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China Compulsory Certification Implementation Rules -

Low voltage electrical components

强制性产品认证实施规则

低压电器 低压元器件

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0 Introduction

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

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 Testing Resource and Other Certification Results”, “China Compulsory Certification Implementation Rules - Factory Inspection General Requirements”.

The certification body shall make detailed-rules 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 the compliance with the certification and are compatible with the requirements of the standards.

1 Application scope

This Rules applies to low-voltage component products with a working voltage range of AC 1000V (electrical appliance with a working voltage of AC 1140V may refer to it), DC 1500V and below; including the following product types of switch control equipment and complete machine protection equipment:

- Low-voltage circuit-breakers;
- Low-voltage switches, disconnectors, switch-disconnectors and fuse-combination units;
- Low-voltage electromechanical contactors and motor-starters;
- Control circuit devices and switching element;
- AC semiconductor motor controllers and starters;
- Control and protective switching devices;
- Proximity switches;
- Transfer switching equipment;
- Circuit-breaker for equipment;

5 Certification entrusting

5.1 Application and acceptance of certification entrusting

CLIENT must put forward the certification entrusting to the certification body, in an appropriate way. Certification body shall process the certification entrusting; and feedback the acceptance or rejection according to the time limit in the certification implementation detailed-rules.

When it does not comply with national laws and regulations AND relevant industry policies, the certification body must not accept the certification entrusting.

5.2 Application materials

The certification body shall, in accordance with the laws and regulations, standards and other requirements, specify the checklist of application materials in the implementation detailed-rules (it shall at least include certification-application form or contract, registration certificates of the CLIENT / manufacturer / manufacturing enterprise, etc.).

For manufacturing enterprises that do not involve the enterprise quality assurance capability and the product consistency inspection (initial factory inspection) in certification implementation, the certification body may also require the CLIENT to submit a self-assessment report on the factory's quality assurance capability.

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.

5.3 Implementation arrangement

Certification body shall agree with the CLIENT on the relevant responsibilities and arrangement of both parties in 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.

6 Certification implementation

6.1 Type test

6.1.1 Type test plan

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

6.1.5 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 include the description of all product and certification 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.

6.2 Certification evaluation and decision

Certification body shall make a comprehensive evaluation to the type test conclusions and relevant information / materials; make a certification decision. For those meeting the certification requirements, the certificate will be granted. In the case of a nonconformity conclusion, the certification body shall not approve the certification entrusting and the certification is terminated.

6.3 Time limit of the certification

Certification body shall make specific provisions on the time limit of each step of the certification; and ensure all relevant work is done within the time limit. CLIENT shall cooperate with the certification activities actively. In general, certificate will be granted to CLIENT within 90 days, since the certification entrusting is accepted.

7 After-certification supervision

After-certification supervision refers to the supervision implemented by the certification body to the certified product and its manufacturing enterprise. Certification body shall consider the classification management and actual situation of the manufacturing enterprise; and clarify the specific requirements for selecting the method of after-certification supervision in certification implementation detailed-rules.

7.1 After-certification follow-up inspection

7.1.1 Principles for after-certification follow-up inspection

On the basis of classification management of manufacturing enterprise, certification body shall implement the effective follow-up inspection to the certified product and manufacturing enterprise, so as to validate that the quality assurance capability of the manufacturing enterprise can continuously comply with the certification requirements; and ensure that the certified products are in accordance with standards' requirements; and maintain the conformity with type test samples.

The after-certification follow-up inspection shall be carried out in the way of not informing the inspected party in advance when the manufacturing enterprise is in normal production. 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.

7.1.2 Content of after-certification follow-up inspection

In accordance with "China Compulsory Certification Implementation Rules - Factory Quality Assurance Capability Requirements", the certification body shall formulate specific content such as the requirements for after-certification follow-up inspection, the requirements for product consistency inspection, and the requirements for quality control testing of manufacturing enterprises; and clarify them in the certification implementation detailed-rules.

7.2 Factory on-site sampling test or inspection

7.2.1 Principles for factory on-site sampling test or inspection

Factory on-site sampling test or inspection shall cover all certified categories.

If the after-certification supervision is implemented by means of factory on-site sampling test or inspection, CLIENT, manufacturer, and manufacturing enterprise shall cooperate.

7.2.2 Content of factory on-site sampling test or inspection

In the certification implementation detailed-rules, the certification body shall specify the content and requirements of factory on-site sampling test or inspection. Manufacturing enterprises shall send samples to designated laboratories for testing.

The certification body can formulate corresponding management procedures according to "China Compulsory Certification Implementation Rules - Utilization of Manufacturing Enterprise Testing Resource and Other Certification Results"; use the testing resources of manufacturing enterprises to carry out sampling test (or witness test). The designated laboratory shall issue the test report. In the certification implementation detailed-rules, the certification body shall specify the specific requirements and procedures.

7.3 Market sampling test or inspection

7.3.1 Principles for market sampling test or inspection

The market sampling test or inspection shall cover the certified products according to a certain proportion.

If the supervision is implemented by means of market sampling test or inspection, CLIENT, manufacturer, and manufacturing enterprise shall cooperate and confirm the samples taken from the market.

7.3.2 Content of market sampling test or inspection

In the certification implementation detailed-rules, the certification body shall specify the

certification change.

For the change of the same product and the same content that belongs to the same manufacturer's multiple manufacturing enterprises, the CLIENT may submit the change entrusting only once; the certification body shall connectedly use the certificate involved in the change.

8.2.2 Change evaluation and approval

Certification body shall evaluate the provided materials according to the change contents, so as to ensure if the change can be approved. If sample testing and / or factory inspection is required, the approval shall be granted after the testing and / or inspection are PASS. In principle, the sample of the representative model of the initial all-item type test shall be used as the basis for change evaluation.

8.2.3 Change record

For the change of critical components and raw materials, without the need to provide samples for test, the approval can be confirmed by the certification technical personnel in charge of the manufacturing enterprise approved by the certification body, and save the corresponding records and report to the certification body for the record. Certification body verifies in after-certification supervision, and conduct verification test if necessary.

The certification body shall clearly specify the relevant requirements for the certification technical personnel in charge in the certification implementation detailed-rules.

8.3 Expansion of products covered by the certificate

When the CLIENT needs to expand the scope of the product covered by the certificate, it shall submit the certification entrusting of extended product to the certification body.

Certification body verifies the difference between the extended product and the original certified product according to the relevant technical information of the extended product provided by the CLIENT; confirms the validity of the original certification result to the extended product; and conducts the supplementary test for the difference or inspects the factory on-site product. If the verification is PASS, certification body issues a separate or renewal certificate according to the requirements of the CLIENT.

In principle, the sample of the representative model of the initial all-item type test shall be used as the basis for extension evaluation.

8.4 Certificate's cancellation, suspension and withdrawal

Certificate's cancellation, suspension and withdrawal shall be implemented in accordance with the "China Compulsory Certification management method" and "Compulsory product certificate cancellation, suspension and withdrawal implementation rules", and relevant regulations of certification body. Certification body shall determine the classification and scope of the product that does not comply with the certification requirements; and adopt

The laboratory shall be responsible for the testing results and testing reports.

The certification body and its appointed factory inspectors shall be responsible for the conclusion of the factory inspection.

CLIENT shall be responsible for the authenticity and legality of the entrusting materials and samples submitted by it.

12 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) Requirements for certification procedure and time limits;
- (2) Selection of certification mode and relevant requirements;
- (3) Classification management requirements of manufacturing enterprise;
- (4) Certification entrusting materials and relevant requirements;
- (5) Requirements for sample test (including requirements for type test, factory on-site / market sampling test, test using the testing resources of the manufacturing enterprise);
- (6) Requirements for initial factory inspection and after-certification supervision [including coverage requirements for factory inspection (including classification of product category); requirements for enterprise quality assurance capability and product consistency inspection; requirements for manufacturing enterprise's quality control testing; requirements for critical components and raw materials' quality control testing; requirements for ODM / OEM model's factory inspection; relevant requirements for supervision frequency, sampling testing or inspection, etc.];
- (7) Requirements for certification change (including change version of standard);
- (8) Critical components and raw materials list;
- (9) Requirements for certification technical personnel in charge;
- (10) Charge fees basis and relevant requirements;
- (11) Procedures and time limits requirements about technical dispute and appeal.

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