



**北京鉴衡认证中心**

**China General Certification Center**

**自愿性产品认证 批准、保持、延长、  
暂停、恢复、撤销和注销的条件和  
程序**

**Voluntary product certification -  
Procedure for approving, retain,  
extending, suspending, recovering  
withdrawing and cancelling**

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## 1 目的 Purpose

为加强对获证产品的管理，明确认证批准、保持、延长、暂停、恢复、注销和撤销证书的条件，确保 CGC 的公正性和权威性，特制定本程序。

In order to strengthen the management of certified products, clearly verify the conditions for approving, retain, extending, suspending, recovering withdrawing and cancelling of certificates, and ensure the fairness and authority of CGC.

## 2 适用范围 Scope

本程序适用于 CGC 自愿性产品认证的对认证产品的批准、保持、延长、暂停、恢复、撤销和注销。

This procedure applies to the approval, retention, extension, suspension, restoration, withdrawing and cancellation of certified products by CGC Voluntary Product Certification.

## 3 职责 Obligation

3.1 业务部组织认证决定人员/技术委员会进行认证决定，并将认证证书信息公布和上传。

Business department organizational certification decisions personnel / technical committee conducts the certification decision and publishes and uploads the certificate information.

3.2 认证决定人员/技术委员会负责做出认证决定。

The certification decision officer / technical committee is responsible for making the certification decision.

3.3 业务部总经理负责对认证决定进行审批。

General manager of business department is responsible for administrative approving the certification decision.

## 4 条件 Condition

4.1 批准认证的条件 Conditions for approval of certification

同时符合下列条件的，可颁发认证证书：At the same time meet the following conditions, may issue a certificate:

a) 申请人承诺在认证过程中承担应负的责任和义务；


The applicant undertakes to assume responsibility and obligation in the certification process;

b) 认证规则中的全部要求得到满足；

All requirements in the certification rules are met;

c) 产品性能经检测符合相应认证用标准及补充技术条件；

The tested product performance shall meet the appropriate certification standards and

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additional technical conditions;

d) 企业质量保证能力经检查符合质量保证能力要求;

The quality assurance capability of enterprises is checked to meet the quality assurance capability requirements;

e) 当发生认证变更时, 经 CGC 确认。

Confirmed by CGC, when a certification change occurs.

#### 4.2 保持认证的条件 Conditions to maintain certification

同时符合下列条件的, 可继续持有认证证书:

Only fulfill the following conditions at the same time, client can continue to hold a certificate:

a) 通过产品性能监督检测, 满足相应认证用标准及补充技术条件;

Through product performance surveillance and test to meet the corresponding certification standards and additional technical conditions;

b) 所有认证产品通过企业质量保证能力的监督, 证明企业质量保证能力满足质量保证能力要求。

All certified products pass through the surveillance of enterprise quality assurance capabilities to prove that the quality assurance capabilities to meet the requirements.

#### 4.3 延长认证的条件 Extending certification conditions

认证证书有效期截止前 6 个月, 证书持有人向 CGC 提交复评/再认证申请, 复评通过。

6 months before the expiry date of the certificate, the certificate holder will submit the re-evaluation / re-certification application to the CGC.


#### 4.4 暂停认证的条件 Suspension of certification condition

当出现下列情况之一时暂停认证证书, 在相关情况确认后 5 日内, 暂停该证书, 并在做出暂停决定当日业务部用挂号信或等效方式书面通知证书持有人暂停使用认证证书和认证标志:

The certificate is suspended when one of the following conditions occurs and the business department within 5 days informs the certificate holder to stop using the certificate and the certification mark in written form by letter or equivalent:

a) 认证委托人/相关方 (包括生产者、销售者、进口商、生产厂, 下同) 违反国家法律法规、国家级或省级监督抽查结果证明产品存在不合格, 但不需要立即撤销认证证书;

The certification client/related party (including producers, sellers, importers,

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manufacturers, the same below) violates national laws and regulations, national or provincial supervision and test results prove that the product is unqualified, but there is no need to cancel the certification immediately;

- b) 认证产品适用的认证依据或者认证实施规则换版或变更，认证委托人在规定期限内未按要求履行变更程序，或产品未符合变更要求；

The certification basis or implementation rules applicable to the certified product are changed or changed, and the certification client fails to perform the change procedure as required within the prescribed time limit, or the product fails to meet the change requirements;

- c) 监督检查结果证明认证委托人违反自愿性认证实施规则的规定（包括产品抽样检测不合格、工厂监督检查不合格、产品一致性存在问题等）或认证机构相关要求，但通过整改可以达到认证要求；

The supervision and inspection results prove that the certification client has violated the provisions of the voluntary certification implementation rules (including product sampling test failure, factory supervision and inspection failure, product consistency problems, etc.) or the relevant requirements of the certification body, but can meet the certification requirements through rectification;

- d) 认证委托人/相关方未按规定使用认证证书和认证标志，视情节需要开展调查；  
If the certification client/relevant party fails to use the certification certificate and certification mark as required, an investigation shall be carried out according to the circumstances;


- e) 认证委托人/相关方无正当理由不接受或不能在规定的期限内接受国家有关部门或认证机构的监督检查或监督抽样检测；

The certification client/relevant party does not accept or cannot accept the supervision and inspection or supervision sampling test of the relevant national departments or certification bodies within the prescribed period of time without justifiable reasons;

- f) 认证委托人/相关方不配合国家有关部门或认证机构依据自愿性认证实施规则在市场或销售场所抽取样品进行检测；

The certification client/relevant party does not cooperate with the relevant national departments or certification bodies in accordance with the implementation of voluntary certification rules in the market or sales site to take samples for testing;

- g) 认证证书的信息（如申请人/生产者/生产厂的名称或地址，获证产品型号或规格等）发生变更或有证据表明生产厂的组织结构、质量保证体系发生重大变化，

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认证委托人未向认证机构申请变更批准或备案；

The information of the certification certificate (such as the name or address of the applicant/producer/factory, the model or specification of the certified product, etc.) has changed or there is evidence that the organizational structure and quality assurance system of the production plant have undergone major changes, and the certification client has not applied to the certification body for approval or filing of the change;

- h) 由于生产的季节性、按订单生产等原因，认证委托人申请暂停认证证书；

Due to seasonal production, production according to order and other reasons, the certification client applies for suspension of the certification certificate;

- i) 产品质量被投诉、且证实属实，未造成严重后果不构成撤销条件的；

The quality of the product is complained about and confirmed, and no serious consequences do not constitute a condition for cancellation;

- j) 逾期未交纳认证费用的；

overdue payment of certification fees;

- k) 企业质量保证能力因变化而达不到认证要求；

The quality assurance ability of the enterprise fails to meet the certification requirements due to changes;

- l) 产品性能下降，达不到标准要求及其补充技术条件；

Product performance decline, not up to the standard requirements and its supplementary technical conditions;

- m) 证书持有人不接受 CGC 的监督复查；

The certificate holder does not accept the supervision and review of CGC;

- n) 对连续两次现场监督获证产品未生产，证书持有人提出暂停认证证书的；

For two consecutive on-site supervision of the certified product is not produced, and the certificate holder proposes to suspend the certification certificate;

- o) 证书持有人列入国家信用信息严重失信主体相关名录；


The certificate holder is listed in the relevant list of national credit information seriously untrustworthy subjects;

- p) 企业提出暂停要求；

request for suspension by the enterprise;

- q) 其他应当暂停认证证书的情形。

Other circumstances in which the certification should be suspended.

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#### 4.5 恢复认证的条件 Recovery of certification conditions

在暂停期间，企业经过整改符合要求。

During the suspension period, the enterprise has been rectified to meet the requirements.

注：超过暂停期限的证书不得申请恢复并予以撤销。

Note: Certificates beyond the suspension period cannot be reinstated and revoked.

#### 4.6 撤销认证的条件 Withdrawal certification conditions

出现下列情况之一时撤销认证证书，业务部用挂号信或等效方式书面通知认证证书持有人停止使用认证证书和认证标志：

In the event of any of the following circumstances, the certificate shall be withdrawal and the business department shall notify the holder of the certificate in writing registered letter or equivalent means to stop using the certificate and certification mark:

- a) 在认证证书暂停期限届满，认证委托人未提出认证证书恢复申请、未采取整改措施或者整改后仍不合格；

At the expiration of the suspension period of the certification, the certification client has not submitted an application for the restoration of the certification, has not taken corrective measures or is still unqualified after rectification;

- b) 产品存在严重安全隐患；

The product has serious safety risks;

- c) 认证机构的跟踪检查结果证明工厂质量保证能力存在严重缺陷的；

The tracking inspection results of the certification body prove that there are serious defects in the quality assurance capability of the factory;

- d) 认证委托人提供虚假样品，获证产品与型式实验样品不一致的；

The certification client provides false samples, and the certified products are inconsistent with the type test samples;


- e) 认证委托人/相关方违反国家法律法规、国家级或省级监督抽查结果证明产品出现严重缺陷、产品安全检测项目不合格或一致性存在严重问题；

The certification client/relevant party violates national laws and regulations, the national or provincial supervision and random inspection results prove that the product has serious defects, the product safety test items are unqualified or the consistency of serious problems;

- f) 获证产品出现缺陷而导致质量安全事故的；

Quality and safety accidents caused by defects in certified products;



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- g) 对被暂停认证证书后，仍拒绝接受监督检查或监督抽样检测，或仍不配合在市场或销售场所抽取样品进行检测；  
After the certification is suspended, still refuse to accept supervision and inspection or supervised sampling testing, or still do not cooperate in the market or sales place to take samples for testing;
- h) 认证委托人/相关方未按规定使用认证证书、认证标志，出租、出借或者转让认证证书、认证标志，情节严重；  
If the certification client/relevant party fails to use the certification certificate or certification mark as required, rent, lend or transfer the certification certificate or certification mark, the circumstances are serious;
- i) 弄虚作假，采用欺骗、贿赂等不正当手段获取认证证书，或存在其他直接影响认证结果有效性的严重违法违规行为；  
resorting to fraud, using fraud, bribery and other improper means to obtain certification, or other serious violations of laws and regulations that directly affect the validity of the certification results;
- j) 伪造认证证书和认证标志；  
Forging certificates and certification marks;
- k) 拒不缴纳认证费用；  
refuse to pay the certification fee;
- l) 证书持有人不能接受监督检查；  
The certificate holder cannot accept supervision and inspection;
- m) 其他应撤销认证证书的情形。

Other circumstances under which the certification should be revoked.

#### 4.7 注销认证的条件 Cancellation of certification conditions

出现下列情况之一时注销认证证书，业务部用挂号信或等效方式书面通知证书持有人停止使用认证证书和认证标志：

The certificate is canceled by one of the following circumstances: The business department uses the registered letter or equivalent means to notify the certificate holder to stop using the certificate and certification mark:

- a) 证书的持有人提出申请注销；  
the holder of the certificate applies for cancellation;
- b) 证书超过有效期，证书的持有人未申请延期使用的；  
the certificate has expired and the holder of the certificate has not applied for an



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extension;

- c) 获证产品型号已列入国家命令淘汰或禁止生产的产品目录;

The certified product model has been included in the national order to eliminate or prohibit the production of the product catalog;

- d) 持证人/生产厂由于企业破产、倒闭、解散、生产结构调整等原因致使获证产品不再生产，持证人主动放弃保持认证证书;

The holder/manufacturer no longer produces the certified products due to enterprise bankruptcy, bankruptcy, dissolution, production structure adjustment and other reasons, and the holder voluntarily gives up maintaining the certification;

- e) 更换认证机构;

Change the certification body;

- f) 认证证书的颁发有错误，企业申请注销;

There is an error in the issuance of the certification certificate, and the enterprise applies for cancellation;

- g) 企业不再生产认证产品;

The enterprise no longer produces certified products;

- h) 由于认证标准或其补充条件的内容发生较大变化，证书持有人满足认证要求换发新证书时，原认证证书注销;

Due to major changes in the content of the certification standard or its supplementary conditions, the certificate holder meets the certification requirements and issues a new certificate, the original certificate shall be cancelled;

- i) 由于认证标准或其补充条件的内容发生较大变化，证书持有人认为达不到变化的要求时，不再申请/保持认证;

Due to major changes in the content of the certification standard or its supplementary conditions, the certificate holder believes that the changed requirements can not be met, no longer apply for/maintain certification;

- j) 其他。

Other.

#### 4.8 不予批准的条件 Conditions for non-approval

出现下列情况之一时，不予颁发认证证书:

A certificate will not be issued if one of the following occurs:

- a) 设计评估不通过;

Design evaluation does not pass;

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- a) 产品检测不通过;  
Product testing does not pass;
- b) 工厂检查不通过;  
Factory inspection does not pass;
- c) 无正当理由拒不接受设计评估、产品检测或工厂检查安排;  
Refuses to accept design evaluation, product inspection or factory inspection arrangements without justification;
- d) 其它信息充分证明认证产品不满足认证要求。  
Other information fully certifies that the certified product does not meet the certification requirements.

## 5 工作程序 Working procedure

5.1 认证的批准、保持、延长和恢复 Approval, maintenance, extension and recovery of certification

5.1.1 项目经理填写认证审批表（QPV0601）（风力发电机组整机适用 QPV0602，风力发电机组部件适用 QPV0603），准备认证审批材料，上报认证决定人员。

The project manager shall fill in the approval form (QPV0601 and QPV0602 for the wind turbine generator and QPV0603 for the wind turbine generator), prepare the certification approval materials and report to the certification decision personnel.

5.1.1.1 认证审批材料包括：申请资料、申请评审表、评价报告、复核报告、认证审批表、证书编制确认表、收集评价过程中其他有关信息及通过任何来源获取的信息。


Certification and approval materials include: application materials, application review form, evaluation report, review report, certification approval form, certificate preparation confirmation form, collection of other relevant information in the evaluation process and information obtained through any source.

5.1.1.2 相关认证人员负责解答认证决定人员的质疑。

The relevant certification personnel are responsible for answering the challenge of the certification decision.

5.1.1.3 必要时，业务部根据所认证企业的具体情况，从技术委员会成员中选定 1-2 人，作为此次评定专家。评定专家需满足以下所有条件：

If necessary, the business department selects 1-2 persons from the members of the technical committee as the expert of the assessment according to the specific circumstances of the certified enterprises. The rating expert must meet all of the following conditions:

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a) 未对受检查方的质量体系提供过咨询服务；

did not provide counseling services to the quality system of the inspector;

b) 近 2 年内未在受检查方任过职；

has not been worked for subject in the past two years;

c) 与受检查方无经济利益或商业关系的活动；

activities with no economic interest or business relationship with the inspector;

d) 未参加对受检查方的评价活动；

did not participate in the evaluation activities of the inspectors;

e) 应具有适当的专业技术知识和经验，并了解认证产品类别的有关法律、法规、标准及其他要求，熟悉 CGC 的相关工作程序和要求。

Should have appropriate professional and technical knowledge and experience, and understand the relevant laws, regulations, standards and other requirements of certified product categories, familiar with the relevant working procedures and requirements of CGC.

5.1.2 认证决定人员接到认证审批材料后，在 5 日之内做出认证决定，签署认证审批表。审批意见不通过时，则由业务部澄清有关问题或补正后发起重新上报。

After certification decision person received the certification approval of the material within 5 working days to make a certification decision, sign the certification approval form. Where the approval is not passed, the business department clarifies the relevant issue or corrects the re-submission.

5.1.3 部门总经理对认证决定进行行政审批，签署认证审批表。审批意见不通过时，则由业务部澄清有关问题或补正后发起重新上报。

General manager of business department shall carry out administrative approval of the certification decision and sign the approval form. Where the approval is not passed, the business department clarifies the relevant issue or corrects the re-submission.

5.1.4 如果最终审批意见是不予批准，业务部应向申请人做出说明。

If the final approval is not approved, the business department shall make a statement to the applicant.

5.1.5 暂停证书恢复的其它要求 Other Requirements for Suspending Certificate Recovery

5.1.5.1 暂停证书恢复时间自本机构颁发证书恢复使用通知书（QPV0607）之日算起，原证书的有效期不变；

The restoration time of the suspended certificate shall be counted from the date of the <Certificate recovery notice> (QPV0607) issued by the Authority, and the validity period of the original certificate shall remain unchanged;

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5.1.5.2 暂停证书恢复时，如发生变更时，按相关规定办理变更手续。变更批准后如需颁发变更证书，则变更证书生效后，旧证书立即撤销；如无需颁发变更证书，则颁发证书恢复使用通知书（QPV0607）；

When the certificate recovery is suspended, if there is any change, the change procedures shall be handled according to relevant regulations. If a change certificate needs to be issued after the change is approved, the old certificate shall be revoked immediately after the change certificate becomes effective; If there is no need to issue a change certificate, issue <Certificate recovery notice> (QPV0607);

5.1.5.3 暂停证书恢复手续，必须在证书暂停期限内完成，否则暂停证书无法恢复。

Suspending the certificate restoration procedure must be completed within the certificate suspension period; otherwise, the certificate cannot be restored.

## 5.2 认证的暂停、撤销和注销 Suspension, revocation and deregistration of certification

5.2.1 如果企业满足条款 4.4、4.6、4.7 所列情况，项目经理应填写 QPV0612 认证审批表（暂停、撤销和注销），详细说明暂停、撤销、注销证书的理由，并附相关证据，上报认证决定人员。经认证决定人员审批、部门总经理行政审批后执行。认证决定应在 5 日内完成。

If the enterprise meets the conditions listed in articles 4.4, 4.6 and 4.7, the project manager shall fill in the <certification approval form (suspension, revocation and deregistration)>(QPV0612), specify the reasons for suspension, revocation and deregistration, and attach relevant evidence, and report to the certification decision personnel. It shall be executed after the approval of the certification decision personnel and the administrative approval of the general manager of the department. The certification decision should be made within 5 days.

5.2.2 注销和撤销的认证证书应在废止证书登记表（QPV0610）上登记，并注明原因。

The certificate of cancellation and revocation shall be registered on the<Certificate abolishment form> (QPV0610), and indicate the reason.

5.2.3 暂停的认证证书应在暂停证书登记表（QPV0611）上登记。暂停认证期限一般不超过 3 个月，最长不得超过 6 个月。如果暂停认证是因为获证产品的质量问题的，在发送证书暂停使用通知书时，应根据具体情况要求企业对有关产品采取必要的措施，如：有关产品不得投放市场；对有潜在缺陷的产品采取纠正措施，必要时，包括召回售出产品等。要求企业不得就其认证资格做出误导性声明，并向现有的和潜在的所有相关采购方告知其认证状态，以及从证书暂停之日起所生产的产品禁止使用认证标志。同时明确恢复认证所需的条件。

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Suspended certificates should be registered on the Suspended Certificate Registration Form (QPV0611). The period of suspension of certification is generally not more than 3 months, the longest not more than 6 months. If the suspension of certification is due to the quality of the certified product, when sending the certificate suspension notice, the enterprise shall be required to take necessary measures for the relevant product according to the specific circumstances, such as: the relevant product shall not be put on the market; Take corrective action against potentially defective products, including recall of sold products, if necessary. Companies are required not to make misleading statements about their certification status and to inform all relevant current and potential purchasers of the status of their certification and to prohibit the use of the certification mark on products produced from the date of suspension of the certificate. It also specifies the conditions required to restore the certification.

5.3 业务部依据认证决定，在 2 天之内完成认证证书或证书保持、暂停、恢复、注销、撤销的通知（QPV0605~9）的制作并打印，通知有关单位，并将认证证书的相关信息在 CGC 官网上进行公布，并按照规定将证书信息上传认证认可监督管理委员会信息平台 and 或 IECRE 和或 IECEE 证书系统和或通知 IECRE、IECEE。

According to the certification decision, the business department shall complete the preparation and printing of the certification certificate or the notice of certificate maintenance, suspension, restoration, cancellation and cancellation (QPV0605~9) within 2 days, notify the relevant units, and publish the relevant information of the certification on the CGC official website. And upload the certificate information to the information platform of CNCA and/or the IECRE and IECEE certificate system and/or IECRE、IECEE in accordance with the provisions.

5.4 认证决定人员必须是未参与评价过程的人员，评价过程包括各个环节的评价。

The certification decision maker must be a person who is not involved in the evaluation process, which includes the evaluation of all aspects.

5.5 认证决定人员 2 年内不应对该产品提供过产品咨询。

The certification decision maker shall not have provided product consultation for the product within 2 years.

5.6 认证决定人员参与评价的补救措施：

Remedial measures for the participation of certification decision-makers in evaluation:

a) 立刻停止相关活动，其活动转交其它人员处理；

Immediately stop the relevant activities and transfer the activities to other personnel;

b) 对于尚未做出认证决定的情况的，之前的认证及评价等活动无效，应重新进行

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认证及评价；

For the case that no certification decision has been made, the previous certification and evaluation activities are invalid, and the certification and evaluation should be re-conducted;

c) 对于已经做出认证决定的情况的，且当前的认证资质是由该决定做出的，之前的认证及评价等活动无效，应重新进行认证及评价；

In cases where a certification decision has been made, and the current certification qualification is made by the decision, the previous certification and evaluation activities are invalid, and the certification and evaluation should be re-conducted;

d) 对于已经做出认证决定的情况的，且当前的认证资质不是由该决定做出的，应对该认证及评价活动进行识别，此活动是否可以覆盖之前的活动，若可以，则无需进行重新认证及评价；若不可以，则需要对不能覆盖的部分进行重新认证及评价。

In cases where a certification decision has been made, and the current certification qualification is not based on that decision, the certification and evaluation activity shall be identified, whether this activity can cover the previous activity, and if so, no re-certification and evaluation is required; If not, the parts that cannot be covered need to be re-certified and evaluated.

## 6 相关文件

IECRE 02

IECEE 02

## 7 记录 Records

1、 认证审批表（批准、保持、延长、恢复、不予批准）（QPV0601）

<Certification approval sheet(approve, maintain, extend, restore, disapprove) >

2、 风力发电机组整机认证审批表（批准、保持、延长、恢复、不予批准）（QPV0602）

<Approval form of Wind turbine generator certification(approve, maintain, extend, restore, disapprove) >

3、 风力发电机组部件认证审批表（批准、保持、延长、恢复、不予批准）（QPV0603）


<Approval form of Wind turbine components certification(approve, maintain, extend, restore, disapprove) >

4、 证书保持使用通知书（QPV0605）

<Certificate retain notice>

5、 证书暂停使用通知书（QPV0606）



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<Certificate suspension notice>

6、证书恢复使用通知书（QPV0607）

<Certificate recovery notice>

7、证书注销通知书（QPV0608）

<Certificate cancel notice>

8、证书撤销通知书（QPV0609）

<Certificate withdrawing notice>

9、 废止证书登记表（QPV0610）

<Certificate abolishment form>

10、 暂停证书登记表（QPV0611）

<Certificate suspension form>

11、 认证审批表（暂停、撤销和注销）（QPV0612）

<Certification approval form (suspension, revocation and deregistration)>(QPV0612)