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Compulsory product certification implementation rules -

Automobile brake lining

强制性产品认证实施规则

汽车用制动器衬片

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0 Introduction

According to the relevant requirements of the “Decision of State Council on Adjusting the Catalogue of Industrial Product Production License Management and Strengthening Interim and Ex-post Supervision” (No. 19 [2019] by State Council), the management of automobile brake lining products has been transferred from production license management to compulsory product certification management. This Rules is developed in accordance with laws and administrative regulations such as “Regulations of the People's Republic of China on Certification and Accreditation”, “China Compulsory Certification Management Regulations”.

This Rules is established based on the safety risk and certification risk of automobile brake lining products. It stipulates the basic principles and requirements for implementation of compulsory product certification of automobile brake linings.

This Rules is used in conjunction with the general implementation 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, according to the general implementation rules and the requirements of this Rules, prepare the certification implementation detailed-rules; and, implement it together with the general implementation rules and this Rules.

Manufacturing enterprise shall ensure that the certified products produced can continue to meet the requirements of the certification and applicable standards.

1 Application scope

This Rules applies to automobile brake lining (hereinafter referred to as lining).

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 Certification standards

Basis standard GB 5763 “Brake linings for automobiles”

key component / raw material supplier), or the same product produced by different producers (manufacturers) and the same manufacturing enterprise, type tests on samples of only one unit may be considered. For the products of other producers (manufacturers) / manufacturing enterprises, it is necessary to provide information for conformity verification. Based on the classification management of manufacturing enterprises, the certification body may appropriately relax the unit division of manufacturing enterprises with higher classification management levels.

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 the needs of certification implementation, specify the certification entrusting materials in the certification implementation detailed-rules. They shall include at least the certification application or contract, registration certificates of the CLIENT, producer, and manufacturing enterprise, "Product description of automobile brake lining" (Attachment 1), "Production conformity control plan" (written in accordance with Attachment 2), etc.

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 material auditing results.

5.3 Implementation arrangement

The certification body shall agree with CLIENT on the relevant responsibility arrangement of both parties in each link 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.

Certification body shall specify a unified form of the type test report.

After the type test is completed, the laboratory shall promptly issue a type test report to the CLIENT and certification body. 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 Initial factory inspection

The initial factory inspection is the certification body's evaluation of whether the factory's production conformity control system can meet the certification requirements. It is carried out according to the production conformity control plan review + production conformity factory on-site inspection.

Note: The factory in this Implementation Rules involves CLIENT, producer (manufacturer), and manufacturing enterprise (factory).

6.2.1 Basic principles

The factory shall, in accordance with the requirements of Attachment 2 of this Rules, establish, implement, and continuously maintain its production conformity control system, to ensure that the certified products continue to meet the certification requirements.

The certification body shall conduct a compliance inspection of the factory's production conformity control system. In principle, the initial factory inspection shall be completed within one year after passing the type test; otherwise the product type test shall be repeated.

6.2.2 Production conformity control plan review

The factory shall formulate a production conformity control plan in accordance with the requirements of Attachment 2 and submit it to the certification body for review. The certification body shall inform the factory of the audit results.

If the production conformity control plan can meet the requirements of Attachment 2 of this Rules, the review of the production conformity control plan is passed. If the certification body believes that the production conformity control plan does not meet the requirements, the factory shall make corrections and resubmit. The certification body will inform the factory of the audit results after re-audit.

After the review of the production conformity control plan formulated by the factory is passed, the certification body shall, according to it, prepare the production conformity factory on-site inspection plan. The plan shall include the products, site and scope of inspection.

6.2.3 Production conformity factory on-site inspection

The CLIENT must actively cooperate with the certification activity. In general, within 90 days since the certification entrusting is accepted, certificate will be granted to CLIENT.

7 After-certification supervision

After-certification supervision refers to the supervision carried out by the certification body on the certified product and its manufacturing enterprise, including the random combination of after-certification follow-up inspection of all certified products and processing sites, factory on-site sampling test, and market sampling test methods.

Certification body shall consider the classification management and actual situation of the manufacturing enterprise; 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 of after-certification follow-up inspection

Based on manufacturing enterprise classification management, certification body shall implement the effective follow-up inspection to the certified product and its 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 continuously 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 normal production of the manufacturing enterprise, preferably by way of not notifying the party to be inspected in advance. For those products that are not continuously manufactured, CLIENT shall provide the relevant production plan to certification body, so that the after-certification follow-up inspection can be conducted effectively.

7.1.2 Content of after-certification follow-up inspection

The certification body shall, under the principle of ensuring that the certification risk is controllable, in accordance with Attachment 2, formulate the specific content of the requirements of after-certification follow-up inspection; and, make it clear in the certification implementation detailed-rules.

7.2 Factory on-site sampling test

7.2.1 Principles of factory on-site sampling test

If it adopts "factory on-site sampling test" to implement the after-certification supervision, then CLIENT, producer (manufacturer), and manufacturing enterprise shall cooperate.

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

This Rules covers the 5-year validity period of product certificate. Within the validity period, the validity of the certificate is maintained by depending on the “after-certification supervision” of the certification body.

If the validity period of the certificate expires and it is necessary to continue to use it, within 90 days before the validity period of the certificate expires, CLIENT shall put forward the certification entrusting. If the newest “after-certification supervision”, within the certificate validity period, is PASS, then certification body shall directly renew the certificate after receiving the certification entrusting.

8.2 Content of the certificate

If the content of the certificate is marked on the certified product and its sales package, it shall be consistent with the content of the certificate.

8.3 Change of the certificate

After obtaining the certificate, if the content on the certificate changes; or when the certified product has technical changes (design, structural parameters, key components / raw materials, etc.) that affect the compliance of the relevant standards; or when the factory changes the production conformity control plan, production conditions, etc., which may affect the production conformity; or when other matters specified by the certification body in the certification implementation detailed-rules are changed, the CLIENT shall submit a request for change to the certification body. The change can be implemented only after the certification body has approved it.

The certification body shall evaluate the information provided according to the content of the change; determine whether the change can be approved. If sample testing and / or factory inspection are required, the change can only be approved after the testing and / or inspection are qualified. Sample testing can use the testing resources of the manufacturing enterprise; the conditions and requirements are the same as those in 7.2.2 of this Rules.

If the requirements are met, the change will be approved. If a new certificate is

11 Certification responsibility

The certification body shall be responsible for the certification conclusion. The certification body and the contracted laboratory shall clarify the responsibilities and obligations in each link of certification.

Certification related parties shall, in accordance with laws and regulations, bear corresponding responsibilities and obligations for product quality.

12 Certification implementation detailed-rules

According to the principle and requirements of this Implementation Rules, certification body shall formulate scientific, reasonable and feasible certification implementation detailed-rules. Certification implementation detailed-rules shall be publicly announced and implemented, after filed to CNCA. Certification implementation detailed-rules shall at least include the following contents:

- (1) Certification procedure and time limit requirements;
- (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 type test (including factory on-site or market sampling test requirements);
- (6) Requirements for initial factory inspection;
- (7) Requirements for after-certification supervision;
- (8) Requirements for the implementation of test utilizing testing resources of manufacturing enterprise and utilization of other certification results;
- (9) Requirements for certification change (including change version of standard);
- (10) Critical components and raw materials list and relevant requirements;
- (11) Charge basis and relevant requirements;
- (12) Procedures and time limits requirements about technical dispute and appeal.

Attachment 2: Production conformity requirements

The factory shall ensure that the certified products produced in batches continue to comply with the requirements of this Rules and relevant laws, regulations and standards.

Note: The factory in this Implementation Rules involves CLIENT, producer (manufacturer), and manufacturing enterprise.

1 The production conformity inspection is to, through the production conformity control plan review and the factory on-site inspection (initial and supervision), confirm the conformity of the mass-produced certified products with type test samples, and the compliance with the certification standards.

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

2.1 The factory shall establish documented regulations, to ensure that the mass-produced certified products are consistent with the type test samples; ensure that the certification marks are properly kept and used.

2.2 In accordance with the implementation rules, the factory shall formulate documented regulations on the content, method, frequency, deviation range, result analysis, record and preservation of necessary tests or related inspections for certified products. And in accordance with the certification standards, it shall identify key components, raw materials and key manufacturing processes, assembly processes, inspection processes and determine their control requirements. For necessary tests or related inspections that are not carried out on the factory on-site, as well as key components, raw materials and key manufacturing processes, assembly processes, and inspection processes that are controlled, they shall be specifically listed in the plan; the actual department and location of the control shall be stated. For items specified in the certification standards for production conformity control, the factory's control regulations must not be lower than the standard requirements.

2.3 The factory's regulations and requirements for equipment and personnel for product tests or related inspections involved in 2.2.

2.4 The factory's relevant regulations on the change, declaration and implementation of the production conformity control plan.

2.5 When the factory finds inconformity in the products, how to implement the relevant regulations on taking all necessary measures under the supervision of the certification body for restoring the conformity of production as soon as possible.

Appendix 1: Factory quality assurance capability requirements

The factory is the main body responsible for product quality. Its quality assurance capabilities shall continue to meet the certification requirements. The products produced shall meet the standard requirements. It shall be ensured that the certified products are consistent with the type test samples. The factory shall accept and cooperate with the various factory on-site inspections and sampling tests, carried out by the certification body in accordance with this Implementation Rules and relevant product certification implementation rules / detailed-rules.

1 Responsibilities and resources

1.1 Responsibilities

The factory shall stipulate the responsibilities, authorities and mutual relations of various personnel related to certification requirements. Furthermore, it shall designate a person in charge of quality in the management of the organization. Regardless of the responsibilities of the member in other aspects, he or she shall have the following responsibilities and authorities:

- (a) Ensure that the requirements of this document are effectively established, implemented and maintained in the factory;
- (b) Ensure product conformity and product compliance with standards;
- (c) Use the CCC certificate and mark correctly, to ensure that the certificate status of the products with the CCC mark continues to be valid.

The person in charge of quality shall have sufficient ability to be competent for the job. The person in charge of quality may also serve as the person in charge of certification technique.

For the production operations on all shifts, personnel who ensure product quality shall be designated.

The person in charge of product quality shall have the right to stop production in order to correct quality problems.

1.2 Resources

The factory shall be equipped with necessary production equipment, inspection and test equipment, to meet the needs of stable production of products that meet the requirements of the certification rules; shall be equipped with corresponding human resources, to ensure that personnel engaged in work that affects the quality of product certification have the necessary capabilities; and, shall establish and maintain the

3.2 Quality control of key parts

3.2.1 The factory shall establish and maintain a documented procedure, which shall include inspection items, methods, frequency and determination criteria. At the time of purchase (entry), it shall complete the verification and / or inspection of the technical requirements for the purchase of key parts AND keep relevant records.

3.2.2 With regard to the quality characteristics of the purchased key parts, the factory shall choose an appropriate control method, to ensure that the technical requirements for the key parts are continuously met, and the final product meets the certification requirements, and relevant records are kept. Appropriate control methods may include:

- (a) For obtaining the CCC certificate or the voluntary product certification result that can be recognized by the compulsory certification of the final product, the factory shall ensure the validity of its certificate status.
- (b) For the key parts that have not obtained the relevant certificates, their regular confirmation and inspection shall meet the requirements of the product certification implementation rules / detailed-rules.
- (c) The factory makes its own control plan; its control effect is not lower than the requirements of (a) or (b).

3.2.3 When purchasing key parts from distributors and traders, the factory shall take appropriate measures, to ensure the conformity of the key parts purchased and its technical requirements are continuously met.

For the key parts, components, sub-assemblies, assemblies, semi-finished products, etc., produced by the entrusted subcontractor, the factory shall control according to purchased key parts, to ensure that the subcontracted products continue to meet the specified requirements.

For self-produced key parts, control according to clause 4.

4 Production process control

4.1 Process preparation

4.1.1 The factory shall identify and confirm the key production procedures (processes). The operators of the key procedures shall have the corresponding ability. If the quality of the products cannot be guaranteed without documentary regulations for the procedure, the corresponding procedure operation instructions shall be formulated to make the production process subject to control.

4.1.2 *Carry out process research on key production processes, to verify process capabilities and provide input for process control.*

shall ensure that the capabilities of the external institutions meet the calibration or verification requirements and the relevant capability evaluation results are kept.

Note: For the key monitoring and measuring devices in the production process control, the factory shall manage them according to the requirements of the product certification implementation rules / detailed-rules.

5.3 Laboratory management

The factory shall define the test scope of internal laboratory, including the ability to perform inspection, test or calibration services.

The external / commercial / independent laboratories that provide inspection, test or calibration services for factories shall have a defined scope, including the inspection, test or calibration services capable of being performed.

6 Control of nonconforming products

6.1 For nonconforming products found during the links such as purchase, manufacturing, and inspection, the factory shall take measures such as identification, isolation, and disposal, to avoid unintended use or delivery of nonconforming products.

The factory shall formulate instructions for rework and repair operations. The content shall include that the repaired and reworked products need to be re-tested. The repair of important parts or components shall be recorded accordingly.

Products with unidentified or suspicious status shall be classified as nonconforming products.

Waste products must be controlled in a similar way to nonconforming products.

Records of disposal of nonconforming products shall be kept.

6.2 For recalls, national and provincial supervision and spot checks, product recalls, customer complaints and claims, and other certified product nonconforming information from outside, the factory shall analyze the reasons for the nonconformity and take appropriate corrective measures. The factory shall keep records of nonconformity information, cause analysis, disposal and corrective measures of certified products.

6.3 When the factory is notified that its certified products have major quality problems (such as recalls, unqualified national and provincial supervision and random inspections, etc.), it shall promptly notify the certification body.

7 Internal quality audit

The factory shall establish a documented internal quality audit procedure, to ensure

According to the production technology of the certified product, the factory shall control the key components or raw materials that may affect the conformity of production. When the above components are made by the factory itself, the corresponding raw materials can also be controlled. The control plan shall at least include the name, model / specification, supplier, items and frequency of receiving inspection of key components or raw materials, etc.

In the production conformity control plan, the above-mentioned component control can be required in principle. The specific key components or raw materials list is provided with the product description of each unit.

If the factory has formulated separate quality control procedures and work instructions to require key components or raw materials, the corresponding documents or clauses can also be directly cited in the production conformity control plan.

3. Control of compulsory product certificate and certification mark

If the factory has formulated separate quality control procedures and work instructions, the corresponding documents can also be directly cited in the production conformity control plan.

4. Control of certification changes

If the factory has formulated separate quality control procedures and work instructions, the corresponding documents can also be directly cited in the production conformity control plan.

5. Corrective, preventive or recall measures when production inconformity occurs

If the factory has formulated separate quality control procedures and work instructions, the corresponding documents can also be directly cited in the production conformity control plan.

6. Update of certification standards and related laws and regulations

If the factory has formulated separate quality control procedures and work instructions, the corresponding documents can also be directly cited in the production conformity control plan.

7. Factory quality assurance capability requirements

If the factory and certified products have not obtained the certificates of standards such as ISO 9001 (GB/T 19001), IATF (ISO / TS) 16949 (GB/T 18305) issued by the certification body that meets the relevant requirements; or if have obtained the corresponding certificates but cannot fully meet the requirements of Attachment 2 of the implementation rules, the production conformity control plan formulated by the

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