

Translated English of Chinese CCC Regulations: CNCA 00C-004-2013

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[Attachment 1]

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China Compulsory Certification Implementation Rules -
Utilization of Manufacturing Enterprise Testing Resource
and Other Certification Results

强制性产品认证实施规则

生产企业检测资源及其他认证结果的利用

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Republic of China**

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0. Introduction

In order to shorten the compulsory product certification and testing cycle, reduce the cost of certification testing, reduce the burden on the factory, and avoid repeated evaluation, under the premise that the certification risk is controllable and the certification quality is guaranteed, if the specific requirements are met, and the testing resources (such as personnel, facilities, etc.) of laboratory of manufacturing enterprise (hereinafter abbreviated as factory) have the testing ability of corresponding products and specific items, and the products applying for compulsory certification may have obtained other certifications or the factory has obtained system certification, compulsory product certification can use the factory's own testing resources to replace all or part of the test items for sample testing in the laboratory designated by CCC, or to recognize the evaluation results (test, inspection, or review results) of the same content of other certifications. To standardize the above two types of activities, this Implementation Rules is formulated.

The factory testing resources referred to in this Rules are 100% owned by the manufacturer or manufacturing enterprise which applies for compulsory product certification, which are recognized and in the same city or adjacent to the factory (hereinafter abbreviated as factory laboratory).

The other certification results referred to in this Rules are the certificate of product certification and certificate of management system certification issued by the certification bodies approved by the CNCA. The certificates shall be valid.

1. Terms and definitions

1.1 TMP mode

The mode in which the designated laboratory directly uses the testing equipment in the factory laboratory to conduct testing [[Testing at Manufacturer's Premises, abbreviated as TMP](#)].

1.2 WMT mode

The mode in which the designated laboratory uses the testing equipment in the factory laboratory to witness testing [[Witnessed Manufacturer's Testing, abbreviated as WMT](#)].

2. Utilization of factory testing resource

2.1 Application scope

2.1.1 Type test: It only applies to the following CCC certified products

2.4 Qualification and maintenance

2.4.1 The factory shall apply to the certification body, and conduct self-inspection according to the above conditions, and submit the self-inspection results and related materials to the certification body for review with the application. The certification body shall organize designated laboratory's technical experts to conduct on-site inspections and maintain corresponding audit and evaluation records. Only those who have passed the assessment can use the factory laboratory resources for testing.

2.4.2 The certification body shall conduct regular (e.g., once a year, determined according to the frequency of utilization) supervision of the approved factory laboratories (which may be conducted in combination with the factory annual supervision), and organize the factory laboratories to participate in the comparison test, to ensure the accuracy and validity of the test results and maintain qualifications.

2.4.3 The certification body shall maintain records of the approved factory laboratories and report annually the list of approved factory laboratories and the utilization (as part of the annual work summary) to the CNCA.

2.5 Duties and responsibilities

2.5.1 Duties

2.5.1.1 Duties of designated certification body

- (a) MANAGE and ORGANIZE utilization of factory testing resource for compulsory product certification, including at least the development of implementation methods or procedures, determination of specific condition requirements, selection of review experts, organization of review of factory laboratories;
- (b) ENSURE that all operational staff is technically competent and familiar with the relevant procedural requirements;
- (c) ENSURE that there is an appropriate tripartite agreement between the body, the designated laboratory, and the factory laboratory, to ensure that the testing process meets the requirements;
- (d) Regularly REPORT relevant work to the CNCA.

2.5.1.2 Duties of designated laboratory

- (a) PARTICIPATE in the review of the factory laboratory;
- (b) Ability assessment of factory laboratory personnel, if necessary;
- (c) As a party to the tripartite agreement, ENSURE that the testing process meets the requirements;

“Product Testing Fee Standard for China Compulsory Certification” filed with the National Development and Reform Commission and the man-hour man-day fees for laboratory capability review and on-site inspection (The maximum shall not exceed 100% of the total testing fees). The WMT testing fee shall be charged according to the lower limit between the 50% of “Product Testing Fee Standard for China Compulsory Certification” filed with the National Development and Reform Commission and the man-hour man-day fees for laboratory capability review and on-site inspection.

The above fees are charged by the relevant designated laboratories. The certification body only charges relevant application fees, data review fees, and factory inspection man-day fees.

3. Utilization of other certification results

3.1 Application scope

The implementation rules for the certificate of product certification and certificate of management system certification, issued by the certification body authorized and approved by the CNCA, shall be filed in accordance with national regulations. The certificates shall be valid.

3.1.1 Product certification

If the parts required to be tested with the whole machine as stipulated in the compulsory certification implementation rules have obtained the voluntary certification specified by the CNCA which can recognize the certification result for the compulsory certification of the whole machine, the designated certification body, based on the audit, admits the certification result. The parts will not be tested separately.

It shall encourage designated certification bodies to make relevant arrangements, admit other voluntary product certification results or partial results, to avoid duplicate testing, repeated review, and to improve certification efficiency.

3.1.2 System certification

When implementing compulsory product certification, enterprises with valid certificates of service and management system certification issued by the certification body authorized by the CNCA, shall be evaluated by the certification body according to the actual situation. A decision to exempt some of the provisions of the quality management system from review may be made. Other contents of the factory review cannot be exempted.

3.2 Responsibilities

The utilization of voluntary certification results does not exempt, mitigate, or transfer the responsibility of designated laboratories and certification bodies specified in “Administrative Provisions on China Compulsory Certification” for test results and

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