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China Compulsory Certification Implementation Rules -
Low-voltage switchgear and low voltage electrical
equipment

强制性产品认证实施规则 低压电器 低压成套开关设备

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0 Introduction

This Rules is established based on the safety risk and certification risk of low-voltage switchgear. It stipulates the basic principles and requirements for the implementation of China Compulsory Certification for low-voltage switchgear.

This Rules can be used with other general rules issued by Certification and Accreditation Administration (CNCA), such as “China Compulsory Certification Implementation Rules - Manufacturing Enterprise Classification Management, Certification Mode Selection and Determination”, “China Compulsory Certification Implementation Rules - Utilization of Manufacturing Enterprise Test Resource and Other Certification Results”, “China Compulsory Certification Implementation Rules - Factory Inspection General Requirements”.

The certification body shall make principles for certification according to the general implementation rules and this Rules and implement them accordingly.

Manufacturing enterprise shall ensure that their certified products are capable of sustaining compliance with the certification and are compatible with the requirements of the standards.

1 Application scope

This Rules applies to low-voltage switchgear, including complete sets of power switchgear with a rated voltage AC not exceeding 1000V and a frequency not exceeding 1000Hz, bus trunk system (busway), power panels, complete sets of equipment for construction sites, complete sets of power distribution equipment for public power grids, reactive power compensation devices.

Due to the changes in the laws, regulations or related product standards, technology, industry policies and other causes which may change the applicable scope, the announcement released by CNCA shall be final and conclusive.

2 Terms and definitions

Design appraisal: In this Rules, design appraisal refers to a non-test verification method that proves that the product meets the requirements of the certification basis standard by means of verification comparison and verification evaluation.

3 Standards for certification

CLIENT shall provide the required materials according to the requirements of application material checklist in certification implementation detailed-rules. Certification body is responsible for auditing, managing, preserving and keeping confidential of the relevant materials, and shall inform the CLIENT of the auditing results.

6.3 Implementation arrangement

Certification body shall agree with the CLIENT on the relevant responsibilities and arrangement of various aspects of certification implementation. And according to the situation of manufacturing enterprise and classification management AND the requirements of this Rules and certification implementation detailed-rules, DETERMINE the specific program of certification implementation and INFORM CLIENT.

7 Certification implementation

7.1 Type test

7.1.1 Type test plan

Certification body shall formulate the type test plan, after auditing the materials. And INFORM the CLIENT.

Type test plan includes the information all samples' requirements and quantity, test standard items, laboratory information etc.

7.1.2 Sample requirements of type test

The certification body shall specify the relevant requirements for sending/sampling of certified products in the implementation rules. In general, according to the requirements of certification body, samples of type test shall be submitted by the CLIENT with representative samples for test. When necessary, certification body may adopt on-site sampling / seal-samples method to obtain the samples.

CLIENT shall guarantee that all the samples provided are consistent with actual products. Certification body and/or laboratory shall inspect the authenticity of the samples. If laboratory has any doubt on the authenticity of the samples, it shall explain the situation to certification body and handle it accordingly.

According to relevant regulations and documents issued by CNCA, certification body shall specify the list of critical components and materials used in the product and relevant requirements in the certification implementation rules.

For critical components and materials within the scope of compulsory product certification purchased in China, the manufacturer shall provide a compulsory product certification certificate. For critical components and materials within the scope of non-mandatory product certification, the certification body shall specify the conditions and specific requirements for acceptable or recognized voluntary certification certificates or type test reports in the certification implementation

rules.

7.1.3 Test items of type test

In principle, it shall include all applicable items specified in product standards.

When design appraisal is involved in the implementation of certification, part of the testing items required to be tested shall be determined by the certification body, and the CLIENT shall be notified.

7.1.4 Implementation of type test

In principle, type test shall be conducted in the laboratory designated by CNCA. Laboratory shall conduct the type test to the samples, integrally record the whole test and archive for retaining, so that the test process and results are traceable.

On the premise of not affecting the validity of certification results, certification body may, according to "China Compulsory Certification Implementation Rules - Utilization of Manufacturing Enterprise Test Resource and Other Certification Results", formulate the corresponding management procedure. The designated laboratories delegate the testing personnel, according to the standard's requirements, to utilize the manufacturing testing resource to conduct test or witness test; and the designated laboratories issue the test reports. The designated shall ensure the authenticity, accuracy, and traceability of the test conclusion. Certification body shall clearly define the specific requirements and procedure in certification implementation detailed-rules.

7.1.5 Type test report

Certification body shall specify a unified form of the type test report.

After the type test is completed, the laboratory shall, in time, provide the type test reports to certification body and CLIENT. The test report shall contain a description of all products and certification-related information in the application unit. CLIENT shall ensure that it is able to provide the complete and valid type test report to certification body and laws enforcement authorities during the after-certification supervision.

7.2 Design appraisal

7.2.1 Implementation principles for design appraisal

On the premise of risk control, the certification body shall, in combination with the classification management of manufacturing enterprises, clearly stipulate the applicable scope and process of the implementation of design appraisal in the certification implementation rules.

7.2.2 Method for design appraisal

Design appraisal can be carried out in two ways: verification comparison and verification evaluation.

certification requirements; and ensure that the certified products are in accordance with standards' requirements; and maintain the conformity with type test samples.

When the after-certification follow-up inspection shall be conducted during the normal production of manufacturing enterprise, no-advance notice is preferred. For those products that are not continuously manufactured, CLIENT shall provide the production plan to certification body so that the follow-up inspection can be conducted in an effective way.

8.1.2 Content of after-certification follow-up inspection

Certification body shall, according to "China Compulsory Certification Implementation Rules - Factory Quality Assurance Capability Requirements", formulate the specific after-certification contents such as traceability inspection requirements, product conformity inspection requirements; and clarify them clearly in certification implementation detailed-rules.

8.2 Frequency and duration of after-certification supervision

The certification body shall, on the basis of classification management of manufacturing enterprises, adopt different after-certification supervision frequency for different types of manufacturing enterprises, and reasonably determine the supervision time. Specific principles shall be specified in certification implementation detailed-rules.

8.3 Records of after-certification supervision

The certification body shall record and file the whole process of after-certification supervision, so as to ensure the traceability of the certification process and results.

8.4 Evaluation of after-certification supervision results

The certification body conducts a comprehensive evaluation on the conclusions of the follow-up inspection and relevant materials/information. Those who pass the evaluation can continue to maintain the certification certificate and use the certification mark. If the evaluation fails, the certification body shall suspend or revoke the certification certificate according to the corresponding circumstances and announce it publicly.

9 Certificate

9.1 Maintenance of the certificate

This Rules covers the 5 year valid period of product certificate. Within the valid period, the validity of the certificate is maintained by depending on the after-certification supervision of the certification body.

Before the certification is expired, if it needs to continue to use, CLINET shall put forward the certification entrusting within 90 days before the expiry date. If the

newest after-certification supervision, within the certificate validity, is PASS, then certification body shall directly renew the certificate.

9.2 Change of contents of the certificate

After the product is certified, if there is change in critical components and materials, the design and electrical structure that involve the product safety; or there occurs the change of other items as specified by certification body in certification implementation detailed-rules, then CLINET shall put forward the Change Entrusting to the certification body. And only after the filing is approved / completed, may it implement the change.

9.2.1 Change entrusting and requirements

Certification body shall clarify the specific requirements of certification change in certification implementation detailed-rules, including the scope and procedure of certification change.

For the changes of same-product and same-content that are belonged to same-manufacture but different manufacturing enterprises, CLIENT shall only submit once for change entrusting. Certification body shall associate the involved change with the certificate.

9.2.2 Evaluation and approval of change

Based on the content changes, certification body shall evaluate the information provided, to determine whether it can approve the changes. If it requires sample testing and/or factory inspection, it shall approve the change after the testing and/or inspection is PASS. In principle, it shall base on the original representative-model samples that were conducted for type test AS the basis of change evaluation.

9.2.3 Change filing

For change of critical components and materials, under the condition that it does not need to provide sample for test, it may be determined and approved by the certification technical responsible person of the manufacturing enterprise who has been recognized by the certification body. The relevant records shall be preserved and filed to the certification body. Certification body shall conduct the verification when it conducts after-certification supervision; if necessary, conduct the verification test.

The certification body shall clearly clarify the relevant requirements to certification technical responsible person in certification implementation detailed-rules.

9.3 Expansion of products that are covered in certificate

When CLIENT needs to extend the product scope that are covered by the obtained certificate, it shall put forward the certification entrusting of product expansion to certification body.

Compulsory Certification Fees to charge the fees.

Certification body shall, based on the initial factory inspection fees, after-certification supervision re-inspection man-day fees in national provisions of China Compulsory Certification fees, reasonably determine the specific man-day fees.

12 Certification responsibility

Certification body shall be responsible for the certification results.

Laboratory shall be responsible for the test results and test reports.

Certification body and its inspectors shall be responsible for the factory inspection conclusion.

CLIENT shall be responsible for the submitted materials, and samples' authenticity and legality.

13 Certification implementation detailed-rules

Certification body shall formulate scientific, reasonable and feasible certification implementation detailed-rules, according to the principle and requirements of this Rules. Certification implementation detailed-rules shall be publicly announced, after filed to CNCA. Certification implementation detailed-rules shall at least include the following contents:

- (1) Certification procedure and time limits;
- (2) Certification mode and relevant requirements;
- (3) Details and relevant requirements of unit division;
- (4) Classification management requirements of manufacturing enterprise;
- (5) Certification entrusting materials and relevant requirements;
- (6) Requirements for sample testing (including requirements for type test and testing using manufacturing enterprise's testing resources);
- (7) Implementation requirements for design appraisal;
- (8) Initial factory inspection and after-certification supervision requirements (including coverage requirements of factory inspection (including the division of product categories), requirements of enterprise quality assurance capability and product conformity inspection, manufacturing enterprise quality assurance control testing requirements, critical components and materials quality control testing requirements, ODM/OEM factory inspection requirements, supervision frequency, sampling inspection or inspection requirements, etc.);
- (9) Requirements for certification change (including change version of

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