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China Compulsory Certification Implementation Rules -
Audio and video equipment

强制性产品认证实施规则

音视频设备

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0 Introduction

This Rules is established based on the safety risk and certification risk of audio and video equipment. It stipulates the basic principles and requirements for the implementation of China Compulsory Certification for audio and video equipment.

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 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 the compliance with the certification and are compatible with the requirements of the standards.

1 Application scope

This Rules applies to audio and video equipment, including the following product categories: single-speaker and multi-speaker active soundboxes with a total output power below 500W (RMS); audio power amplifiers; tuning receivers and radios in various broadcast bands; audio and video recording, playback and processing equipment in various carrier forms (including various types of optical discs, tapes, hard disks, etc.); combinations of the above four types of equipment; power adapters (including chargers/dischargers) for audio and video equipment; color TV receivers with various imaging methods; monitors; picture (display) tubes; video recorders; electronic organs; antenna amplifiers.

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 Certification standards

Manufacturer or its proxy (Power of Attorney). For ease of reading, hereinafter abbreviated as “CLIENT”].

4 Classification of certification units

In principle, the certification unit shall be classified according to the product category, type, specification, working principle, safety structure, etc. However, for products with display screens, the certification unit shall be divided by screen-size. For power supplies and audio power amplifiers, the certification unit shall be divided by power. For products with different working methods, the certification unit shall be divided according to the working methods (such as display mode, explosion-proof mode, etc.). For the same-product that is of same-manufacturer but of different manufacturing enterprises, or for the same-model product that is of different manufacturers and of same-manufacturing enterprise, it may consider to only conduct the type test on the samples of 1 unit. The products of other manufacturing enterprises / manufacturers shall provide documents for conformity inspection.

According to relevant regulations and documents issued by CNCA, combining the classification management of manufacturing enterprise, certification body shall define the relevant requirements for unit classification in the certification implementation detailed-rules.

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). 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 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. CLIENT may voluntarily select the designated laboratory.

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

6.1.2 Sample requirements of type test

Certification body shall clearly clarify the relevant requirements for product sample submission / sampling in the implementation detailed-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 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 accordingly.

According to relevant regulations and documents issued by CNCA, certification body shall, in the certification implementation detailed-rules, define the relevant requirements for “product critical components and raw materials list”.

For critical components and raw materials within the scope of the compulsory product certificate purchased in the territory, the manufacturing enterprise shall provide the compulsory product certificate. For critical components and raw materials within the scope of non-compulsory product certificate, the certification body shall define the conditions and specific requirements of voluntary product certificate or type test report that may be accepted

6.3 Time limit of the certification

Certification body shall make specific provisions on each steps of the certification, and determine all relevant work to be done within the time limit. CLIENT shall cooperate with the certification body 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 to the certified product and 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

Certification body shall implement the effective follow-up inspection to the certified product and manufacturing enterprise, so as to validate that the quality assurance capacity 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.

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.

7.1.2 Content of after-certification follow-up inspection

Certification body can formulate specific contents such as after-certification follow-up inspection requirements, product consistency inspection requirements and production enterprise's quality control testing requirements according to "China Compulsory Certification Implementation Rules - Utilization of Manufacturing Enterprise Testing Resource and Other Certification Results"; and clarify them clearly in certification implementation detailed-rules.

7.2 Production on-site sampling test or inspection

7.2.1 Principles of production on-site sampling test or inspection

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

If it adopts "production on-site sampling test or inspection" to implement the after-certification supervision, then CLIENT, manufacturer and manufacturing enterprise shall

cooperate.

7.2.2 Contents of production on-site sampling test or inspection

Certification body shall formulate the contents and requirements of production on-site sampling test or inspection in the certification implementation detailed-rules; the manufacturing enterprise shall send the sample to the designated laboratory for testing.

Certification body can formulate corresponding management procedures according to “China Compulsory Certification Implementation Rules - Utilization of Manufacturing Enterprise Testing Resource and Other Certification Results”, and use the testing resources of the manufacturing enterprise to conduct production on-site sampling test (or witness test); and designated laboratory will issue the test report. Certification body shall specify the requirements and procedure in certification implementation detailed-rules.

7.3 Market sampling test or inspection

7.3.1 Principles for market sampling test or inspection

Market sampling test or inspection shall cover the certified product in a certain percentage.

If it adopts “market sampling test or inspection” to implement the supervision, CLIENT, manufacturer and manufacturing enterprise shall cooperate; and confirm the samples that are sampled from market.

7.3.2 Contents of market sampling test or inspection

Certification body shall formulate the contents and requirements of market sampling test or inspection in the certification implementation detailed-rules.

7.4 Frequency and time of after-certification supervision

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

7.5 Records of after-certification supervision

Certification body shall appropriately record and archive the process of after-certification supervision, so that the process and results are traceable.

7.6 Evaluation on after-certification supervision

Certification body shall comprehensively evaluate the conclusion of follow-up inspection; conclusion of sampling test or inspection; 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

This Rules covers the 5-year valid period of product certificate. Within the valid period, the validity of the certificate is maintained and depended 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 certification, when critical components and raw materials used in the product, design and electrical structure involve product safety is changed, or other item, that was specified by the certification body in the certification implementation detailed-rules, is changed, CLIENT shall put forward a “change” entrusting to certification body. Only after the approval of certification body, 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 belongs to the same manufacturer’s multiple manufacturing enterprises, the CLIENT may submit the change entrusting only once, and 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 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

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