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Implementation Rules for China Compulsory Certification -

Electric Bikes

强制性产品认证实施规则

电动自行车

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0 Introduction

This Rule is established based on the safety risk and certification risk of electric bikes. It stipulates the basic principles and requirements for the implementation of China Compulsory Certification for electric bikes.

This Rule can be used with other general rules, which are issued by Certification and Accreditation Administration (CNCA), such as “China Compulsory Certification Implementation Rules - Manufacturer Classification Management, Certification Mode Selection and Determination”, “China Compulsory Certification Implementation Rules - Utilization of Manufacturer Test Resource and Other Certification Results”, “China Compulsory Certification Implementation Rules - Factory Inspection General Requirements”.

Certification agency shall compile the implementation detailed-rules for certification of electric bikes, according to the requirements of the general implementation rules and this Rules; shall implement them with the general implementation rules and this Rules.

1 Scope of application

This Rule applies to two-wheeled bikes, that use on-board batteries as auxiliary energy, have pedal riding capabilities, can realize electric assist and/or electric drive functions.

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 the State Administration for Market Regulation (CNCA) shall be final and conclusive.

2 Standards for certification

The standards for the certification of this Rule are as shown in Appendix 1 “Standards for certification and type test items”.

In principle, the standards used for certification shall be the latest versions, which are issued by the National Standardization Administration. When it is necessary to use other versions of the standards, it shall be executed, according to the applicable relevant standards issued by the CNCA.

3 Certification modes

The basic certification model for implementing compulsory product certification for electric bikes is:

Type test + Enterprise quality assurance capability and product consistency inspection (initial factory inspection) + Post-certification supervision.

Post-certification supervision refers to one or various combinations of three methods: follow-up inspection after certification, sample testing or inspection at the production site, market sampling testing or inspection.

Certification agency shall, in accordance with requirements of “China Compulsory Certification Implementation Rules - Manufacturer Classification Management, Certification Mode Selection and Determination”, implement classification management of manufacturers. In combination with classification management results, it shall combine the various modes of post-certification supervision, so as to determine the certification mode suitable for certification client.

4 Division of certification units

In principle, electric bikes with similar frames, front forks, structural types, same drive methods, battery types are one certification unit.

The same product, which is produced by the same producer and different manufacturers, OR the same product, which is produced by different producers and the same manufacturer, can be divided into the same certification unit.

The certification agency may appropriately relax the classification of certification units for manufacturers with classified management level A. The certification agency shall clarify the specific requirements for the division of certification units, in the certification implementation detailed rules.

5 Certification entrustment

5.1 Proposal and acceptance of certification entrustment

The certification client needs to submit the certification entrustment to the certification agency in an appropriate manner. The certification agency shall handle the certification entrustment; provide feedback on acceptance or rejection, in accordance with the time limit requirements in the certification implementation detailed rules.

If the requirements of national laws, regulations, relevant industrial policies are not met, the certification agency shall not accept relevant certification entrustments.

5.2 Entrusted information

Certification agencies shall specify an entrustment data list in the certification

The certification agency shall clarify the relevant requirements for sample delivery/sampling of certified products, in the certification implementation detailed rules. Usually, the certification client prepares samples according to the requirements of the type test plan and sends them to the designated laboratory. When necessary, the certification agency may also obtain samples, through on-site sampling/sealing.

The certification client shall ensure that the samples provided are consistent with the actual products produced. The certification agency and/or laboratory shall check the authenticity of the samples, which are provided by the certification client. If the laboratory has doubts about the authenticity of the sample, it shall explain the situation to the certification agency and handle it accordingly.

6.1.3 Type test items

The type test items shall be the test items, which are specified in GB 17761 "Safety technical specification for electric bicycle", GB 42295 "Safety requirements for electric bicycles electrical", GB 42296 "Safety technical requirements of charger for electric bicycles". The certification agency shall work with the laboratory, to confirm the test items in accordance with the provisions of this Rule and the structure and technical parameters of the certified products, which are entrusted by the certification client.

The certification agency can accept certification materials on radio disturbance characteristics, product certificates, instructions for use, lead-acid battery packs, lithium-ion battery packs, which are provided by the certification client; exempt the corresponding type test items.

6.1.4 Implementation of type tests

The certification client can choose the laboratory, which is designated by the National Certification and Accreditation Administration, to complete the type test. The laboratory conducts type testing on samples and makes complete records of the entire testing process and archives them, to ensure traceability of the testing process and results.

For products that have obtained compulsory product certification (including self-declaration), the results shall be directly recognized. For recognition of other conformity assessment results, the certification agency shall clarify relevant requirements in the certification implementation detailed rules.

If the manufacturer has the "Compulsory Product Certification Implementation Rules - Utilization of Manufacturer Testing Resources and Other Certification Results" and the testing conditions required by the certification standards, the certification agency can use the manufacturer's testing resources to conduct production site sampling inspections (or witness inspections). A test report will be issued by the designated laboratory. Certification agencies shall clarify the management procedures and specific requirements for utilizing manufacturer testing resources, in the certification

implementation detailed rules.

The certification client can first implement type test and then submit a certification entrustment to the certification agency. The certification agency shall clearly accept the relevant requirements of the certification client to first conduct type test, in the certification implementation detailed rules.

For the same product, which is produced by the same producer or different manufacturers, OR the same product, which is produced by different producers or the same manufacturer, it can carry out type test only on one unit of sample. Products from other manufacturers/producers need to provide information for consistency review.

6.1.5 Type test report

The certification agency shall specify a unified type test report format.

After the type test is completed, the laboratory shall promptly issue a type test report to the certification client and certification agency (if determined). The type test report shall contain a description of the necessary information on all products within the certification unit. The certification client shall ensure that a complete and effective type test report can be provided to the certification agency and law enforcement agencies during post-certification supervision.

The certification client can provide the test report issued by the laboratory, as designated by the National Certification and Accreditation Administration, which will be used as the type test report after confirmation by the certification agency.

6.2 Enterprise quality assurance capabilities and product consistency inspection

Enterprise quality assurance capabilities and product consistency inspection are the certification agency's evaluation on whether the manufacturer's quality assurance capabilities and product consistency control meet the certification requirements (see Appendix 4 "Production consistency inspection requirements").

Certification agencies shall clarify the relevant requirements for enterprise quality assurance capabilities and product consistency control, in the certification implementation detailed rules.

Certification clients and manufacturers shall establish, implement, continuously maintain enterprise quality assurance capabilities and product consistency control systems, in accordance with Appendix 4 "Production consistency inspection requirements", to ensure that certified products continue to meet certification requirements.

7.1 Follow-up inspection after certification

Certification agencies shall, on the basis of classified management of manufacturers, implement effective follow-up inspections of certified products and their manufacturers, to verify that the enterprise quality assurance capabilities continue to meet certification requirements, meanwhile, to ensure that certified products continue to meet the requirements of certification standards and maintain consistency with the type test samples.

The follow-up inspection after obtaining the certificate shall be carried out, during normal production of the manufacturer, preferably without notifying the inspected party in advance. For non-continuously produced products, the certification client shall submit relevant production plans to the certification agency, to facilitate effective follow-up inspections after certification. When necessary, the certification agency may conduct extended inspections, at locations other than the manufacturer.

The certification agency shall follow the "Implementation Rules for Compulsory Product Certification - Factory Quality Assurance Capability Requirements" and "Implementation Rules for Compulsory Product Certification - General Requirements for Factory Inspection", Appendix 4 "Production consistency inspection requirements", to stipulate the specific content of the follow-up inspection requirements after certification; clarify it in the certification implementation detailed rules.

7.2 Taking samples for testing or inspection at production site

If post-certification supervision is carried out by taking samples for testing or inspection at the production site, the certification client, producers, manufacturers shall cooperate.

The certification agency shall clarify the content and requirements for sample testing or inspection at the production site, in the certification implementation detailed rules.

If the manufacturer has the "Compulsory Product Certification Implementation Rules - Utilization of Testing Resources and Other Certification Results of Manufacturers" and the testing conditions required by the certification standards, the certification agency can use the manufacturer's testing resources to conduct testing and recognize the relevant results. If the manufacturer cannot meet the above testing conditions, the sample shall be sent to a designated laboratory for testing. Certification agencies shall clarify the specific requirements and procedures for using manufacturer testing resources to implement testing, in the certification implementation detailed rules.

7.3 Market sampling testing or inspection

If market sampling testing or inspection is used to implement post-certification

supervision, the certification client, producer, manufacturer shall cooperate and confirm the samples taken from the market.

The certification agency shall clarify the content and requirements of market sampling testing or inspection, in the certification implementation detailed rules.

7.4 Frequency and time of post-certification supervision

Certification agencies shall use different post-certification supervision frequencies, for different types of manufacturers, on the basis of classified management of manufacturers; reasonably determine the supervision time. The specific principles shall be specified in the certification implementation detailed rules.

7.5 Records of post-certification supervision

The certification agency shall record and archive the entire post-certification supervision process, to ensure traceability of the certification process and results.

7.6 Evaluation of post-certification supervision results

The certification agency shall conduct a comprehensive evaluation of the follow-up inspection conclusions, sample testing or inspection conclusions, relevant materials/information after obtaining the certificate. Those that passes the evaluation can continue to maintain the certification certificate and use the CCC mark. However, if the evaluation fails, the certification agency shall suspend or revoke the certification certificate, according to the corresponding circumstances; make it public.

8 Certification certificate

Certification certificates and their use shall comply with the requirements of the "Management Regulations on Compulsory Product Certification", "Measures for the Management of Certification Certificates and Certification Marks", "Management Requirements for Compulsory Product Certification Certificates".

8.1 Maintenance of certification certificates

The certification certificate is valid for 5 years. During the validity period, the validity of the certification certificate relies on the post-certification supervision of the certification agency to be maintained.

If the certification certificate expires and needs to be renewed, the certification client shall submit a certification entrustment, within 90 days before the validity period of the

10 Product certificate

The product certificate of the producer or manufacturer shall meet the requirements of the certification standards. The parameter content of the product certificate shall be consistent with the certification certificate. Please see Appendix 5, for the recommended format of the product certificate.

11 Charges

Certification agencies and laboratories shall formulate relevant charging criteria and make them public; charge the certification client according to the charging criteria or the price agreed in the contract.

12 Certification responsibilities

The certification agency shall be responsible for the certification conclusions it makes. The laboratory shall be responsible for the testing results and testing reports.

The certification agency and its appointed factory inspectors shall be responsible for the factory inspection conclusions.

The certification client shall be responsible for the authenticity and legality of the entrustment materials and samples submitted by it.

13 Certification implementation detailed rules

Certification agencies shall formulate scientific, reasonable, operable certification implementation detailed rules, based on the principles and requirements of this Rule. The certification implementation detailed rules shall be announced and implemented, after being filed with the National Certification and Accreditation Administration. Certification implementation detail rules shall at least include the following:

- (1) Requirements for certification process and time limit;
- (2) Selection of certification mode and related requirements;
- (3) Principles for division of certification units;
- (4) Requirements for classification management of manufacturer;
- (5) Certification entrustment materials and related requirements;
- (6) Requirements for type test;

Appendix 2

Certification entrustment information list

1 Qualification documents of the client, producer (production enterprise), manufacturer

2 Overview of manufacturer

3 Certification unit information:

3.1 Certification power of attorney (per certification entrustment unit);

3.2 "Electric bike product structure and technical parameters",

3.3 Tamper-proof design statement (per certification commissioning unit);

For the tamper-proof design statement, it shall include the tamper-proof design descriptions for the electric bike hardware and software, to prevent unauthorized modification or tampering with the maximum speed, power, voltage, pedal riding function, etc. The communication collaboration protocol, between lithium-ion/sodium-ion batteries and controllers, batteries, the charger applicable to GB 42296, can be used as a necessary measure to prevent software tampering.

3.4 Certification of components and systems and other relevant information on conformity assessment results (copies of certification certificates and/or relevant information) (per certification entrusting unit);

3.5 Product instruction manual (per certification commissioning unit);

3.6 Other relevant information, such as test reports and/or relevant statements provided by the client (per certification commissioning unit);

4 Self-assessment report on factory quality assurance capabilities and product consistency control (applicable to manufacturers that are exempt from corporate quality assurance capabilities and product consistency inspection (initial))

5 The client needs to provide a letter of commitment stating that the above information is true; meanwhile assumes corresponding legal responsibilities (including "three guarantees", "recalls" and related quality responsibilities).

The above information shall provide appropriate content at the appropriate stage.

Appendix 4

Production consistency inspection requirements

Factories shall ensure that mass-produced certified products continue to comply with the requirements of this Rule and relevant laws and regulations.

Note: The factories in this implementation rule involve certification clients, producers (production enterprises), manufacturers.

Production consistency inspection is to confirm the consistency of mass-produced certified products and type test samples, as well as their compliance with certification standards, through the inspection of the production consistency control plan and its execution report and on-site inspection.

During the initial factory inspection, the implementation of the production consistency control plan as proposed by the producer (manufacturer) and confirmed by the certification agency is inspected;

During post-certification supervision, the producer (manufacturer)'s execution report of production consistency control plan will be confirmed on-site.

The purpose of production consistency control is to ensure the consistency of mass-produced certified products with approved certified products. Factories shall prepare a production consistency control plan for certified products.

(1) Production consistency control plan

1 Factories shall ensure that mass-produced certified products continue to comply with the requirements of this Rule and relevant laws and regulations.

2 The production consistency control plan is a documented regulation, which is formed by the factory, to ensure the production consistency of mass-produced certified products. It shall include:

2.1 Responsibilities

The factory shall stipulate the responsibilities and interrelationships of various personnel related to compulsory product certification activities; the manufacturer shall designate a quality person in charge (or corresponding agency or person) within the organization, regardless of the member's other responsibilities, they shall have the following responsibilities and authorities:

- a) Be responsible for establishing a quality system that meets compulsory product certification requirements and ensuring its implementation and maintenance;

- b) Ensure that products bearing compulsory certification marks meet the requirements of certification standards;
- c) Establish documented procedures, to ensure the proper storage and use of certification marks;
- d) Establish documented procedures, to ensure that non-conforming products and certified products will not be subject to compulsory certification marks, after changes without approval by the certification agency.

The person in charge of quality shall have sufficient ability to perform his/her job.

2.2 The documented provisions, which are established by the producer (manufacturer), to effectively control the structure and technical parameters of mass-produced certified products and the consistency of type test samples.

2.3 The producer (manufacturer) shall, in accordance with the product certification unit and for different structures and production processes, formulate necessary product testing or related inspection content, methods, frequency, deviation range, result analysis, documented requirements for records and archives, according to the corresponding standards in the implementation rules. It shall also identify key components, materials, assemblies, key manufacturing processes, assembly processes, inspection processes, AND determine their control requirements, in accordance with the type test basis provisions of GB 17761. For necessary tests or related inspections and key components, materials, assemblies and key manufacturing processes, assembly processes, inspection processes that are not conducted on-site at the manufacturer, they shall be specifically listed in the plan, indicating the actual department and location of the control; meanwhile save relevant records. The purchase of batteries and chargers shall be the responsibility of the producer (production enterprise)/manufacturer. The batteries and chargers shall be shipped together with the electric bikes and have relevant records, to confirm whether their exit-factory conditions and quantities are consistent. For items that have provisions on production consistency control in the certification standards, the control provisions of the manufacturer shall not be lower than the requirements of the standards.

The producer (production enterprise)/manufacturer shall specify the verification content of the communication coordination protocol, between lithium-ion/sodium-ion batteries and controllers, batteries and chargers applicable to GB 42296. It shall clarify the verification content, methods, frequency, result analysis, etc.

For speed tampering prevention, producers (production enterprises)/manufacturers shall stipulate the requirements for speed tampering prevention, including software anti-tampering and hardware anti-tampering. It shall also clearly define the content, methods, frequency, result analysis, etc. of speed tampering prevention.

2.4 Producer (production enterprise)'s provisions and requirements for equipment and

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