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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 Quality Assurance Capability Requirements” and “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.

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; electromechanical contactors for household and similar purposes; circuit-breakers for overcurrent protection for household and similar installation; residual current operated circuit-breakers with integral overcurrent protection for household and similar uses; residual current operated circuit-breakers without integral overcurrent protection for household and similar uses; residual current devices; residual current operated relay; low-voltage fuses.

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.

Mode Selection and Determination” to carry out the classification management to manufacturing enterprise; consider the results of classification management; on the basis of basic certification mode, appropriately add enterprise quality assurance capabilities and product consistency inspection (initial factory inspection) and other relevant elements, and combine supervision mode after certification, so as to determine the certification mode that is applicable to the CLIENT.

4 Division of certification units

In principle, the same frame level current or basic model of the same manufacturing enterprise is used as a certification-application unit (see the attachment for details). For the same product produced by different manufacturers and the same manufacturing enterprise, combined with the classification management of manufacturing enterprises, in principle, the type test can only be carried out on a sample of one unit. The products of other manufacturers shall provide documents for conformity inspection.

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.

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 content and requirements of market sampling test or inspection.

7.4 Frequency and time of after-certification supervision

Based on manufacturing enterprise classification management, certification body shall adopt different frequencies of after-certification supervision to different types of manufacturing enterprise. The supervision time shall be made in a reasonable way. The specific principles shall be specified in the certification implementation detailed-rules.

7.5 Record of after-certification supervision

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

7.6 Evaluation of after-certification supervision results

Certification body shall comprehensively evaluate the conclusion of follow-up inspection; conclusion of sampling test; and relevant materials / information. If the evaluation is PASS, it may continue to maintain the certificate and use of certification mark. If the evaluation is Not-PASS, certification body shall suspend or revoke the certificate according to the corresponding situations; and announce it publicly.

8 Certificate

8.1 Maintenance of the certificate

The validity period of the certificate of the products covered by this Rules is 5 years. 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, CLIENT 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 after receiving the certification entrusting.

8.2 Change of products covered by the certificate

After the product is certified, when critical components and raw materials used in the product, design and electrical structure related to product safety are changed; or other items, which were specified by the certification body in the certification implementation detailed-rules, are changed; CLIENT shall put forward a “change” entrusting to certification body. Only after the approval / filing completion, may the change be implemented.

8.2.1 Change entrusting and requirements

Certification body shall clearly specify the certification change requirements in the certification implementation detailed-rules. It includes the scope and procedure of 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.

9.2 Mark method

It may adopt the standard-specification certification mark that is unifiedly printed by CNCA or non-standard-specification printed / molded certification mark.

10 Charges

Certification body and laboratory shall base on the national provisions of China 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.

11 Certification responsibility

The certification body shall be responsible for the certification conclusion made by it.

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

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