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China Compulsory Certification Implementation Rules -
Electronic products and safety accessories

强制性产品认证实施规则

电子产品及安全附件

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0 Introduction

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

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 electronic products and safety accessories included in the compulsory product certification catalog. 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

its proxy (Power of Attorney). For ease of reading, hereinafter abbreviated as "CLIENT"].

4 Classification of certification units

4.1 General requirements

In principle, the certification unit shall be classified according to the product category, type, specification, working principle, safety structure, etc. The certification body shall clarify the specific requirements for unit division in the certification implementation rules in accordance with the relevant regulatory documents issued by the State Certification and Accreditation Administration (CNCA), in combination with the classification management of manufacturing enterprises.

4.2 Special requirements

- (1) Products with different working modes (such as: scanning mode, display mode and printing mode, etc.) shall also be divided into certification units based on different working modes;
- (2) Products with display as the main function shall also be divided into certification units based on the display size;
- (3) Power supply products shall be divided into certification units based on circuit principles and safety structures;
- (4) Lithium-ion batteries shall be divided into different certification units based on different material specifications (positive / negative electrode materials, separators and electrolytes), safety design, shape and size, assembly mode, nominal voltage and rated capacity (the maximum capacity within each unit covered downward by 20%), etc.;
- (5) Lithium-ion battery packs shall be divided into different certification units based on nominal voltage, rated capacity, type of constituent cells, series / parallel connection mode of constituent cells, design layout of protection circuit, and built-in / external type, etc.;
- (6) Mobile power supplies shall be divided into different certification units based on specifications, working principles, safety structures, output / input modes, type of constituent cells, series / parallel connection mode of constituent cells, and design layout of protection circuit, etc.

4.3 Other requirements

For the same product produced by the same manufacturer and different manufacturing enterprises (excluding lithium-ion cells and batteries), or different

manufacturers and the same manufacturing enterprise, type test can only be conducted on the sample of one unit. Products from other manufacturing enterprises / manufacturers need to provide data for consistency verification.

The same lithium-ion cells and batteries produced by the same manufacturer and different manufacturing enterprises shall be respectively subject to the type test.

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 initial factory inspection, the CLIENT shall 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 links 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 scheme of certification implementation and INFORM CLIENT.

6.1.4 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 the certification results, 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 test or witness test by the test personnel sent by the designated laboratory according to the standards’ requirements; and designated laboratory will issue the test report. The laboratory shall ensure the authenticity, correctness and traceability of the test results. Certification body shall clarify the specific requirements and procedure in certification implementation detailed-rules.

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 approval

Certification body shall make a comprehensive evaluation to the type test conclusions and relevant information / materials and make a decision on the certification. 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 each link of the certification, and make sure that all relevant work is done within the time limit. CLIENT shall actively cooperate with the certification body. In general, for those meeting the certification requirements, 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 mode 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, on the basis of classification management of manufacturing enterprise, 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.

When the after-certification follow-up inspection shall be conducted during the normal production of manufacturing enterprise, "no-advance notice" is preferred for those to be inspected. For those products that are not continuously manufactured, CLIENT shall provide the relevant 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 shall formulate specific contents, such as: after-certification follow-up inspection requirements, product consistency inspection requirements and manufacturing enterprise's quality control testing requirements according to "China Compulsory Certification Implementation Rules – Requirements for Enterprise Quality Assurance Capability", and clarify them clearly in certification implementation detailed-rules.

7.2 Factory on-site sampling testing or inspection

7.2.1 Principles of factory on-site sampling test or inspection

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

If it adopts "factory 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 factory on-site sampling test or inspection

Certification body shall clarify the specific contents and requirements of factory on-site sampling test or inspection in the certification implementation detailed-rules.

For those that require testing, the manufacturing enterprise shall send samples to designated laboratory for testing. Certification body can formulate corresponding

8 Certificate

8.1 Maintenance of the certificate

This Rules covers the 5-year valid period of product certificate. Within the valid period, the maintenance of the validity of the certificate depends 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, if critical components and raw materials used in the product, design and electrical structure involving 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 that 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 determine whether 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 conducts 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 testing or inspection 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 category and scope of the product that does not comply with the certification requirements; and adopt an appropriate mode to publicly announce the certificate of cancellation, suspension and withdrawal.

8.5 Use of the certificate

Use of the certificate shall comply with the requirements of "China Compulsory Certification management method" and relevant documents of the State Certification and Accreditation Administration (CNCA).

9 Certification marks

The CLIENT shall apply the standard-specification certification mark or print / mold the certification mark at an appropriate location on the product or on the product label, and ensure that the management and use of certification marks comply with the provisions of "China Compulsory Certification management method" and relevant documents of the State Certification and Accreditation Administration (CNCA).

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