Attachment 3

CNCA / CCC

Serial No.: CNCA-00C-008:2018

CNCA-00C-008-2018

China Compulsory Certification Implementation Rules - Self Declaration

强制性产品认证自我声明实施规则

Table of Contents

1 Scope

This Rules specifies the definitions, self-declaration procedure, compliance information submission and self-declaration requirements, CCC mark, requirements for self-selected laboratory, post-market supervision, responsibilities and obligations of related parties, etc. involved in the conformity assessment activities in the compulsory certification that demonstrate product compliance in a self-declaration manner.

This Rules applies to products in the compulsory certification catalogue which allow for self-declaration to prove the product compliance and to mark CCC marks.

2 Definitions

2.1 Producer (manufacturer)

The enterprise with legal-person status, registered within the territory of China, which produces or entrusts others to design, produce, and sell in its name/trademark and shall undertake the main-body responsibility for the product quality.

2.2 Authorized representative

The enterprise with legal-person status, registered within the territory of China, which is authorized in writing by an overseas producer (manufacturer) to submit a self-declaration and submit product compliance information on behalf of the overseas producer (manufacturer) to the CNCA's compliance information submission system.

Note: An overseas producer can choose his or her subsidiary, importer, or seller as an authorized representative.

2.3 Manufacturing enterprise

The enterprise entrusted by a producer to actually complete the production and assembly of products.

2.4 Importer

A Chinese domestic enterprise with legal-person status which imports products from overseas to the Chinese market for selling.

2.5 Seller

A Chinese domestic enterprise with legal-person status for the sale of products.

2.6 Business user

the designated certification body in the established manner or to adopt the self-declaration procedure B.

3.2 For products using the self-declaration procedure A, the producer/authorized representative arranges the product type test in the self-selected laboratory and issues a type test report. For products using the self-declaration procedure B, the product type test shall be carried out by a compulsory certification designated laboratory and a type test report shall be issued.

Type tests and reports shall be carried out in accordance with the relevant requirements of the implementation rules for product compulsory certification.

3.3 The producer shall establish technical documentation. The technical documentation shall contain at least all the contents required by Attachment II.

3.4 The producer/authorized representative shall sign a self-declaration. The self-declaration shall include at least all the contents required by Attachment III of this Rules.

3.5 The producer/authorized representative shall maintain self-declaration-related information. If necessary, the seller and business user shall also be able to provide or query self-declaration information about the products they sell/use.

3.6 When product design, technical characteristics, related compulsory certification requirements, or self-declaration-related information changes, the producer/authorized representative shall, based on the changes, supplement the assessment of product compliance and update the self-declaration and compliance information.

4 Compliance information submission and self-declaration requirements

4.1 Compliance information submission

Before the product leaves the factory or is imported, the producer/authorized representative shall register and submit a self-declaration in the information submission system and submit the following compliance information:

a) Certificate of business registration of domestic producer;

b) Certificate of business registration of authorized representative (applicable only to overseas producer);

c) Product description;

d) Standard information on which the type test is based;

6 Requirements for self-selected laboratory

6.1 Qualification requirements for self-selected laboratory

The operation of the self-selected laboratory shall be in accordance with the laws and regulations of the country (region) in which it is located.

The operation of the self-owned laboratory of producer, manufacturing enterprise, etc. shall comply with the requirements of GB/T 27025 (or the equivalent ISO/IEC 17025) and is encouraged to be approved by the CNAS (or an equivalent accreditation body).

Third-party laboratories registered in China shall pass the qualification accreditation of inspection and testing institutions. Third-party laboratories registered overseas must be approved by the CNAS (or an equivalent accreditation body).

6.2 Capability requirements for self-selected laboratory

a) It shall have the technical capability to carry out the testing of the relevant compulsory certification applicable standards (effective version).

b) It shall assign appropriate personnel to be responsible for laboratory management and support for the product type test of self-declaration procedure A in the CCC self-declaration manner.

c) It shall be ensured that laboratory personnel conduct type tests in accordance with the applicable standards for compulsory certification.

d) It shall timely update the technical capabilities required to ensure the effective implementation of type test.

e) It shall have the ability to issue complete and accurate type test reports.

f) The type test reports issued shall be able to meet the needs of the producer to control product consistency and compliance.

g) It shall be able to, in accordance with the requirements of this Implementation Rules, upload and manage the type test report, change report, and related information of self-declared product of the relevant producer/authorized representative.

7 Post-market supervision

7.1 The CNCA is responsible for organizing the implementation of the supervision and management of the self-declaration results and the use of the CCC mark. The local certification supervision and management department shall be responsible for the supervision and management of the self-declaration results and the use of the CCC

Attachment I: Self-declaration procedures

1 Self-declaration procedure A

1.1 The producer, in accordance with the requirements in this self-declaration procedure, implements internal quality control, so as to ensure that it undertakes the quality responsibility of the product to meet the requirements of this Rules;

1.2 The product is type-tested by a self-selected laboratory; and a type test report is issued, to prove that the product meets the applicable standards for compulsory certification;

1.3 The producer, in accordance with the requirements of Attachment II of this Rules, establishes technical documentation;

1.4 The producer shall aim at ensuring that the self-declaration products continue to meet the requirements of the applicable standards for compulsory certification; according to the requirements of this Rules and corresponding product certification implementation rules, for product characteristics and production and processing characteristics, ESTABLISH factory quality assurance capabilities, conduct self-examination, and issue a self-examination report;

1.5 The producer shall mark the CCC mark on its self-declaration products;

1.6 The producer/authorized representative shall sign the CCC self-declaration for the specific product; from the date of completion of the compliance information submission, keep it for at least 10 years for reference. The specific product model name shall be stated in the CCC self-declaration;

1.7 The producer/authorized representative shall be able to, as required by the certification supervision and management department and the market supervision and management department, provide CCC self-declaration and relevant information;

2 Self-declaration procedure B

2.1 The producer, in accordance with the requirements in this self-declaration procedure, implements internal quality control, so as to ensure that it undertakes the quality responsibility of the product to meet the requirements of this Rules;

2.2 The product shall be type-tested by a CCC designated laboratory and a type test report is issued, to prove that the product meets the applicable standards for compulsory certification;

2.3 The producer, in accordance with the requirements of Attachment II of this Rules, establishes technical documentation;

2.4 The producer shall, aiming at ensuring that the self-declaration products continue

------ The End ------