

Translated English of CQC Specifications: **CQC-C0701-2017**

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Implementation Detailed-Rules for China Compulsory Certification

Household and similar-use appliances

家用和类似用途设备

Issued on: October 01, 2017

Implemented on: October 01, 2017

China Quality Certification Center

Foreword

This Implementation Detailed-Rules is formulated on the basis of “*Implementation Rules for China Compulsory Certification - Household Appliances*” (CNCA-C07-01:2014). It is issued by the China Quality Certification Center.

It was first-revised on October 01, 2017. For the certification mode of refrigerator products for the category A and B enterprises, it was adjusted to be “type test + after-certification supervision”.

It was second-revised on October 31, 2017. Added the relevant requirements for electric blanket products, which involve the following clauses: 1. Application scope; 2. Certification-basis standards; 3. Certification mode (2); 6.1.2 Requirements for sample quantity; 7.4 Frequency and time for after-certification supervision; Appendix 2 Factory quality control testing requirements of compulsory certification of household appliances. It also revised the routine testing items and test methods for the instant water heater.

On March 01, 2018, in accordance with the No.7 announcement of the National Standard Administration, the 1077 compulsory national standards -- including controller -- were converted into recommended national standards, so the relevant standards which are involved in this Detailed-Rules were revised accordingly.

Formulating organization: China Quality Certification Center.

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0. General requirements

0.1 Introduction

“Implementation Detailed-Rules for China Compulsory Certification - Household Appliances” (hereinafter referred to as Detailed-Rules) is compiled based on the requirements of “Implementation Rules for China Compulsory Certification - Household Appliances” (CNCA-C07-01:2014) (hereinafter referred to as Implementation-Rules). This Detailed-Rules is used together with the Implementation-Rules as 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 in accordance with 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 enterprises and controlling risk of certification, and defining the certification implementation requirements, CQC formulates and issues this Detailed-Rules.

0.2 Classification Principles of Manufacturing Enterprises

CQC collects and sorts-out all the information related to certification products and quality related to manufacturing enterprises, and based on which classify the manufacturing enterprise. The certification-entrusting client [hereafter abbreviated as CLIENT], manufacturer and manufacturing enterprise shall make cooperation with it.

CQC classifies the manufacturing enterprises into 4 categories - which are respectively represented by A, B, C and D.

Quality information that is based to classify the manufacturing enterprises shall at least include the following aspects:

- (1) Results of factory inspection (including the initial factory inspection and after-certification follow-up inspection);
- (2) Results of supervision sampling test (including production on-site sampling or market sampling);
- (3) Inspection results of national-level or provincial-level quality-supervision sampling,

to be used, they shall be executed in accordance with the announcement of the relevant standards required by the National Certification and Accreditation Administration.

3. Certification modes

The optional certification modes for household and similar application appliance are:

Mode 1: Type test + after-certification supervision.

Mode 2: Type test + initial factory inspection + after-certification supervision.

After-certification supervision refers to one or a combination of three methods: after-certification follow-up inspection, production on-site sampling testing or inspection, market sampling testing or inspection.

- (1) For the manufacturers of air conditioners, electric motors-compressors and refrigerators:

Category A and category B manufacturing enterprises: it may use the mode 1 to perform certification;

Category C and category D manufacturing enterprises: it may use the mode 2 to perform certification.

- (2) For electric fans, household electric washing machines, electric water heaters - storage water heaters, electric water heaters - instant water heaters, indoor heaters, vacuum cleaners, skin and hair care appliances, electric irons, Induction cookers, electric ovens (portable grill, bread toaster and similar cooking utensils), electric food processing appliance (food processing machine (kitchen machinery)), microwave oven, electric range cooker, cooktop, oven and similar appliances (standing electric oven, stationary grill and similar cooking appliances), range hoods, liquid heaters, hot-cold water dispensers, rice cookers, electric blankets, electric heating pads and similar flexible heating products manufacturers, in principle:

Category A manufacturing enterprises: it may use the mode 1 to perform certification;

Category B, C, and D manufacturing enterprises: it shall use the mode 2 to perform certification.

For enterprises that adopt mode 1 certification, it may also choose the mode 2 freely to perform certification.

For enterprises that are certified by the mode 1 certification, in principle, the first

- (5) Product description information, if necessary, may include: model specifications, technical parameters, critical components and/or materials lists, electrical schematics, assembly drawings, and descriptions of differences between products of different specifications included in the same certification unit;
- (6) For the change application, the supportive documents of the relevant change items;
- (7) Other required documents.

The CLIENT shall be responsible for the authenticity of the information provided.

CQC manages, preserves, and maintains confidentiality of the certification materials provided by the CLIENT.

5.3 Implementation arrangement

CQC will formulate specific program for certification implementation after acceptance, and notify the CLIENT. The specific implementation of the certification program usually includes the following:

- (1) The certification mode used;
- (2) A list of application materials that need to be submitted;
- (3) Laboratory information;
- (4) Contact information about CQC staffs;
- (5) Other matters that need to be explained.

6. Certification implementation

6.1 Type test

6.1.1 Type test plan

CQC develops a type test plan after the material review (the test plan includes the type test sample requirements and quantity, test standard items, laboratory information, etc.) and informs the CLIENT.

Sample requirements and quantities, testing standard items, etc., are as shown in clauses

terminated.

6.3 Certification time-limit

The time-limit for the acceptance of the certification is set out in clause 5.1 of this Detailed-Rules.

The time-limit for type test is given in clause 6.1.4 of this Detailed-Rules.

Under normal circumstances, the certificate will be issued to the CLIENT within 90 days from the acceptance of the certification.

6.4 Initial factory inspection

6.4.1 Inspection items

The initial factory inspections are factory quality assurance capability inspections and product consistency inspection.

6.4.2 Factory quality assurance capability inspection

It is performed in accordance with the Appendix 1 “Quality Assurance Ability Requirements for Compulsory Certification for Household and Similar-Use Appliance” and Appendix 2 “Factory Quality Control Testing Requirements for Compulsory Certification for Household and Similar-Use Appliance” in this Detailed-Rules.

6.4.3 Product consistency inspection

During factory inspection, it shall perform the consistency inspection for the products to be certified at production on-site. The consistency inspection is usually the following:

- (1) The contents of the mark on the certified product and the necessary instructions are consistent with the type test report;
- (2) The structure of the certified product (mainly for structures involving safety and electromagnetic compatibility) is consistent with the type test report;
- (3) The critical components and materials used for safety certification of the products as well as the critical components that have an impact on EMC performance are consistent with the type test report.

7.1.2 Follow-up inspection items after certification

The items of the follow-up inspection after certification are: factory quality assurance capability inspection and certification product consistency inspection.

The items of the conformity inspection of the certified products is the same as those in 6.4.3 of the Detailed-Rules.

In addition, the use of the “CCC” certification mark and certification certificate shall also be inspected.

7.2 Sample testing or inspection at the production on-site

7.2.1 Sample testing or inspection principle at the production on-site

In accordance with the quality risk of certified products and the classification management requirements of manufacturing enterprises, if necessary, the CQC performs production on-site sampling testing against the product which obtains certificate; the samples for sampling testing shall be randomly taken from the qualified products.

7.2.2 Sample testing or inspection items at the production on-site

The items specified in the standards used for certification testing can be used as sampling inspection items.

CQC tests some or all of the items based on the quality of the different products and their impact on product safety or electromagnetic compatibility.

For laboratories accredited by ISO/IEC 17025 by the IAC Protocol Mutual Recognition and Accreditation Body, in compliance with CQC-related requirements, it may use the manufacturing enterprise testing resources to perform testing or witnessed testing.

7.3 Market sampling test or inspection

7.3.1 Market sampling test or inspection principle

CQC, according to the situation of certification risk and enterprise's classification management, if necessary, conducts market sampling. The CLIENT, manufacturers, and manufacturing enterprises shall actively cooperate, such as providing sales information for certified products, as well as information on users, distributors, and/or sales outlets.

7. Change of the quality system of the manufacturing enterprise (for example, ownership, organization structure or managers have changed);
8. Other.

The application procedure for change is described in the Detailed-Rules 5. Certification entrusting.

For the change of the same product and the same content of multiple manufacturing enterprises belonging to the same producer, the CLIENT can submit the change entrusting only once, and the certificate can be used in association.

8.2.2 Change evaluation and approval

CQC evaluates the information provided based on the content of the change, to determine whether the change can be approved. If the sample testing and/or factory inspection is required, it can only approve the change after the testing and/or inspection is qualified. In principle, the representative model samples that are initially subject to full-item type test shall be used as the basis for the change evaluation.

8.2.3 Change registration

For the change of critical components and materials, in the case where the sample test is not required, the CQC-approved manufacturing enterprise certification technical person in charge can confirm the approval, save the corresponding record and report it to CQC for registration. The registration of critical components and materials shall comply with the requirements of the Technical Resolution of the Relevant Requirements for Critical Components and Materials for Compulsory Product Certification for Households and Similar-Use Appliance (TC04-2014-02) of the Technical Accreditation Committee of the National Certification and Accreditation Administration, as detailed in Appendix 3.

The person in charge of the certification technology shall be appointed/authorized by the manufacturer, and certified by the certification body; the person in charge of the certification technology shall have the right to independently exercise its functions and have the ability to perform its functions; the person in charge of the certification technology shall not concurrently serve as the certification technology for other manufacturers. In case of change of the person in charge of the certification technology, the manufacturer is responsible for reporting to CQC and re-applying for assessment.

8.3 Extension of product covered by certificate

When the CLIENT needs to extend the product range covered by the obtained certificate, it shall submit the application for change to the CQC.

Appendix 1

Factory quality assurance capability requirements for compulsory certification of household and similar-use appliance

The factory is the main responsible-body of product quality; its quality assurance capability shall continue to meet the certification requirements. The products produced shall meet the standard requirements and ensure that the certified products are consistent with the type test samples.

1 Responsibilities and resources

1.1 Responsibilities

The factory shall stipulate the responsibilities, authorities and mutual relations of various personnel related to the certification requirements, designate the quality responsible-person in the management of the organization. Regardless of the other responsibilities of this person, he/she shall have the following responsibilities and authority:

- (a) Ensure that the requirements of this document are effectively established, implemented and maintained at the factory;
- (b) Ensure product consistency and product compliance with standards;
- (c) Proper use of CCC certificates and marks, to ensure that the status of the certificate, to which the CCC-mark is implemented on product, continues to be valid.

The person in charge of quality shall have sufficient ability to perform his/her responsibilities, the person in charge of quality may concurrently serve as the person in charge of certification technical responsible-person.

The factory shall designate a certification coordinator within the organization to be in charge of maintaining contact with the certification body during the certification process. It is responsible for tracking and understanding the requirements or provisions of the certification body and relevant government agencies regarding compulsory product certification in a timely manner, and reporting and communicating to the organization.

The content tracked and understood by the certified coordinator shall include at least:

- a) Relevant requirements for the revision of the compulsory certification implementation rules, the revision of the product certification standards, as well as the issuance and revision of other relevant certification documents;

which are produced by the subcontractor under entrusting, the factory shall perform control based on the critical component procurement, to ensure that the subcontracted products continue to meet the specified requirements.

For the self-produced critical components, it is controlled in accordance with this requirement 4.

4 Production process control

4.1 Factory shall identify the process that affects the quality of the certified product (referred to as the key process), the identified key processes shall meet the requirements of provisions. The key process operators shall have the corresponding capabilities; the control of key processes shall ensure the certified product compliance with the standards as well as the product consistency; when the quality of the certified product cannot be guaranteed if the key processes are not documented, the corresponding work instructions shall be developed to control the production process.

4.2 If the production process of the product has requirement for the environmental conditions, the factory shall ensure that the working environment meets the specified requirements.

4.3 The factory shall monitor and measure the appropriate process parameters as necessary.

4.4 The factory shall establish and maintain a maintenance system for the production equipment, to ensure that the equipment capabilities continue to meet production requirements.

4.5 When necessary, the factory shall inspect, monitor and measure the product and its characteristics at the appropriate stage of production as required, to ensure product conformity to standard and product consistency.

5 Routine test and / or confirmation test

The factory shall establish and maintain a documented procedure, to control the routine test and/or confirmation test of the final product; the test procedure shall comply with the specified requirements; the content of the procedure shall include the test frequency, items, contents, methods, decisions, etc. The factory shall implement and maintain relevant test records.

For inspections entrusted to external bodies, the factory shall ensure that the capabilities of the external body meet the inspection requirements and preserve the evaluation results of relevant capabilities, such as laboratory accreditation certificates.

6 Inspection test instrument and equipment

to avoid unintended use or delivery of non-conforming products. The reworked or repaired products shall be tested again.

7.2 For national and provincial supervisory spot-checks, product recalls, customer complaints, etc., and information on the non-conformity of certified products from external sources, the factory shall analyze the causes for the cause of non-conformity and take appropriate corrective measures. The factory shall keep records of unqualified information, cause analysis, disposal and corrective actions of certified products.

7.3 The factory shall notify the certification body in a timely manner when it knows that it has major quality problems in the certified products (such as finding non-conformity in national and provincial supervision spot-checks).

8 [Empty]

9 Certification product changes and consistency control

Factory shall establish and maintain a documented procedure, to control changes (such as processes, production conditions, critical components and materials, product structures, etc.) that may affect product consistency and product conformity to standard; the procedures shall comply with the provisions. The change can only be implemented after being approved by the certification body or certification technical responsible-person; the factory shall keep relevant records.

Factory shall control product consistency from the applicable quality links of product design (design change), process and resources, procurement, manufacturing, inspection, product protection and delivery, etc., to ensure that the product continues to meet the certification standards.

10 [Empty]

11 CCC certificate and mark

The management and use of the CCC certificate and mark by the factory shall comply with the provisions of the Compulsory Product Certification Management Regulations and the Compulsory Product Certification Mark Management Methods. For the uniformly printed standard CCC mark or the CCC mark applied by printing, molding, etc., the factory shall keep records of use. For products listed below, it shall neither use the CCC mark nor deliver it:

- (a) Products in the catalog of compulsory product certifications that are not certified;
- (b) The change after obtaining the certificate is required to be confirmed by the certification body, but the product is not confirmed;
- (c) Products that exceed the validity period of the certification;

Appendix 2

Factory quality control testing requirements for compulsory certification of household and similar-use appliances

Description:

- (1) Routine inspection is a 100% inspection for the certification product in the final phase of production for the purpose of eliminating the non-conforming product caused by the occurrence of accidental factors in the production process. Routine inspection is allowed to perform by the use of the equivalent, fast method that is validated after verification.
- (2) Confirmation inspection is a sampling inspection to verify whether the certification product continues to meet the certification criteria. During the confirmation inspection, if the factory does not have the test equipment, it can entrust the laboratory for the test.

Product name	Standard	Test item	Confirmation test (standard clause number)	Routine test (standard clause number)
Household refrigerator and food freezer	GB 4706.1 GB 4706.13	Mark	1 per year (§ 7)	
		Electric shock protection	1 per year (§ 8)	
		Electric strength	1 per year (§ 13.3)	√ (Method II in Appendix 2)
		Waterproof	1 per year (§ 15.101, 15.102, 15.103)	√ (Method I in Appendix 2)
		Grounding resistance	1 per year (§ 27.5)	
	Non-metallic materials		See note 6 of Appendix 3	

Product name	Standard	Test item	Confirmation test (standard clause number)	Routine test (standard clause number)
Electric fan	GB 4706.1 GB 4706.27	Mark	1 per year (§ 7)	
		Electric shock protection	1 per year (§ 8)	
		Electric strength	1 per year (§ 13.3)	√ (Method II in Appendix 2)
		Abnormal operation	1 per year (§ 19.7)	
		Mechanical hazard	1 per year (§ 20.2)	
		Grounding resistance	1 per year (§ 27.5)	√ (Method I in Appendix 2)
	Non-metallic materials		See note 6 of Appendix 3	

Category B components: When the critical components are changed, under the preconditions of meeting the streamlined process, whether the machine meets the standard requirements, it only needs material confirmation/technical judgment.

2.2 Changes of critical components

Changes to category A components shall be approved by the certification body; changes to category B components can be applied to streamlined process.

Streamlined process refers to the process of reporting the critical components only to the certification body when changing the critical components.

2.3 The applicable streamlined process conditions are:

2.3.1 The critical components of the change belong to category B components;

2.3.2 For category B components listed in the Compulsory Product Certification Catalogue/National Certification and Accreditation Administration for the voluntary certification catalogue that can recognize the certification results for the compulsory certification of the whole-machine, it shall obtain a valid compulsory product certification certificate/voluntary certificate stipulated by the National Certification and Accreditation Administration that can be recognized as the certification result by the compulsory certification of the whole-machine. For other category B components, it shall provide the voluntary certificate approved by the certification body/the test report issued by the CNAS accredited laboratory that meets the corresponding standards. And all components' technical parameters, shape, material, and installation dimensions shall be consistent with that of the original components;

2.3.3 The certification technical responsible-person who has been appointed/authorized by the producer (manufacturer) and certified by the certification body;

2.3.4 The producer (manufacturer) has a good reputation.

If the above conditions are not met, the change of category B components must be approved by the certification body.

Changes to critical components to which the streamlined process is applicable shall be approved by the producer's (manufacturer's) certification technical responsible-person; and the change record shall be kept.

When a category B component to which the streamlined process is applicable, false reporting or miss reporting are considered invalid; and it is considered as arbitral change of critical components. Once the certification body has found violations. It shall follow the Compulsory Product Certification Management Regulations and the Compulsory Product Certification Certificate Cancellation, Suspension, Revocation Implementation Rules and the relevant provisions of the certification body based on the severity. The provision of

		(4) The amount of degradation and residual amount in each degradation stage does not change by more than 8%.
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Note:

The material consistency judgment conclusion refers to the conclusion on whether the material inspection report of the non-metallic material used in the certified product is consistent with the material reference report; this conclusion is issued by the certification body.

The material reference test report refers to the infrared spectrum (GB/T 6040), differential scanning calorimetry (GB/T 19466.1, GB/T 19466.2, GB/T 19466.3) and thermogravimetric analysis (ISO 11358) of non-metallic materials that have passed the type test; this report is issued by the certification body or its authorized third party laboratory.

The material test report refers to the test report of the infrared spectrum (GB/T 6040), differential scanning calorimetry (GB/T 19466.1, GB/T 19466.2, GB/T 19466.3) and thermogravimetric analysis (ISO 11358) of non-metallic materials. This report may be issued by the certification body, the authorized third party laboratory of the certification body, or the factory laboratory.

1) When the certification body or its authorized third party laboratory issues the material test report (1 / half a year), the certification body provides the material consistency judgement conclusion to the factory (1 / half a year).

2) When the material test report is issued by the factory laboratory:

The factory laboratory may choose finishing one, two, or three items of the infrared spectrum, differential scanning calorimetry, and thermogravimetric analysis (1 / half a year); the items that cannot be finished by the factory laboratory shall be finished by the certification body or its authorized third party laboratory (1 / half a year).

The certification body takes the material test report from the factory to perform the material consistency judgement and issue the material consistency judgement conclusion to the factory (at least 1 / half a year). The certification body verifies the material test report regularly. When the factory and the certification body have different conclusions on the material test report, the conclusion of the certification body shall prevail. In the following cases, the material test report of the factory is not recognized; the material is judged as inconsistency, the relevant whole-machine certificate is suspended:

(a) The testing for the non-metallic material is incorrect;

(b) The non-metallic material is disqualified in different spot-checks;

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