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Detailed Implementation Rules for China Compulsory Certification

Small-power Motor

强制性产品认证实施细则

小功率电动机

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Foreword

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0. Introduction

Detailed Implementation Rules for China Compulsory Certification - Small-power Motor (hereafter referred to as [Detailed-Rules](#)) is formulated according to the provisions of *Implementation Rules for China Compulsory Certification - Small-power Motor* (CNCA-C04-01:2014) (hereafter referred to as [Implementation Rules](#)). Detailed-Rules is used together with Implementation Rules as a supportive document.

The product scope, certification basis and all other contents of this Detailed-Rules shall comply with relevant provisions of Implementation Rules. It shall also be adjusted according to the Notices such as defined directory and directory adjustment that are issued by Certification and Accreditation Administration of China (hereafter referred to as [CNCA](#)).

In accordance with the provisions of Implementation Rules, following the principles of maintaining the effectiveness of product certification, improving quality of product, serving certification companies, and controlling risk of certification, CQC formulates and issues this Detailed-Rules. Through establishing the classification management requirements of manufacturing enterprises, and combining the classification of manufacturing enterprises, this Detailed-Rules determines the implementation requirements for China Compulsory Certification of small-power motor.

0.1 Terms and definitions

0.1.1 Testing at Manufacturer's Premises (abbreviated as TMP mode)

It means that the engineers of designated laboratory use the testing equipment in the factory laboratory to conduct testing. The factory shall dispatch test personnel to provide assistance. The designated laboratory will examine, approve and issue the test report.

0.1.2 Witnessed Manufacturer's Testing (abbreviated as WMT mode)

It means that the engineer of designated laboratory witnesses the factory laboratory's test conditions and all tests completed by using the laboratory's equipment or according to the test plan submitted; or witnesses part of the test conditions and the test items. Test personnel of the factory laboratory shall provide the original records and draft up the test report together with the engineer of designated laboratory according to relevant provisions. The designated laboratory shall audit, approve and issue the test report.

0.1.3 ODM (Original Design Manufacturer) manufacturing enterprise

The factory that utilizes the same-quality assurance capability requirements, same-product design, same-production process control, and same inspection requirements etc., to design, process, manufacture the same-product for a manufacturer or multiple manufacturers.

0.1.4 Holder of ODM initial certificate

The organization that holds the initial product certificate of ODM product.

0.1.5 OEM (Original Equipment Manufacturer) manufacturing enterprise

The manufacturing factory that manufactures the certification product in accordance with the entrusting party's design, process control and inspection requirements. The entrusting party can be the certification entrusting client [Note by Translator (not part of this document): "Certification entrusting client" refers to the applicant who applies the production certification to CQC. "Certification entrusting client" may be the Manufacturer or its proxy (Power of Attorney) such as local representative, importer, distributor etc. Hereafter it is abbreviated as CLIENT] or the manufacturer. OEM manufacturing enterprise manufactures the certification product with its own equipment in accordance the entrusting party's design, process control and inspection requirements.

0.2 Classification management requirements of manufacturing enterprise

CQC collects and sorts-out all the information related to certification products and quality related to manufacturing enterprises; and uses dynamic classification management for manufacturing enterprises. CLIENT, manufacturer and manufacturing enterprise shall make cooperation with it.

Manufacturing enterprises are divided into 4 categories, expressed by A, B, C, D respectively.

CQC shall classify the manufacturing enterprises according to the following basic principles, and regularly or irregularly reclassify the manufacturing enterprises in accordance with all information to achieve dynamic management. If there is any change, the documents published by CQC shall prevail. In principle, the classification result of manufacturing enterprises shall be step-by-step upgraded in the sequence of D-C-B-A; and step-by-step downgraded in the sequence of A-B-C-D; or be directly adjusted to corresponding category after risk assessment.

Basic principles for classification are as follows:

① Category A:

In principle, enterprises of Category B [Translator Note: It should be "Category A" here] shall provide conformity documents to CQC. CQC shall conduct comprehensive risk assessment on collected quality information and materials provided by enterprises, then determine the classification result. The content of assessment shall at least include:

a) Factory inspection

There is no nonconformity in factory inspections in the last 2 years

- (4) Relevant agreements or contracts signed by CLIENT, manufacturer and manufacturing enterprise (such as ODM Agreement, OEM Agreement, certificate of authorization, etc.);
- (5) Product description information (including: main technical parameters, structure, specification, critical components and/or materials list, explanation of differences of different specification products within the same certification-unit, etc.);
- (6) Factory inspection survey form;
- (7) Self-assessment report of factory's quality assurance capacity (if applicable);
- (8) For "change application", the documents of relative changed items;
- (9) Other required documents.

5.3 Implementation arrangement

CQC shall formulate the certification plan after acceptance, and issue the notice to CLIENT. In general, certification plan includes the following:

- (1) Adopted certification mode and certification-unit division;
- (2) List of application documents to be submitted;
- (3) Sample-submitting requirements of type test;
- (4) Information about designated laboratory;
- (5) Required certification process and time limit;
- (6) Estimated certification costs;
- (7) Contact information of relevant CQC staffs;
- (8) Other necessary issues.

6. Certification implementation

6.1 Type test

6.1.1 Type test plan

Type test plan includes: sample requirements, quantity, test items and implementation of type test, etc. See 6.1.2, 6.1.3, 6.1.4 for details.

6.1.2 Sample requirements for type test

6.1.2.1 Generally, CLIENT selects and sends the representative samples to be

Carry out the inspection in accordance with Attachment 3 “*Factory Quality Assurance Capacity Requirements*” and Attachment 4 “*Manufacturing Enterprise Quality Control Test Requirements for Small-power Motor*”.

6.2.3 Inspection of product conformity

Main contents of product conformity: identifications, structures related to safety and/or electromagnetic compatibility, critical components and materials, etc.

6.2.3.1 Marks

Marks of certification product such as: Nameplate; earthing mark; warning mark; product technical documents; and product name, model specification, and technical parameters indicated on packing-case shall meet the standard's requirements and be in conformity with certificated result.

6.2.3.2 Product structure

Structures of certification product related to safety and/or electromagnetic compatibility shall comply with the provisions of standard and be in conformity with certificated result (type test report, change approval materials, product description, etc.).

6.2.3.3 Critical components and materials

Critical components and materials used in certification product shall meet the following requirements:

- (a) Meet the requirements of relevant standards;
- (b) Be conformity with the result approved by CQC or that approved by the technical responsible person in manufacturing enterprise.

6.2.3.4 On-site witness test may be adopted in factory inspection.

6.2.4 Inspection time

Generally, initial factory inspection is carried out after passing type test. Under exceptional circumstances, type test and factory inspection can be carried out at the same time. After completing type test, in principle, factory inspection shall be accomplished within 1 year; otherwise, the type test shall be carried out again.

During factory inspection, the product within the scope of certification shall be in production in this factory. Determine the factory inspection time according to quantity of certification-unit products and enterprise scale. Normally, for each processing location, it shall be 1 ~ 4 man-day.

6.2.5 Inspection conclusion

8.2.1.3 If there is any change in certification standards, CLIENT shall replace the product standards within the time limit announced by CQC, then CQC shall replace the certificate.

8.2.1.4 Change of critical components and materials

See Attachment 2 for requirements for change of critical components and materials.

For the changes of same-product and same-content that are from multiple manufacturing enterprises of the same-manufacturer, CLIENT can submit one “request for change”.

8.2.1.5 For other types of changes, according to the content of the change, CQC/designated laboratory shall determine the verification plan.

8.2.2 Evaluation and approval of change

According to the content of the change, CQC evaluates the submitted materials and determines if change is approved. When sample test and/or factory inspection are necessary, change is only approved if test and/or inspection are qualified. In principle, it shall TAKE the representative-specification samples of the initial type test AS the basis of change evaluation. Implementation of change is only allowed after change is approved by CQC.

8.2.3 Records of change

Same as Clause 8.2.3 of Implementation Rules.

Requirements to certification technical responsible person shall be based on “*General Requirements for Certification Technical Responsible Person*” issued by CQC.

8.3 Expansion of covered products

Same as Clause 8.3 of Implementation Rules.

8.4 Cancellation, suspension and withdrawal of certificate

Same as Clause 8.4 of Implementation Rules.

8.5 Use of certificate

Same as Clause 8.5 of Implementation Rules.

9. Certification marks

Same as Clause 9 of Implementation Rules.

10. Charge

Table 2 Small-power motors that are applicable by GB14711:

NO.	Product name	Division of power sections (W)			Sending-sample requirements
		Small	Medium	Large	
1	YD series (IP44) variable-pole multi-speed three-phase asynchronous motor	No section			1. For small power-section motor, submit the smallest-power motor; For large power-section motor, submit the largest-power motor; for medium-power section motor, submit any-specification motor. 2. For motors with no section or only one section, submit a smallest-power motor and a largest-power motor respectively.
2	YH series (IP44) high-slip three-phase asynchronous motor	No section			
3	YCT series electromagnetic speed-adjustable motor	No section			
4	YCTD series electromagnetic speed-adjustable motor	No section			
5	YCJ series gear head three-phase asynchronous motor	No section			
6	Y2 series (IP54) three-phase asynchronous motor	120~370		>370	
7	YDT series (IP44) variable-pole multi-speed three-phase asynchronous motor	No section			
8	YEJ series (IP44) electromagnetic braking three-phase asynchronous motor	No section			
9	Y-W series and Y-WF series outdoor and outdoor chemical corrosion three-phase asynchronous motor	No section			
10	Y-F series corrosion-resistant three-phase asynchronous motor	No section			
11	Y-M series three-phase asynchronous motor for carpentry	No section			
12	Vibration three-phase asynchronous motor (excludes motors for plug-in concrete vibrator)	90~370		>370	
13	YLJ series torque three-phase asynchronous motor	0.5~1.6 Nm	>1.6~4.0 Nm	>4.0~10.0 Nm	
14	(YVF2) dedicated variable frequency three-phase asynchronous motor	No section			
15	Small planar braking three-phase asynchronous motor	No section			
16	YDF2 series three-phase	<120	120~370	>370	

2	Plastic fan	Manufacturer, material name, specifications, situation of certification	A
3	Plastic junction box	Manufacturer, material name, specifications, situation of certification	A
4	Material of plastic chassis, plastic brush carrier, winding rack, plastic collecting ring	Material name, specifications, situation of certification	A

Note 3:

1. For non-metal parts or materials, if the shape or size of motor's random non-metal materials cannot meet the requirements of material test, material sample can be submitted separately for test.
2. If CQC-mark certificate is available for non-metal parts or materials, the relevant tests can be exempted.

Note 4:

Provisions of changes of critical components, materials and non-metal parts or materials are as follows:

- 1 The changes of critical components, materials and non-metal parts or materials are divided into Category A and Category B. Principles are as follows:
 - 1.1 Change of Category A shall be approved by CQC. During the change, whether complete-motor is in compliance with safety requirements shall be determined by designated laboratory according to relevant provisions of complete-motor and components standard. Change is approved after passing the CQC assessment.
 - 1.2 Change of Category B is allowed without CQC approval. During the change, whether complete-motor is in compliance with safety requirements shall be determined by manufacturing enterprise's certification technical responsible person via the verification and technical assessment on materials. When the change meets the conditions and requirements of Category B, it can be reported to CQC directly without approval.
- 2 Change conditions of Category B
 - 1) Manufacturer has the technical responsible person who is designated/authorized by the manufacturer and certified by CQC.
 - 2) Manufacturer has a good credibility.
- 3 Requirements for Category B
 - 3.1 When Category B is applicable, records of change shall be reserved and filed to CQC after approved by certified enterprise's technical responsible person.

3.2 Documents and records

3.2.1 Factory shall create and maintain the documented procedure and take control of the files required by this document, necessary external documents and records effectively. The product design standards and specifications shall not be lower than the requirements of certification basis standards. For the main contents that may have influences on product conformity, factory shall have the necessary drawings, samples, list of critical components, process document, operation instructions and other design documents to ensure the continuous validity of these documents.

3.2.2 Factory shall ensure the document's sufficiency and suitability; and use the valid version.

3.2.3 Factory shall ensure the clearness, integrity and traceability of records; and consider them as evidences for meeting the provisions. The records retention period related to quality shall in accordance with the provisions of laws and regulations. Make sure that previous inspection record is accessible for this-time inspection. Retention period is at least 24 months.

3.2.4 Factory shall identify and preserve the important documents and quality information concerning product certification, such as type test report, result of factory inspection, status information of CCC certificate (validity, suspension, cancellation, withdrawal, etc.), change approval information, sampling inspection report, product quality compliance and results, etc.

3.3 Control of purchase and critical components

3.3.1 Purchase control

For purchased critical components, factory shall identify the technical requirements and indicate them in procurement documents. The technical requirements shall ensure that the final products meet the provisions of certification.

Factory shall establish and maintain the list of qualified critical components' manufacturers/manufacturing enterprises; and purchase critical components from them. Factory shall also maintain the records of purchase and usage of critical components, such as purchase lists, input-output notes, accounts, etc.

3.3.2 Quality control of critical components

3.3.2.1 Factory shall establish and maintain the documented procedure, verify and/or inspect the critical components in accordance with purchasing technical requirements during stocking (inbound) and keep the related records.

3.3.2.2 Factory shall choose the appropriate control method to ensure that the quality characteristic of purchased critical components meet the technical

3.10 Product preservation and delivery

In purchase, production and inspection links, the product preservations such as identification, carrying, package, storage and protection shall meet prescribed requirements. If necessary, factory shall take control of the delivery process in accordance with prescribed provisions.

3.11 CCC certificate and CCC-mark

The management and usage of CCC certificate and CCC-mark shall comply with “China Compulsory Certification Management Method”, “China Compulsory Certification Mark Management Method” and other regulations. For uniformly printed standard-specification CCC-mark or the CCC-mark applied through printing and molding, factory shall maintain the usage record. Applying or release of CCC-mark is not permitted for the following products:

- (a) The uncertified product that is within the catalogue of China Compulsory Certification;
- (b) After certification, the change of product needs to be approved by certification body, yet it is unapproved.
- (c) The product of which the certification validity is expired;
- (d) Products of which the certificate has been cancelled, suspended, or withdrawn;
- (e) Unqualified products.

- 6) Turn-inspection is allowed to be replaced by process inspection.
- 7) For small-power motor products based on GB12350, locked-rotor test is only applicable to general single-phase asynchronous motor.
- 8) From the perspectives of structure and design of the motor, if it is obvious that the product is not suitable for certain safety item test, such as the no-load test with load motor, then it shall be executed according to provisions of actual product standards.

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