

Translated English of Chinese CCC Regulations: CNCA-C10-01:2014

# CNCA / CCC

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## CNCA-C10-01-2014

China Compulsory Certification Implementation Rules -

Lighting Appliances

强制性产品认证实施规则

照明电器

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## 0 Introduction

This Rules is established based on the security risk and certification risk of lighting appliances. It stipulates the basic principles and requirements for the implementation of China Compulsory Certification for lighting appliances.

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 products of lighting appliances. It includes the following product categories: fixed general-purpose lightings of which the power supply voltage is greater than 36V but not exceeding 1000V, embedded-type lightings, portable general-purpose lightings, aquarium lightings, power socket mounted night-lights, ground embedded-type lightings, portable lightings for children; ballasts for fluorescent lamps of which the power supply voltage is greater than 36V but not exceeding 1000V, ballasts for discharge lamps (excluding fluorescent lamps), AC electronic ballasts for fluorescent lamps, AC or DC electronic ballasts for discharge lamps (excluding fluorescent lamps), AC or DC electronic control devices for LED modules.

Due to the changes in the law, 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: The design appraisal mentioned in this Rules refers to such non-experimental verification means that adopts the mode of review and calculation to

Type test + after-certification supervision;

For large lighting appliances, it may also adopts:

Design appraisal + Partial-items type test + after-certification supervision;

Above “After-certification supervision” refers to 1 of the 3 modes – after certification follow-up inspection, factory on-site sampling test, or sampling test in the market.

The certification body shall follow the requirements of “China Compulsory Certification Implementation Rules - Manufacturing Enterprise Classification Management, Certification 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 the relevant elements such as enterprise quality assurance capability and product conformity inspection (initial factory inspection), combine the after-certification supervision, so as to determine the certification mode that is applicable to the certification client. [TRANSLATOR NOTE is not part of this Rules. Translator note: “certification client”, the counterpart of certification body, refers to the Applicant / Manufacturer or its proxy (Power of Attorney). For ease of reading, hereinafter abbreviated as “CLIENT”].

## 5 Classification principle of certification units

In principle, certification unit shall be classified according to product’s type, structure, installation mode, and materials. For the products that are same and produced by the same-producer (manufacturer) or different manufacturing enterprises, or the products that are same and produced by different producers (manufacturer) or same-manufacturing enterprise, the type test may be conducted on only 1 certification unit; the products of other manufacturing enterprises / manufacturers must provide documents for conformity inspection.

Certification body shall be based on relevant provisions of the documents issued by CNCA, and combine with manufacturing enterprise classification management, to clarify the specific requirements of division of certification unit in Certification Implementation Detailed-Rules.

## 6 Certification entrusting

### 6.1 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

### **7.1.2 Sample requirements of type test**

Certification body shall clarify the relevant requirements of product submit-samples / sampling in the Certification 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 “product critical components and raw materials list” AND relevant requirements.

For the critical components and materials that are within the CCC certification scope and are purchased in domestic market, manufacturing enterprise shall provide the CCC certificate. For the critical components and materials that are not within the CCC certification scope, certification body shall clarify, in Certification Implementation Detailed-Rules, the conditions and specific requirements of acceptable or recognizable voluntary certificates or type test reports.

### **7.1.3 Inspection items of type test**

#### **(1) Safety inspection items**

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

#### **(2) Electromagnetic compatibility inspection items (if applicable)**

In principle, it shall include all applicable items specified by electromagnetic standards.

When the design appraisal is involved in certification implementation, the required test items shall be determined by certification body, and inform the CLIENT.

### **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.

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.

## **8 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.

### **8.1 After-certification follow-up inspection**

#### **8.1.1 Principles for after-certification follow-up inspection**

Certification body shall, based on manufacturing enterprise classification management, 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.

#### **8.1.2 Content of after-certification follow-up inspection**

Certification body shall base on "China Compulsory Certification Implementation Rules – Factory Quality Assurance Capability Requirements", to formulate the detailed contents such as after-certification follow-up inspection requirements, product conformity inspection requirements, manufacturing enterprise quality control testing requirements; and clarify in Certification Implementation Detailed-Rules.

### **8.2 Factory on-site sampling testing or inspection**

#### **8.2.1 Principles of factory on-site sampling test**

Factory on-site sampling test shall cover all certification categories.

If it adopts "factory on-site sampling test" to implement the after-certification

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