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Implementation Detailed-Rules for China Compulsory Certification - Electrical accessories - Housing of household and similar fixed electrical devices

强制性产品认证实施细则　电器附件

-- 家用和类似用途固定式电气装置电器附件外壳

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China Quality Certification Center

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0. General requirements

0.1 Foreword

The Implementation Detailed-Rules for China Compulsory Certification of Electrical accessories - Housing of household and similar fixed electrical devices (hereinafter referred to as the Detailed-Rules) are compiled in accordance with the requirements of the “Implementation Detailed-Rules for China Compulsory Certification - Electrical Accessories" (CNCA-C02-01:2014) (hereinafter referred to as the Implementation Rules), as a supporting document for the implementation Detailed-Rules. According to the Implementation Rules and the relevant requirements of the China Quality Certification Center (hereinafter referred to as CQC)’s quality manuals, program files, operating instructions, etc., based on the principles of maintaining the effectiveness of product certification, improving product quality, serving certification companies, controlling certification risks, the Detailed-Rules are formulated and published.

The Detailed-Rules are a detailed refinement of the Implementation Rules and shall be used in conjunction with the Implementation Rules. The product scope to which the Detailed-Rules are applicable and the certification basis are consistent with the relevant provisions in the Implementation Rules; meanwhile adjustments are implemented in accordance with the announcement of catalog definition and catalog adjustment as issued by the Certification and Accreditation Administration of China (hereafter referred to as CNCA).

CQC establishes the classification management requirements of manufacturers based on the provisions of the Implementation Rules; combines the classification of manufacturers, to clarify the implementation requirements of compulsory product certification for housing of electrical accessories.

0.2 Definition of terms

0.2.1 Testing at manufacturer’s premises (abbreviated as TMP mode)

The test is performed by the personnel of the designated testing organization using the equipment of the manufacturer, under the assistance by the testing personnel of the manufacturer. The testing report is issued by the designated testing organization.

0.2.2 Witnessed manufacturer’s testing (abbreviated as WMT mode)

The test is performed by the testers of the manufacturer using their equipment, wherein the testing items and testing conditions are under the witness by the

personnel of the designated testing organization. The manufacturer's testing personnel issues the original records; drafts the test report. The personnel of the designated testing organization reviews and confirms the test report. The test report is issued by the designated testing organization.

0.2.3 ODM (Original Design Manufacturer)

A factory that uses the same quality assurance capability requirements, the same product design, production process control and inspection requirements to design, process, produce the same products for one or more producers (manufacturers).

0.2.4 ODM initial certificate holder

The organization that obtained the product certification certificate for the first time for ODM products.

0.2.5 OEM (Original Equipment Manufacturer)

Manufacturers producing certified products in accordance with design, production process control and inspection requirements provided by the client. The client may be a certification client or a producer (manufacturer); the OEM manufacturer produces certified products under the equipment of the OEM manufacturer according to the design, production process control, inspection requirements provided by the client.

1. Classification management requirements of manufacturers

CQC collects and sorts all kinds of information related to the quality of certified products and their manufacturers; carries out dynamic classification management on manufacturers. The certification client, producer and manufacturer shall cooperate.

There are four types of manufacturers, which are represented by A, B, C, D. Classification is based on at least the following information:

① Results of factory inspection (including initial factory inspection and follow-up inspection after certification);

② Testing results of supervision samplings (production site sampling or market / user sampling);

③ Conclusions of national spot check, provincial spot check, CCC special spot checks;

3.2 Principles of product coverage in the same certification unit

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3.3 Principles for the division of certification units of products by different certification clients, different producers, different manufacturers

3.3.1 The products of different certification clients, different producers (manufacturers), different manufacturing enterprises (manufacturing plants) shall be used as different application units.

3.3.2 For the same product produced by the same producer (manufacturer) but different manufacturing enterprises (manufacturing plants), when the production company is type A, it may carry out the type test in only one unit; for the products as produced by other production companies, it needs to provide samples /data for verification of consistency; for the products of types B, C, D manufacturers, each unit shall be subject to type test.

3.3.3 The same product produced by different producers and the same manufacturer can be type tested on only one sample of the unit. The products of other producers need to provide samples / data for consistency verification.

4. Certification process and time limit requirements

4.1 Submission and acceptance of certification application

The certification client submits a certification application to CQC through the Internet (www.cqc.com.cn). When applying, it must fill in the necessary enterprise information and product information as required. If necessary, it shall also provide a business registration certificate, organization code, product description, agreement, etc.

CQC reviews the application according to relevant requirements; issues a notification of acceptance or rejection within 2 working days; or requires the certification client to re-submit the certification application after rectification.

After accepting the certification application, CQC determines the certification mode and unit division applicable to the application according to the classification management requirements of the manufacturer, formulates a certification scheme and notifies the certification client.

4.4 Type test

For a certification application that requires type testing and the application data is qualified, CQC formulates a type testing scheme within 2 working days and notifies the certification client. The type test scheme includes sample requirements and quantities, testing criteria and items, laboratory information, etc.

Under normal circumstances, the certification client prepares samples according to the requirements of the type test scheme and sends them to the designated laboratory; if necessary, for types C and D manufacturers, CQC will follow the requirements of the type test scheme to adopt the site sampling / sealing method to obtain the sample; arrange the certification client to send it to the designated laboratory.

After receiving the samples, the laboratory will check the authenticity of the samples within 2 working days according to the relevant provisions of the prototype inspection; report the results to CQC. CQC will issue a test notification or make corresponding treatment based on the results of the examination within 2 working days.

After receiving the test notification, the laboratory arranges the sample test. The test time generally does not exceed 30 working days (calculated from the date of issuing the test task, and does not include the time required for the company to make corrections and retests due to the unqualified test items).

When there are unqualified items in the test, the certification client is allowed to make rectification; the rectification shall be completed within the time limit as specified by the CQC. If the time limit is exceeded, the certification client shall be deemed as abandoning the application; the certification client may also terminate the application on its own initiative.

After the type test is completed, the laboratory shall issue a type test report in the prescribed format; dispose of the test samples and related data in accordance with the relevant provisions of the prototype verification.

4.5 Enterprise's quality assurance capability and product consistency check (initial factory inspection)

The initial factory inspection includes the first factory inspection, the type-expansion factory inspection (factory inspection of the expanded factory-definition code), the OEM factory inspection, the factory inspection of the relocation of the manufacturer, the full element factory inspection (such as the

documents and operating instructions.

The certification client, producer (manufacturer), manufacturing enterprise shall actively cooperate with the certification activities.

5. Certification application data and related requirements

After the application is accepted, the certification client shall provide relevant application data and technical data to the CQC and / or laboratory according to the requirements of the certification scheme, which usually includes:

(1) Certification application or certification contract;

(2) Registration certificate of certification client, producer, manufacturer (such as business license, organization code certificate, etc.);

(3) Relevant agreements or contracts (such as ODM agreement, OEM agreement, letter of authorization, etc.) signed between the certification client, the producer, and the manufacturing enterprise;

(4) Technical data (including the main technical parameters, structure, model description, list of critical components and / or materials, electrical schematic diagrams, assembly drawings, description of differences in products of different specifications included in the same certification unit, etc., if necessary);

(5) Declaration information of critical components and materials (see Annex 5 for specific requirements);

(6) Factory inspection survey form;

(7) For the change application, the certification documents of the related change items;

(8) Other required documents.

6. Sample testing requirements (number of samples sent, testing items, test scheme)

6.1 Requirements for sample delivery (sampling)

6.1.1 The representative samples are usually selected by the certification client

inspection samples.

6.3.2 Requirements for change test sample

According to the content of the change, the CQC / laboratory will request the sample specification and quantity.

6.4 Implementation of test

6.4.1 In principle, the type test shall be completed in a laboratory as designated by the CNCA.

6.4.2 After the test is completed, the designated laboratory shall give product descriptions corresponding to different models and specifications in the product test report.

7. Relevant requirements for factory inspection and post-certification supervision

7.1 Definition of factory inspection objects and coverage requirements of factory inspection

The factory definition of compulsory product certification refers to the place where the final assembly and / or testing of the certified product and the certification mark are applied. When the above process of the product cannot be completed in one place, a relatively complete place including at least routine and confirmation inspection (if any), product nameplate and certification mark adhesion shall be selected for inspection; kept at other places for the right of further inspection.

The factory inspection shall cover the “application for certification / certified products” and all “processing place”. “Processing place” refers to all departments, places, personnel, activities related to the quality of product certification; the coverage of “application for certification / certified products” refers to the coverage of product consistency checks. Product consistency check shall be implemented for the products of the factory-definition code 0203 [the implemented standards refer to the “certification basis standards” of the implementation rules for compulsory product certification for electrical accessories (CNCA-C02-01)]. If the CQC cannot complete the factory inspection required in Annex 2 of this document at the production site, it can be extended to the certification client, producer, etc. for inspection.

necessary to add the requirements for implementing factory inspection (on-site inspection), flight inspection and on-site inspection of products when applying for certification of ODM products according to the classification management requirements of manufacturers.

Requirements for factory inspection (on-site inspection) of ODM production plants:

a) Check the ODM cooperation agreement and its implementation;

b) Perform consistency check on ODM products;

c) Check the supply of ODM production plants and the feedback of the quality of the supplied products.

7.5.1.2 Annual supervision and inspection in ODM mode

Add the verification content of ODM production plants in ODM factory supervision and inspection, including the implementation of ODM cooperation agreement, certification mark management, customer product management, production and sales management, the actual situation of ODM production plant's producing certified products for other producers (manufacturers). Special attention shall be paid to the consistency of ODM products when performing consistency checks.

7.5.2 OEM mode

Initial factory inspection: Mainly check procurement, critical components and materials control, production process controls, routine inspections / confirmation inspections, on-site designated tests, conformity requirements for certified products, product consistency checks; but does not preclude re-examination and confirmation of other necessary and / or questioned terms.

The annual supervision and inspection shall cover OEM products.

During the OEM factory inspection, it shall provide the following additional information:

1) OEM contract;

2) Relevant authorization documents (such as the authorization documents used by CCC mark in OEM factories, etc.).

7.6 Post-certification supervision

Post-certification supervision includes post-certification follow-up inspection and supervision sampling inspection (sampling test or inspection at the

scope of the certification. The contents of the supervision and inspection are all or the main contents of the factory quality assurance ability inspection and product consistency inspection, which are specifically implemented in accordance with the requirements of clauses 7.1, 7.2, 7.3, 7.4, 7.5 of this standard; the products used for product consistency inspection may be qualified products with CCC mark produced on-site and / or in stock.

After the manufacturer's on-site follow-up inspection is completed, the inspector / inspection team completes the factory inspection report and reports the inspection conclusion to the CQC. When there are non-conformities in the supervision and inspection, the manufacturer shall complete the rectification within the prescribed period (usually not more than 40 working days); CQC shall take appropriate measures to verify the results of the rectification. Failure to complete the rectification on time shall be treated as unqualified according to the conclusion of the follow-up inspection.

7.6.1.2 Sampling test or inspection at production site

CQC conducts supervision sampling test or inspection of certified products in principle according to the quality risks of certified products and the classification management requirements of manufacturers.

The content of sampling test or inspection at the production site shall be carried out according to the supervision sampling test or inspection scheme as formulated by CQC. Generally, the test shall be performed by a designated laboratory. If the manufacturing enterprise has the standards and the testing conditions as required by the Detailed-Rules of certification, meanwhile it agrees to utilize the testing resources of the manufacturer for testing (or witness testing), it shall make reference to the requirements of Annex 7 to use the testing resources of the manufacturer to carry out testing (or witness testing). Samples taken from the production site for testing or inspection shall at least cover the product types; see Annex 6 for specific classification.

In the case of taking samples at the production site for testing or inspection to implement post-certification supervision, the certification client, producer, manufacturer shall cooperate.

The factory shall send samples within 10 days after sampling; the designated laboratory shall complete the inspection work within 20 working days.

7.6.1.3 Market and / or user sampling test or inspection

The market and / or user taking samples for testing or inspection shall cover at least the certification unit.

Where market and / or user sampling tests or inspections are used for supervision, the certification client, producer, manufacturer shall cooperate and

8 Requirements for certification changes (including standard version changes)

8.1 Change application and requirements

After the certification, if the product model, critical components and materials used in the product, the design and electrical structure related product safety, certificate content, etc. are changed or other matters as specified by CQC are changed, the certification client shall make change application to CQC.

8.1.1 Changes to critical components and materials

All changes to critical component and material shall be reported to CQC in the form of a change application.

All changes shall neither be lower than the technical parameters and performance of the type-tested product, nor shall it change the basic structure of the product.

For critical components and materials within the scope of compulsory product certification, manufacturers shall provide a compulsory product certification certificate. For other critical components and materials, the manufacturer shall provide the corresponding voluntary certification certificate or type test report (a valid report issued by an accredited laboratory based on the standards that the product meets).

The samples for the changes of critical components and materials shall be submitted according to the CQC requirements and relevant item testing shall be performed. The technical parameters and performance shall not be lower than the corresponding technical parameters and performance confirmed in the type test report.

According to the content of the changes, the verification plan is confirmed by CQC / laboratory.

8.2 Evaluation and approval of changes

CQC evaluates the data as provided based on the content of the change and determines whether the change can be approved. If sample testing and / or factory inspection is required, changes shall not be approved until the tests and / or inspections have passed. In principle, a representative model sample that is initially subjected to a full type test shall be used as the basis for change evaluation. Changes can only be implemented after approval by CQC.

Annex 7: Operational requirements for using manufacturer's testing resources to implement testing (or witness testing)

Requirements for using manufacturer's testing resources to implement testing

1 Description

The factory's testing resources referred to in the Detailed-Rules are 100% of the resources of the manufacturer or manufacturer applying for compulsory product certification; they are recognized and located in the same city or near the factory (hereinafter referred to as the factory laboratory).

2 Scope of application

2.1 Post-certification supervision sampling test: various CCC certified products

2.2 In the case of the same factory and the same project using factory resources for testing for five consecutive years, in principle, samples shall be sent to a designated laboratory for testing to avoid systemic risks.

3 Implementation methods

There are two methods for testing samples using factory's testing resources: TMP and WMT.

3.1 TMP method

Engineers from qualified designated laboratories sent by CQC use the testing equipment of the factory laboratory for testing; the factory shall send testing personnel to assist. Test report is reviewed and issued by the relevant designated laboratory.

3.2 WMT method

Engineers from qualified designated laboratories sent by CQC witnesses the test conditions of the factory laboratory; the factory laboratory uses its own equipment to complete all tests or submitted the CQC test scheme for the factory, witnesses some test conditions and test items. Factory laboratory testers are responsible for issuing original records and drafting testing reports in a prescribed format together with witnessing designated laboratory engineers. Test report is issued by the relevant designated laboratory.

4 Condition requirements

5 Eligibility and maintenance

5.1 The factory shall submit an application to CQC and carry out a self-inspection in accordance with the above conditions. The self-inspection results and relevant information shall be submitted to CQC for review with the application. CQC will review the application documents and make a decision on acceptance if it meets the requirements. Otherwise, it will make a decision on rejection and explain the reasons.

5.2 For applications that meet the requirements, CQC organizes designated laboratory's technical experts to conduct on-site inspections of the factory laboratory's quality system, equipment capabilities, personnel capabilities; make review conclusions.

5.3 CQC comprehensively evaluates the evaluation conclusions and related materials submitted by the on-site review team. After passing the test, a tripartite agreement is signed between CQC, the designated laboratory and the factory laboratory, to ensure that the testing process meets the requirements.

5.4 In principle, the tests performed in the factory laboratory shall be performed after passing the assessment and signing the agreement. Under special circumstances, after being approved by CQC, the factory laboratory's review and on-site testing can be combined after the document review is passed. The audit team first conducts a laboratory capability audit and then tests after being qualified.

5.5 CQC conducts regular supervision of approved factory laboratories (such as once a year, which can be determined based on the frequency of use). Factory laboratories shall participate in comparison tests, to ensure the accuracy and validity of test results and maintain qualifications.

6 Responsibilities of application factory

(a) Ensure that the factory laboratory complies with the relevant requirements of GB/T 27025 (ISO/IEC 17025);

(b) Designate appropriate personnel to be responsible for the management of the factory laboratory and support the operation of the above tests;

(c) Ensure that factory laboratory personnel comply with the testing arrangements of the designated certification organization and laboratory personnel;

(d) As a party to the tripartite agreement, ensure that the testing process meets the requirements;

(e) Keep their respective recognized competence scopes up to date and

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