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China Compulsory Certification Implementation Detailed-Rules

Electronic products and safety accessories

强制性产品认证实施细则

电子产品及安全附件

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China Quality Certification Center

Foreword

This Detailed-Rules is formulated on the basis of "*Implementation Rule on Compulsory Certification - Electronic products and safety accessories*" (CNCA-C09-01:2023). It is issued by the China Quality Certification Center.

Formulating organization: China Quality Certification Center

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1. Application scope

The implementation detailed-rules for electronic products and safety accessories (hereafter known as "Implementation Detailed-Rules" for short) is drafted in accordance with the requirements of "*Implementation Rule on Compulsory Certification - Electronic products and safety accessories*" (CNCA-C09-01:2023) (hereafter known as "Implementation Rule" for short), as supporting document for the implementation rule on certification, used in conjunction with the Implementation Rule.

All the contents such as product scope and certification basis to which this Implementation Detailed-Rules applies are consistent with the relevant provisions in the Implementation Rule, and are adjusted according to the directory definition, directory adjustment, and other notices issued by Certification and Accreditation Administration of the PRC (hereafter known as the CNCA for short).

CQC, in accordance with the provisions of the implementation rule on certification and the principles of maintaining product certification effectiveness, improving product quality, serving certification enterprises, and controlling certification risks, develops and publishes this certification implementation detailed-rules. It establishes the classified management requirements of manufacturing enterprises, and combined with the classification of manufacturing enterprises, clarifies the implementation requirements for product certification of electronic products and safety accessories.

If there is only one model in the application unit, this model is selected for the sample.

When applying for certification with a series of products as the same application unit, the samples should be selected from representative models of the series of products. The selected samples should cover the safety requirements and electromagnetic compatibility requirements of the series of products as much as possible. If they cannot be covered, other model samples in the application unit should also be selected for supplementary difference testing.

Normally, the number of representative unit model samples to be applied for is 2 (if the CB sample is approved, the number of samples is 1). For power adapters/chargers, etc., the model with the highest output voltage and the largest output current can be submitted according to the characteristics of the series of products. For mobile power supplies, the number of representative unit model samples is at least 12. For the requirements for the submission of lithium-ion cells and packs, please refer to Annex 1.

The number of supplementary test samples depends on the actual situation of whether the representative model samples cover the safety requirements and electromagnetic compatibility requirements of the products in the application unit. On the premise that the representative model samples and supplementary test samples can cover the safety requirements and electromagnetic compatibility requirements of the series of products in the application unit, the number of supplementary test samples and supplementary test items should be reduced as much as possible.

The requirements for the list of key components and materials shall be implemented in accordance with the resolution of the technical expert group of the National Certification and Accreditation Administration. For specific requirements, please refer to Annex 2 and Annex 3.

The classification and change filing instructions for key components and materials (hereinafter referred to as key parts) are as follows:

Change procedures for Category A critical parts: Must be approved by the certification body.

Change filing procedures for Category B key parts: Must comply with the following requirements:

(1) For Category B safety critical parts, those listed in the compulsory product certification catalogue/the voluntary certification catalogue that can be recognized for the compulsory certification of the whole machine stipulated by the National Certification and Accreditation Administration shall obtain a valid compulsory product certification certificate/the voluntary certification certificate that can be recognized for the compulsory certification of the whole machine stipulated by the National Certification and Accreditation Administration. Other Class B safety critical parts shall provide a voluntary certification certificate

6.1.5. Type test report

CQC stipulates a unified type test report format.

After the type test is completed, the laboratory shall promptly issue a type test report to CQC and the certification client. The test report shall include a description of all products and certification-related information in the application unit. The certification client shall ensure that a complete and valid type test report can be provided to CQC and law enforcement agencies during post-certification supervision.

6.2. Certification evaluation and determination

CQC will make a comprehensive evaluation of the type test conclusions and relevant data/information and make a certification decision. If the certification requirements are met, a certification certificate will be issued. If there are unqualified conclusions, the certification commission will not be approved and the certification will be terminated.

6.3. Certification time-limit

CQC has clearly defined the time limit for each stage of certification and ensures that relevant work is completed within the time limit. The certification client must actively cooperate with the certification activities. Generally, the certification certificate will be issued to the certification client within 90 days from the date of acceptance of the certification commission.

7. Initial factory inspection

7.1. Content of initial factory inspection

In light of the actual situation, a certain proportion of enterprises can be selected to implement the "double random" method. Factors to be considered include: the number of enterprises in the region that apply for certification of such products in a fixed time period (such as every month), the number and level of professional inspectors, and the region where the inspectors are located.

The inspection includes a full-factory inspection of the factory's quality assurance capabilities and a consistency check of certified products.

The factory quality assurance capability inspection is carried out in accordance with the "Requirements for Factory Quality Assurance Capabilities in the Implementation Rules for Compulsory Product Certification" (No.: CNCA-00C-005) issued by the Certification and Accreditation Administration and the "Quality Control Inspection Requirements for Factory Compulsory Certification of Electronic Products and Safety Accessories" (see Annex 4) issued by CQC.

The certification product consistency inspection includes and is not limited to:

(1) The product name, specifications, model, certification client, producer (manufacturer), manufacturer's information, and other necessary descriptions on the certification product shall be consistent with type test report;

(2) The structure of the certification product (mainly structures involving safety and electromagnetic compatibility performance) shall be consistent with type test report;

(3) Safety critical components and bill of materials used for certification product, and the critical components which have an impact on electromagnetic compatibility performance are consistent with type test report.

7.2. Time-limit of initial factory inspection

Normally, after the type test is passed, the initial factory inspection is carried out. In special circumstances, type test and factory inspection can be performed simultaneously.

In the initial factory inspection, in principle, the factory shall produce products within the scope of the application for certification. The factory inspection time is determined according to the number of units of the products within the scope of application for certification and the production scale of the factory. Generally, there are 1 to 4 people per day in each processing site.

After the type test, the factory inspection shall be completed within one year; otherwise, the type test shall be re-run.

Within 5 working days after the initial factory inspection, the inspection team shall submit a factory inspection report to CQC (calculated from the date of completion of the on-site inspection and receipt of a satisfactory report of corrective measures for non-conformities submitted by the manufacturing enterprise).

7.3. Conclusion of initial factory inspection

The inspection team reports the factory inspection conclusion to CQC. If the inspection result is unqualified, the inspection team will report the unqualified conclusion directly to the CQC. When there is a non-conformity in the factory inspection, the factory shall, within the prescribed time-limit, complete the rectification; and the inspection team shall verify the rectification result in an appropriate manner. If the rectification fails to be completed on time, the factory inspection shall be considered as unqualified.

7.4. Evaluation and approval of initial factory inspection

CQC conducts a comprehensive evaluation of the conclusions of type test and factory inspection. After the evaluation is passed, a compulsory certification certificate is issued.

If any of type test conclusion and factory inspection conclusion is unqualified, the

8.1.2. Content of after-certification follow-up inspection

The inspection content of Mode 1 of Article 8.1.1 in this Implementation Detailed-Rules shall refer to Article 7.1 of this Implementation Detailed-Rules. The inspection content of Mode 2 shall be in accordance with Article 8.4 of this Implementation Detailed-Rules.

Both modes shall check the use of the "CCC" certification mark and certification certificate.

8.1.3. Time-limit of after-certification follow-up inspection

Within 5 working days after the factory inspection, the inspection team shall submit a factory inspection report to CQC (calculated from the date of completion of the on-site inspection and receipt of a satisfactory report of corrective measures for non-conformities submitted by the manufacturing enterprise).

8.1.4. Conclusion of after-certification follow-up inspection

Same as the requirement of Article 7.3 of this Implementation Detailed-Rules.

8.1.5. Evaluation and approval of after-certification follow-up inspection

CQC conducts a comprehensive evaluation of the factory inspection conclusion. If the evaluation conclusion is qualified, the validity of the certificate shall be maintained. For manufacturing enterprises which fail to accept the factory inspection as scheduled or for which the factory inspection conclusions are unqualified, CQC will suspend the relevant valid CCC certificates.

8.2. Production on-site sampling test or inspection

8.2.1. Principles of production on-site sampling test or inspection

According to the classified management of enterprises and the certification risk, when necessary, CQC conducts production on-site sampling test or inspection. The production on-site sampling test or inspection shall cover all certified categories.

8.2.2. Content of production on-site sampling test or inspection

According to different product conditions, based on part or all of the items of the CCC type test report, sampling test/inspection (may including product consistency inspection) is implemented, and a test report is issued by the designated laboratory.

Sampling testing/inspection can also be carried out using the testing resources of the manufacturer in accordance with the product certification management procedures issued by CQC, and the test report will be issued by the designated laboratory.

8.5. Record of after-certification supervision

CQC records the entire post-certification supervision process and keeps it on file to ensure the traceability of the certification process and results.

8.6. Evaluation of after-certification supervision result

CQC conducts a comprehensive evaluation of the conclusions of follow-up inspections, the conclusions of sample testing and relevant data/information. If the evaluation is passed, the certification certificate can continue to be maintained and the certification mark can be used. If the evaluation is not passed, the certification certificate shall be suspended or revoked according to the corresponding circumstances and announced.

9. Certificate

9.1. Maintenance of the certificate

The validity period of the product certification certificate covered by these implementation rules is 5 years. During the validity period, the validity of the certificate is maintained by post-certification supervision.

If the validity period of the certification certificate expires and it needs to be renewed, the certification client shall submit a certification commission within 90 days before the expiration of the validity period of the certification certificate. If the last post-certification supervision result during the validity period of the certificate is qualified, CQC shall directly reissue a new certificate after receiving the certification commission.

9.2. Record change of products covered by the certificate

9.2.1. Change request

After a product is certified, if there are any changes to the product model, specification, safety and/or electromagnetic compatibility structure, as well as the producer, manufacturer, model, specification, technical parameters, etc. of the key components and materials listed in Annex 2 and Annex 3, as well as any changes to other relevant information, standards, implementation rules, implementation details, etc. of the certification certificate, the certification client shall submit an application for change approval/recordation to CQC.

The requirements for changes to certificates obtained under the ODM model are implemented in accordance with Announcement No. 30 of 2009 issued by the Certification and Accreditation Administration, "Announcement on the Issuance of the Supplementary Provisions on the ODM Model in the Implementation Rules of Compulsory Product Certification".

9.2.1.1. Scope of certification changes:

1) In principle, if the legal entity of the certification client, producer (manufacturer) or production enterprise changes or the administrative region crosses borders (such as across provinces, cities, etc.), the application cannot be changed and certification should be implemented as a new application.

2) For enterprise change applications whose classification management level is C or D, stricter requirements may be imposed based on the reasons for the enterprise's downgrade.

9.2.1.2. Certification change procedure:

See 5. Applicable requirements for certification entrustment in this Detailed-Rules.

For changes to the same product or content of multiple production enterprises under the same manufacturer, the certification client may submit only one change authorization. CQC shall use the certification certificates involved in the change in a linked manner.

9.2.2. Evaluation and approval of change

CQC will evaluate the information provided based on the content of the change and determine whether the change can be approved. If sample testing and/or factory inspection is required, the change can only be approved after the testing and/or inspection are qualified. In principle, the representative model samples that were initially subjected to full type testing should be used as the basis for change evaluation.

9.2.3. Principles of record change

For changes in key components and materials, if sample testing is not required, the person in charge of the certification technology of the manufacturer approved by CQC can confirm and approve it. Keep relevant records and report to CQC for filing. The filing of key components and materials should comply with the relevant resolution requirements issued by the technical expert group of the National Certification and Accreditation Administration (see Annex 2 and Annex 3).

The relevant requirements for the person in charge of certification technology shall be implemented in accordance with the "General Requirements for Persons in Charge of Certification Technology" promulgated by CQC (see Annex 5).

9.3. Extension of products covered by the certificate

When the certification client needs to expand the product scope covered by the certification certificate it has obtained, it should submit a certification entrustment for the expanded products to CQC.

Based on the technical information of the extended product provided by the certification client, CQC will check the difference between the extended product and the original certified product, confirm the validity of the original certification results for the

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