of validity of the certificate the customer is, in addition to the compliance with all requirements of this certification program, obliged to 在证书有效期内，客户除了遵守本认证计划的所有要求外，还有义务：

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- 1) Fulfillment of specified requirements and conditions such as product requirements, including any changes, which must be fulfilled as a condition for establishing or maintaining the certification.

满足规定的要求和条件，如产品要求，包括任何变更，这些要求和条件必须作为建立或维护认证的条件来满足。

- 2) Defining a new type description in case of a change to a certified product for the modified product, if it is also to be certified.

如果修改后的产品也要认证，则在认证产品发生变化的情况下定义新的类型描述

- 3) Duplication of documents, certificates and any annexes in their entirety if the customer provides the certification documents to others. The duplication must be done as follows:

如果客户向他人提供认证文件，则应完整复制文件、证书和任何附件。复制必须按如下方式进行

- unique identification as a copy, 唯一标识作为副本
- the duplicated documents shall be marked with the note that they are excluded from the revision service. 复制的文件应注明不接受修订服务
- The customer is obliged to make records of all manner of disclosure, including details of the purpose for which and to whom the certificate and any annexes have been handed over.

客户有义务记录所有披露方式，包括证书和任何附件移交的目的和对象的详细信息。

- 4) Permit that the certification body of NCT is allowed to pass on information, documents and the like, which relate to the contract with the customer and the subject of the contract at the request of the approval and accreditation bodies of the certification body of NCT.

允许NCT的认证机构应NCT认证机构的批准和认证机构的要求，传递与客户和合同标的有关的信息、文件等。

- 5) Notification of and for written approval by the certification body of NCT regarding organization and management, regarding the certified product, system and personnel and any intended product changes, either through further development or through the replacement of components in time and before the products are put into production or placed on the market. The continuance of the product certificate depends on the result of a possible additional check.

在产品投入生产或投放市场之前，通过进一步开发或及时更换组件，向NCT认证机构发出关于组织和管理、认证产品、系统和人员以及任何预期产品变更的书面批准通知。产品证书的延续取决于可能进行的额外检查的结果。

- 6) Notification of the certification body of NCT of any change in the submitted production process, of the organization, the management or the quality management system concerning the product.

向NCT认证机构通知所提交的生产过程、组织、管理或产品质量管理体系的任何变更。

- 7) Timely notification of the certification body of NCT in case of an intended relocation of the production facilities orincaseofanintendedtransferofthecompanytoanothercompanyoranothercompanyownerintime.

如果打算搬迁生产设施，或打算及时将公司转让给另一家公司或另一家企业所有人，应及时通知NCT认证机构。

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- 8) Authorizing the certification body of NCT to disclose information that has become public due to legal or regulatory reporting requirements in relation to the product certification body.
授权NCT认证机构披露因与产品认证机构有关的法律或监管报告要求而公开的信息。
- 9) Enabling periodically recurring inspections of product manufacturing by the certification body of NCT
使NCT认证机构能够定期对产品制造进行重复检查
- 10) Verifiable observance of the instructions from the periodic manufacturing controls and the surveillance activities of the certification body of NCT
可验证地遵守NCT认证机构的定期制造控制和监督活动的指示
- 11) Compliance with a contractual agreement with the actual manufacturer by the customer, which must be observed in manufacturing the product and which includes the tolerance of required control measures, if the customer as product certificate holder is not the manufacturer of the product.
如果作为产品证书持有人的客户不是产品的制造商，则客户必须遵守与实际制造商签订的合同协议，在制造产品时必须遵守该协议，其中包括所需控制措施的公差。
- 12) Independent observance of the obligation to report to the authorities as a manufacturer or distributor either by themselves or through an authorized representative, despite of a product certification by the certification body of NCT
独立遵守自行或通过授权代表向作为制造商或分销商的当局报告的义务，尽管NCT认证机构已经进行了产品认证
- 13) Possibility of participation of observers. This applies to employees of NCT and the authority during observation activities. Each of these observers is bound to secrecy.
观察员参与的可能性。这适用于观察活动期间NCT的员工和当局。这些观察者中的每一个都必须保密。
- 14) Enabling witness audits (definition see chapter 20) of the various approval and accreditation bodies of the certification body of NCT as well as higher-level QM departments of the NCT in its operating facilities and its subcontractors as well as the corresponding obligation of its subcontractors.
允许对NCT认证机构的各种批准和认证机构以及NCT运营设施和分包商的上级QM部门进行见证审核（定义见第20章），并履行其分包商相应的义务。
- 15) Ongoing monitoring of the certified products to ensure that the products comply with the certified samples and meet all product requirements.
对认证产品进行持续监控，以确保产品符合认证样品并满足所有产品要求。
- 16) At any time granting and enabling to carry out evaluations, appraisals and surveillances (if necessary) by the NCT This includes, but is not limited to, consideration of documentation and records, access to equipment, location(s) and production area(s), personnel and subcontractors of the customer.
在任何时候，授权并允许NCT进行评估、鉴定和监督（如有必要）。这包括但不限于考虑文件和记录、访问设备、地点和生产区域、人员和客户的分包商。
- 17) Execution of the production with high care concerning the excellence and quality including the verification that the certified product continues to meet the product requirements.

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在卓越和质量方面高度谨慎地执行生产，包括验证认证产品是否继续满足产品要求。

- 18) Recording, investigation and treatment as well as archiving and compilation of all complaints and claims concerning the certified product, which are known by the market or third parties, as well as submission of these complaints to the certification body of NCT and to inform the certification body of NCT at its request. This requirement of recording extends to the entire validity period of the product certificate. After expiry of the product certificate, the records must be kept for 6 years. Appropriate measures must be taken and documented.

记录、调查和处理以及归档和汇编市场或第三方所知的与认证产品有关的所有投诉和索赔，并将这些投诉提交给NCT认证机构，并应NCT的要求通知其认证机构。这一记录要求延伸到产品证书的整个有效期。产品证书到期后，记录必须保存6年。必须采取适当的措施并记录在案。

- 19) Immediate remedying of safety defects on certified products which subsequently become apparent. In any case, the customer shall stop placing these products on the market and immediately inform the certification body of NCT

立即补救随后变得明显的认证产品的安全缺陷。在任何情况下，客户应停止将这些产品投放市场，并立即通知NCT的认证机构

- 20) Use of product certification to the extent that the certification body is not discredited or to make any statements about its product certification that the certification body may consider to be misleading or unjustified.

在认证机构没有信誉受损的情况下使用产品认证，或就其产品认证作出认证机构可能认为具有误导性或不合理的任何声明。

- 21) Carry out all required measures, which are brought to the attention by NCT in case of suspension, withdrawal or termination of the certification as well as to stop the usage of any advertising materials which contain any reference to the certification. Furthermore, all specifications of this certification program shall be considered (e.g. the return of certification documents, logos).

在认证暂停、撤销或终止的情况下，采取NCT提请注意的所有必要措施，并停止使用任何包含认证参考的广告材料。此外，应考虑本认证计划的所有规范（例如，认证文件、徽标的归还）。

15.3 Rights of the certification body 认证机构的权利

If the certification body of NCT has carried out the testing of the certified product by itself, then in the above-mentioned sense, the information on the procedure of the test, the issue and withdrawal of product certificates and occurrences as well as measures to protect against risks that indirect or directly related to the tested products shall be included.

如果NCT的认证机构自行对认证产品进行了测试，那么在上述意义上，应包括测试程序、产品证书的颁发和撤回以及事件的信息，以及防范与测试产品间接或直接相关的风险的措施。

The certification body of NCT reserves the right to charge the costs incurred in connection with the clarification of such occurrences to the customer.

NCT认证机构保留向客户收取与澄清此类事件有关的费用的权利。

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15.4 Obligations of the certification body 认证机构的义务

NCT have below rights in case if needed 如有需要，NCT拥有以下权利

- ✓Obligation to provide information when third parties are included in the activities,
当第三方参与活动时，有义务提供信息，
- ✓Responsibility for the publication of the “Certification Scope”,
负责发布“认证能力范围”，
- ✓Storage obligation of records
记录的存储义务
- ✓Reporting obligations acc. applicable rules and laws, to the necessary bodies/authorities, must be observed and listed.
必须遵守并列根据适用规则和法律向必要机构/当局报告的义务。
- ✓If required, disclosure of information from the customer to the necessary authorities 如有需要，将客户信息披露给必要的机构
- ✓Impartiality during the service provision
服务提供过程中的公正性
- ✓Confidential handling of the information obtained within the framework of the legal and normative provisions.
在法律和规范规定的框架内对获得的信息进行保密处理。

16 Fees & Commissions 费用与佣金

16.1 Quotations 引文

Fees are to be quoted at the time of nomination, and proposed to the direct manager for approval, before sending it to the client.

费用应在提名时报价，并在发送给客户之前提交给直接经理批准。

Quotations should be defined depending on the scope of work, including charges such as, testing, inspection, certification, sampling, loading, audit, re-issuance, licensing, registration Etc.

报价应根据工作范围确定，包括测试、检验、认证、取样、装载、审计、重新发放、许可、注册等费用...。等等

The recommended fees refer to the quotation guidance document “NCT-QPPC-4.1-01-F01 Certification Quotation” stipulated by NCT

建议费用参考NCT规定的报价指导文件NCT-QPPC-4.1-01-F01《认证报价》

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✓ The above fees cover documentary verification and issuance of Product Certificate.

上述费用包括文件验证和产品证书的颁发。

✓ The above fees do not include testing and factory audit.

上述费用不包括测试和工厂审核。

NCT Office is free to waive this fee depending on the local market; if the overall profitability of the business is assured.

NCT办公室可根据当地市场免费免除此费用；如果企业的整体盈利能力得到保证。

Once the quotation is approved by the client; quotation is to be uploaded under the client's folder, where all Certification application review personnel / Acceptance Officer s can access.

一旦客户批准了报价；报价单将上传到客户的文件夹下，所有受理人员都可以访问该文件夹。

16.2 Invoicing and payment methods 发票开具和付款方式

Invoice must clearly Show the details of the service, and should be uploaded under the related files, where all Certification application review personnel / Acceptance Officer s can Access.

发票必须清楚地显示服务的详细信息，并应上传到相关文件下，所有受理人员都可以访问。

Invoices can be paid in advance or after the service is done, depending on the client's history with the company. Advanced payments from new clients or clients with high orders are strongly recommended.

发票可以提前支付，也可以在服务完成后支付，具体取决于客户在公司的历史记录。强烈建议新客户或高订单客户提前付款。

17 Relevant additional information 相关附加信息

17.1 Complaints and objections 投诉与异议

Within the product certification process the customer has the opportunity to lodge a complaint or an objection, with regard to decisions made by the certification body to the certification body of NCT

在产品认证过程中，客户有机会就认证机构向NCT认证机构作出的决定提出投诉或异议

The proposed procedure can be found on the NCT website at <https://www.ncttesting.cn/>.

拟议程序可在NCT网站<https://www.ncttesting.cn/> 上找到。

In case of denying a complaint or an objection the certification body of NCT has to give a meaningful reason for their decision to the customer.

如果拒绝投诉或异议，NCT的认证机构必须向客户提供有意义的理由。

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If the reason given by the certification body of NCT is not accepted by the customer and no agreement or mutual solution of the matter can be established with the management of the certification body of NCT, then the customer is entitled to the legal process.

如果客户不接受NCT认证机构给出的理由，并且无法与NCT认证机关的管理层达成协议或共同解决问题，则客户有权诉诸法律程序。

17.2 Copyright 版权

All copyrights to the test and monitoring reports, certificates, expert opinions, calculations and other results documented, provided by the certification body of NCT, remain by the certification body of NCT. The transfer, application and/or publication of the service beyond the contractually purpose requires the prior written agreement of the certification body of NCT. In the case of the transfer, application and/or publication of the service, the customer is responsible for compliance with the legal regulations. The customer shall indemnify the certification body of NCT to the extent that any third-party claims are infringed.

由NCT认证机构提供的测试和监测报告、证书、专家意见、计算和其他记录结果的所有版权仍由NCT的认证机构保留。超出合同目的的服务转让、应用和/或发布需要NCT认证机构的事先书面同意。在转让、申请和/或发布服务的情况下，客户有责任遵守法律规定。客户应赔偿NCT认证机构因第三方索赔而受到的损害。

17.3 Non-Disclosure / Confidentiality/Dataprotection 保密/机密性/数据保护

The NCT has committed its employees and other fulfillment agents to confidentiality about all facts which have been brought to their notice during the service.

NCT已承诺其员工和其他履约代理对服务期间获悉的所有事实保密

This commitment extends in case of involvement of third parties for these.

在第三方参与的情况下，这一承诺也适用。

The customer allows the certification body of NCT to make copies from written documents, drawings, plans, etc. for the files, which are left to the certification body of NCT for reference.

客户允许NCT认证机构从书面文件、图纸、计划等中复制文件，这些文件将留给NCT认证机关参考。

When handling personal data, NCT will comply with the provisions of the Data Protection Act, the GDPR and the Telecommunications Act and will take the technical and organizational measures required for data protection in the area of its responsibility.

在处理个人数据时，NCT将遵守《数据保护法》、《通用数据保护条例》和《电信法》的规定，并在其职责范围内采取数据保护所需的技术和组织措施。

NCT commits in particular to ensure that its employees comply with the provisions of § 6 of the Data Protection Act.

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NCT特别承诺确保其员工遵守《数据保护法》第6条的规定。

The privacy statement acc. to Art. 13 and 14 GDPR can be found on the website (<https://www.ncttesting.cn/>).

根据GDPR第13条和第14条的隐私声明可以在网站 (<https://www.ncttesting.cn/>) 上找到。

With regard to further non-disclosure/confidentiality/data protection regulations, NCT refers to the applicable provisions of the general terms and conditions (<https://www.ncttesting.cn/>).

关于进一步的保密/机密/数据保护规定，NCT参考了一般条款和条件 (<https://www.ncttesting.cn/>) 的适用规定。

17.4 Attempt to defraud 企图诈骗

The certification body of NCT reserves the right to demand a fine of up to EUR 15,000 in the event of a fraudulent attempt, such as the preamble of a valid certification. If this is not done, NCT reserves the right to initiate legal proceedings.

NCT认证机构保留在发生欺诈企图的情况下要求最高15000欧元罚款的权利，例如有效认证的序言。如果不这样做，NCT保留提起法律诉讼的权利。

18 Violation against the certification regulations of NCT 违反NCT认证规定

In the event of a violation by the customer against the certification regulations for product certification and the contractual agreement, the certification body of NCT is entitled to demand a contractual penalty up to an amount of EUR 15,000 for each violation by the product certificate holder in addition to the invalidation of the product certificate.

如果客户违反产品认证的认证规定和合同协议，NCT的认证机构有权要求产品证书持有人每违反一项规定，除产品证书无效外，还可处以最高15000欧元的合同罚款。

However, the certification body of NCT is not obliged to assert any excess damages. In addition, the certification body of NCT reserves the right to cancel the contract with immediate effect without notice and, if necessary, to declare all other product certificates existing for the customer invalid as soon as the certification body of NCT detects the violation.

然而，NCT的认证机构没有义务要求任何超额赔偿。此外，NCT认证机构保留立即取消合同的权利，恕不另行通知，并在必要时，一旦发现违规行为，立即宣布客户现有的所有其他产品证书无效。

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The certification body of NCT reserves the right to require the customer to reimburse the expenses incurred by the customer against the certification provisions for product certification. Such expenses are, e.g. costs of comparative testing of certified products with products from the market, necessary searches, production site inspections, shipping controls (e.g. shipment inspections), stock control checks and other measures which are necessary to be documented for the certification body of NCT.

NCT认证机构保留要求客户报销客户因产品认证规定而产生的费用的权利。这些费用包括，例如，将认证产品与市场产品进行比较测试、必要的搜索、生产现场检查、装运控制（如装运检查）、库存控制检查以及其他需要记录在NCT认证机构中的措施的费用。

The costs incurred for such measures shall be charged by the certification body of NCT to the customer according to the applicable price list at the expense.

此类措施产生的费用应由NCT认证机构根据适用的价格表向客户收取。

19 Applicable Standards 适用标准

The customer has to check the applicable standard and combined with the scope of NCT's capabilities; Refer to “NCT-QR-002 NCT Capability List”.

客户必须检查适用的标准并结合NCT的能力范围；详见《NCT-QR-002 NCT 认证范围》

✓If the technical regulation does not specify any standard related to the customer product; the below standards are to be used in priority order as below 如果技术法规没有规定与客户产品相关的任何标准；以下标准将按以下优先级顺序使用：

- International Standards (ISO, IEC...) 国际标准（ISO、IEC…）
- National Standards (NF-, BS-, DIN-,GB...) 国家标准（NF-、BS-、DIN-、GB…）

20 Definitions and abbreviations 定义和缩写

Complaint 投诉
This is a verbal or specific written statement of a third party which communicates the dissatisfaction due to apparent or actual inconveniences in the domain of the accredited certification body of NCT. 这是第三方的口头或具体书面声明，表达了对NCT认证机构领域明显或实际不便的不满。
Objection 异议
This is a verbal or specific written statement of a third party which communicates the objection against a decision of the accredited certification body of NCT. 这是第三方对NCT认证机构的决定提出异议的口头或具体书面声明。

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Conformity Assessment Body (CAB) 合格评定机构 (CAB)

The company which carries out conformity assessment activities including calibration, test, certification and examination,

开展校准、测试、认证和检验等合格评定活动的公司，

Conformity Assessment 合格评定

All operations performed to determine the conformity of the product with the relevant technical regulation.

为确定产品是否符合相关技术法规而进行的所有操作。

Certificate of Conformity 符合性证书

Written document issued if the conformity assessment process is positive.

如果合格评定过程是肯定的，则发布书面文件。

Standard 标准

The features, processing and production methods of the product for common and repeated uses, approved by an agreed organization, intended to establish an order at the most appropriate level under the current conditions, their respective terminology, symbol, packaging, marking, labeling and conformity arrangements that specify one or more of.

通用和重复使用的产品的特征、加工和生产方法，经商定的组织批准，旨在当前条件下建立最合适的订单，其各自的术语、符号、包装、标记、标签和符合性安排

其中指定了一个或多个。

Contract 合同

This is the agreement signed between NCT and the manufacturer which regulates the conditions of the right to use the certificate for the organization performing the production deemed sufficient to be certified within the scope of this procedure.

这是NCT与制造商签署的协议，用于规范执行生产的企业在本程序范围内被认为足以获得认证的证书使用权的条件。

Manufacturer 制造商

A natural or legal person who produces, corrects, identifies himself as a producer by placing his name, trademark or distinguishing mark; if the manufacturer is outside of Turkey, the authorized representative of the manufacturer and/or importer; In addition, the natural or legal person in the supply chain whose activities affect the reliability of the building material.

通过放置自己的姓名、商标或识别标志来生产、更正、标识自己为生产者的自然人或法人；如果制造商在土耳其境外，则制造商和/或进口商的授权代表；此外，供应链中的自然人或法人，其活动影响建筑材料的可靠性。

Technical Specifications 技术规格

Standards and European technical approvals.

标准和欧洲技术认证。

Inspection 检查

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Performing certain functions such as inspecting, advising in accordance with the issuance of conformity certificate and controlling the quality control works, material selection and evaluation of the manufacturer in the factory or elsewhere, within the framework of certain criteria.

在某些标准的框架内，在工厂或其他地方执行某些职能，如检查、根据合格证书的颁发提供建议和控制质量控制工作、材料选择和制造商的评估。

Product Certification System 产品认证体系

Rules, procedures and management of product conformity assessment by third party (Reference ISO/IEC 17067).

第三方产品合格评定的规则、程序和管理（参考ISO/IEC 17067）。

Product Certification Program 产品认证计划

Certification system of products associated with the same requirements, procedures and rules as defined See Certification program ISO/IEC 17067 Table 1 (see GUI-002a) in accordance with Article 1.3 of Annex V to the 305/2011/EU Building Materials Regulation (Reference ISO/IEC 17067). Certification Programs are based on the Schema Guide).

根据305/2011/EU建筑材料法规（参考ISO/IEC 17067）附件五第1.3条，与定义的相同要求、程序和规则相关的产品认证体系见认证程序ISO/IEC 17067表1（见GUI-002a）。认证计划基于模式指南）。

Ministry 部门

Expresses the Ministry of Environment and Urbanization.

代表环境和城市化部。

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Notified Body 公告机构

Assessment Body, the name of which has been notified to the Commission, which is located in Turkey and which has been assigned by the Competent Authority to carry out conformity assessment activities under a technical regulation in accordance with the Regulation of Conformity Assessment Bodies and Notified Bodies and principles specified in the relevant technical legislation.

评估机构，其名称已通知委员会，位于土耳其，由主管当局指定，根据《合格评定机构和公告机构条例》以及相关技术立法规定的原则，根据技术法规开展合格评定活动。

Surveillance 监督

Sample verification of the effectiveness of the implementation and management system after certification, if any, with sub-areas.

认证后实施和管理体系有效性的抽样验证（如有），包括子领域。

Nonconformity 不符合

General non-conformities, including but not limited to the following examples:

一般不符合项，包括但不限于以下示例：

✓A standard requirement is that the process / procedure as a whole is not defined and/or implemented to the extent required.

标准要求是，整个过程/程序没有按照要求进行定义和/或实施。

✓Possibility of defective products /services

缺陷产品/服务的可能性

✓Impacts that may cause product / service to be impaired or restricted

可能导致产品/服务受损或受限的影响

✓Causes of deterioration of the management system

管理体系恶化的原因

✓Processes or practices that endanger employees

危及员工的流程或做法

✓An inability to recognize a part of the management system documentation

无法识别管理体系文件的一部分

✓Poor evidence that standard requirements are met

满足标准要求的证据不足

***** The end *****