



CHINA QUALITY CERTIFICATION CENTRE (CQC) NORTH AMERICAN SEMINAR

Electrical Equipment and Vehicle Components

Tuesday, September 27, 2011

10:00 am – 5:00pm

Venue

ANSI – NY Office
25 W. 43rd St., 4th Floor
New York, NY 10036

Organized by:



Sponsor:



AGENDA	Tuesday – September 27, 2011
10:00 – 10:20 am	Welcome / Opening Remarks <ul style="list-style-type: none"> Ms. Fran Schrotter, Senior Vice President American National Standards Institute Mr. Wu Yuping, Vice President China Quality Certification Centre (CQC)
10:20 – 11:15 am	China Compulsory Certification (CCC) Regulations <ul style="list-style-type: none"> Mr. Li Chunjiang, Officer Certification and Accreditation Administration of China (CNCA)
11:15 – 11:30 am	Break
11:30 – 12:45 pm	Requirements for Information Technology (IT), Audiovisual (AV), and Telecommunications Equipment <ul style="list-style-type: none"> Ms. Xiao Xiangrong China Quality Certification Centre (CQC) Q&A and Discussion

a seminar organized by the American National Standards Institute
and the China Quality Certification Centre (CQC)

12:45 – 2:00 pm	Lunch
2:00 – 3:00 pm	Requirements for Vehicle Components <ul style="list-style-type: none"> Ms. Qu Yanping China Quality Certification Centre (CQC)
3:00 – 3:15 pm	Break
3:15 – 4:50 pm	Requirements for Factory Inspection <ul style="list-style-type: none"> Mr. Lin Xuedong China Quality Certification Centre (CQC) Open Discussion
4:50 – 5:00 pm	Closing Remarks <ul style="list-style-type: none"> Mr. Bryan O'Byrne, International Trade Specialist U.S. Department of Commerce, International Trade Administration (ITA) Mr. Paul Moliski, Vice President, Accreditation Intertek

a seminar organized by the American National Standards Institute
and the China Quality Certification Centre (CQC)



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强制性产品认证制度介绍 Introduction of CCC regulation

2011-9



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一. 建立的原则 principle of constitution

遵循国际认证通行准则, Follow the international rules

认证制度的建立和运作, 认证/检测/检查机构的运作、认证实施规则程序遵循ISO/IEC国际指南和标准



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二、强制性产品认证的基本内容 CCC basic content

(一) 强制性产品认证制度的文件体系

- 法律与法规 laws and regulations
- 规章 rules
- 规范性文件 normative files



1、法律与法规 laws and regulations

我国强制性产品认证制度的基础 CCC based on:

- 《产品质量法》 <Product Quality Law >
- 《进出口商品检验法》
<Law of the Import and export commodity inspection of PRC>
- 《标准化法》 <Law of standardization of P.R.C.>
- 《认证认可条例》 <Regulation on Certification and Accreditation of P.R.C.>



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2、规章 regulations and rules

《强制性产品认证管理规定》（2009年7月3日, 国家质量监督检验检疫国家质检总局第117号局长令）

<Regulation concerning Management of Compulsive Product Certification>
3-July, 2009, AQSIQ order 117.

- (1) 设定样品采集制度;

Resolve noncoincidence involved in delivered sample and actually produced product.



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有关条款:

Related clause:

第十三条：认证机构应当按照认证规则的要求，根据产品特点和实际情况，采取认证委托人送样、现场抽样或者现场封样后由认证委托人送样等抽样方式，委托经国家认监委指定的实验室对样品进行产品型式试验。

认证委托人应当保证其提供的样品与实际生产的产品一致，认证机构应当对认证委托人提供样品的真实性进行审核。



clause 13: Based on regulations of certification rules, properties of product and actual situation, certification organization shall adopt different sampling schemes, which include: sample is delivered by certification trustor, sampling onsite or sample is sealed onsite, and then delivered by certification trustor, type test of sample shall be carried out on laboratories that are designated by National Certification and Accreditation Administration.

Certification trustor shall ensure the coincidence of provided sample and actual product, certification organization shall inspect the authenticity of samples provided by certification trustor.



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第十四条：实验室及其有关人员应当对其作出的检测报告内容以及检测结论负责，对样品真实性有疑义的，应当向认证机构说明情况，并作出相应处理。

clause 14: Laboratory and related staff shall be responsible for content and testing conclusions of the testing report, as for sample whose authenticity is questioned, laboratory and related staff shall report to certification organization and corresponding treatment shall be made.



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第四十三条：认证机构、未对认证委托人提供样品的真实性进行有效审查的，国家认监委应当责令其停业整顿，停业整顿期间不得从事指定范围内的强制性产品认证活动。

clause 43: If certification organization does not perform effective inspection on sample authenticity provided by certification trustor, National Certification and Accreditation Administration shall order the certification organization to recess and adjust, designated compulsory product certification shall not be carried out during cessation adjustments.



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- (2) 分类管理制度;

System 2: Classified management system is formulated on implementation of follow-up inspection on certification product and its enterprise.



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有关条款:

第十七条: 认证机构应当通过现场产品检测或者检查、市场产品抽样检测或者检查、质量保证能力检查等方式, 对获证产品及其生产企业实施分类管理和有效的跟踪检查, 控制并验证获证产品与型式试验样品的一致性、生产企业的质量保证能力持续符合认证要求。

Related clause:

clause 17: Certification organization shall adopt different inspections to carry out classified management and effective follow-up inspection of certification product and its enterprise, to control and test the coincidence of certification product and type test sample, and to ensure enterprise's quality assurance capacity continuously meets certification requirements. The above mentioned inspection includes onsite product inspection or inspection and sampling inspection or inspection and inspection on quality assurance capacity.



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第十九条：认证机构应当按照认证规则的规定，根据获证产品的安全等级、产品质量稳定性以及产品生产企业的良好记录和不良记录情况等因素，对获证产品及其生产企业进行跟踪检查的分类管理，确定合理的跟踪检查频次。

clause 19: Based on regulations of certification rules, safety classification of certification product, quality stability, positive and negative record of production enterprise, certification organization shall perform classified management of follow-up inspection on certification product and its enterprise to ensure reasonable frequency of follow-up inspection.



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(3) 认证证书和认证标志管理制度。

Management system of certificate of compulsory product certification and certification mark is formulated

1) 认证证书有效期的规定。

Regulation on period of validity of certificate



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有关条款:

Related clause:

第二十二条: 认证证书有效期为5年。认证机构应当根据其
对获证产品及其生产企业的跟踪检查的情况，在认证证书上
注明年度检查有效状态的查询网址和电话。认证证书有效期
届满，需要延续使用的，认证委托人应当在认证证书有效期
届满前90天内申请办理。

clause 22: The period of validity of certificate is 5 years.
Based on follow-up inspection of certification product and its
enterprise, certification organization shall indicate on
certificate the inquiry website and telephone of valid status of
annual inspection. At the expiration of certificate, if it
requires continuation, certification trustor shall apply 90
days before expiration of certificate.



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认证证书期限届满后，由认证委托人向认证机构申请更换证书，如果之前的历次认证监督检查是合格的，则不需要重新认证，仅更换一张新的认证证书。

After the expiration of certificate, certification trustor shall apply for certificate replacement, if all previous certification surveillance and inspections were qualified, recertification is not necessary, old certificate only needs to change to a new one.



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2) 获证产品标识标注与认证证书所含内容应当一致

Regulation on the coincidence of certification mark and content of certificate

有关条款:

Related clause:

第二十三条: 获证产品及其销售包装上标注认证证书所含内容的, 应当与认证证书的内容相一致, 并符合国家有关产品标识标注管理规定。

clause 23: The content of certification mark on certification product and its packaging shall be in agreement with the content of certificate, and meet related national management regulations on product mark.



3) 认证证书变更和扩展的规定。

Regulation on certificate change and expansion i

有关条款:

Related clause:

第二十四条、第二十五条规定：认证机构根据认证委托人的申请，根据不同情况作出变更或扩展的处理。

clause 24 and clause 25 regulate: certification organization shall make change or expansion treatment based on application of certification trustor and different situations.



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- (3) 进口目录内产品的监管。
- **supervision and management of the listed products.**

第四十条：出入境检验检疫机构应当对列入目录的进口产品实施入境验证管理，查验认证证书、认证标志等证明文件，核对货证是否相符。验证不合格的，依照相关法律法规予以处理，对列入目录的进口产品实施后续监管。

clause 40: Administration of entry-exit inspection and quarantine shall conduct entry verification management on imported products that are listed in catalogue, verify its certificate and certification mark, and check if all certificates correspond to each other. If the verification fails, a follow-up supervision shall be conducted on imported products that are listed in catalogue based on related law and regulations.



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对第四十条的理解

Explanation of clause 40

1、验证管理包括：是否有认证证书，是否获证相符（如证书标注的生产商、产品型号、规格与货物是否一致），是否加施认证标志等。

Verification management includes: if contains certificate, if certification corresponds (for instance, if manufacturer, product mode, specification and products correspond to each other), if certification mark is applied, etc.

2、验证不合格的，出入境检验检疫机构依照《商品检验法实施条例》第二十条的规定，由出入境检验检疫机构责令当事人销毁，或者出具退货处理通知单并书面告知海关，海关凭退货处理通知单办理退运手续。

If verification fails, based on clause 20 of “Regulations of implementation on import and export commodity inspection”, administration of entry-exit inspection and quarantine shall order litigant to destroy, or provide Notice of returns and notify customs with written notice, customs shall take actions to return according to Notice of returns.

3、对列入目录的进口产品实施后续监管，由出入境检验检疫机构依据《认证认可条例》、《商检法实施条例》以及117号令的相关规定进行。

Based on “Regulations on certification and accreditation”, “Regulations of implementation on import and export commodity inspection” and related regulations of Announcement No. 117, follow-up supervision and inspection shall be performed on imported products that are listed in catalogue by administration of entry-exit inspection and quarantine.



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(4) 免于办理强制性产品认证

Compulsory product certification that could be excused

有关条款:

Related clause:

第四十二条: 有下列情形之一的, 列入目录产品的生产者、进口商、销售商或者其代理人可以向所在地出入境检验检疫机构提出免于办理强制性产品认证申请... ..

clause 42: Manufacturer, importer, distributor and other agent could apply for dispensation of compulsory product certification to local administration of entry of entry-exit inspection and quarantine as long as one of the following situations is met... ..



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- (一) 为科研、测试所需的产品；
(1) Products for research and testing
- (二) 为考核技术引进生产线所需的零部件
(2) Parts that are used to assess technology in order to import production line
- (三) 直接为最终用户维修目的所需的产品
(3) Products that are directly used for end-user's maintenance
- (四) 工厂生产线/成套生产线配套所需的设备/部件（不包含办公用品）；
(4) Equipments/parts that are used to affiliate production line/complete production line (office equipments are not included)
- (五) 仅用于商业展示，但不销售的产品；
(5) Products that are only used for business exhibition, not for sale
- (六) 暂时进口后需退运出关的产品（含展览品）；
(6) Products that are temporarily imported, and will be returned later on (exhibits are included)
- (七) 以整机全数出口为目的而用一般贸易方式进口的零部件；
(7) Parts that are imported by means of general trade, and all assembled products will be exported
- (八) 以整机全数出口为目的而用进料或者来料加工方式进口的零部件；
(8) Parts that are imported by means of buying or processing supplied material, and all assembled products will be exported



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- (5) 明确了认证活动各方面的行为规范。设定了指定机构、获证企业，以及政府监管部门和人员的行为规范。

Regulates defined code of conduct on designated certification organizations, laboratories and testing organizations

- 相关条款
Related clause

第十五条 需要进行工厂检查的，认证机构应当委派具有国家注册资格的强制性产品认证检查员，对产品生产企业的质量保证能力、生产产品与型式试验样品的一致性等情况，依照具体产品认证规则进行检查。认证机构及其强制性产品认证检查员应当对检查结论负责。

clause 14: when factory inspection is needed, Certification organization should appointed CCC inspector with the qualification of National registration. The certification organization and the CCC inspector take the responsibility of the inspection result.



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第十八条 认证机构应当对跟踪检查全过程作出完整记录，归档留存，保证认证过程和结果具有可追溯性。

对于不能持续符合认证要求的，认证机构应当根据相应情形作出予以暂停或者撤销认证证书的处理，并予公布。

Clause 18: Certification organization should note and keep in archive the whole process of the follow up inspection which assure the traceability of the certification results.

In the situation the certification requirement is not continuous fulfilled, certification organization should suspend or withdraw the cert. according to the rules and publish the result.



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(二) 强制性产品认证制度建立和实施的基本体系

CCC system constitution and implementary

- 国家质检总局发布规章，国家认证认可监督管理委员会统一建立并组织实施；
AQSIQ release the announcement, CNCA administrate and implementary;
- 指定的认证机构及为其服务的检测、检查机构和人员负责认证的受理、检测、检查和证书的颁发以及获证产品的监督；
Designated certification body ,testing lab and inspection organization/personnel are in charge of the application, testing, faction inspection and certificates issuing and supervising.
- 地方质检机构负责对目录内的产品及生产者、进口商和销售商等进行市场监督检查；
Local AQSIQ branch is in charge of market supervising of CCC products manufacturer, importer and seller.
- 指定机构负责中国认证标志的发放和接受认监委的委托对认证标志使用方案进行审查。
Designated organization in charge of CCC mark management and checkup.



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(三) 强制性产品认证制度的基本技术要求

1. 认证模式及选择 Certification mode and selection

强制性产品认证的模式可由以下一种或多种模式组合而成：

CCC certification mode can be consisted by one or several modes listed bellow:

- 1) 设计鉴定 design verification
- 2) 型式试验 type testing
- 3) 制造现场抽取样品检测或者检查 on site sample testing
- 4) 市场抽样检测或者检查 market sample testing
- 5) 企业质量保证体系审核 quality management system audit
- 6) 获得认证后的监督检查 follow up inspection after cert. issued



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2. 认证实施规则 certification rules

根据《强制性产品认证规定》的规定，国家认监委应编制并对外发布列入《目录》内产品的认证实施规则，以指导申请人申请认证、明确认证机构实施认证的依据、指导地方质检机构对强制性认证制度实施有效性的监督。具体产品认证实施规则的编制，参照国际指南（ISO/IEC指南28）的要求。

According to <Regulation concerning Management of Compulsive Product Certification>, CNCA draft and announces the CCC products' <certification rule> to guide the applicant to make application, define the principle of certification implementation, guide the local quality management organization surveillance. ISO/IEC guide 28 requirement is the reference for the certification rules drafting.



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3. 认证程序 certification processes

强制性产品认证程序由以下全部或部分环节组成：

CCC consists the processes in parts/all listed below:

- 1) 认证申请和受理 application
- 2) 型式试验 type testing
- 3) 工厂审查 factory inspection
- 4) 抽样检测 sample testing
- 5) 认证结果评价与批准 evaluation and approval
- 6) 获证后的监督 surveillance after cert. issue



三、强制性产品目录范围 CCC catalog

22类(Category), 159种产品(Product)

- 电线电缆（共5种）
- 电路开关及保护或连接用电器装置（共6种）
- 低压电器（共9种）
- 小功率电动机（共1种）
- 电动工具（共16种）
- 电焊机（共15种）
- 家用和类似用途设备（共18种）
- 音视频设备类（不包括广播级音响设备和汽车音响设备）（共16种）
- 信息技术设备（共12种）
- 照明设备（共2种）（不包括电压低于36V的照明设备）
- 轮胎产品（共3种）
- 安全玻璃（共3种）
- 农机产品（共2种）
- 乳胶制品（共1种）
- 电信终端设备（共9种）
- 医疗器械产品（共7种）
- 消防产品（共3种）
- 安全技术防范产品（共4种）
- 无线局域产品（共1种）
- 装饰装修材料（共3种）
- 玩具（共6种）
- 机动车辆及安全附件（共17种）



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四、强制性产品认证机构： CCC designated organizations

1. 中国质量认证中心, CQC
2. 中国安全技术防范认证中心, CSP
3. 中国农机产品质量认证中心, CAM
4. 中国建筑材料检验认证中心, CTC
5. 北京中化联合质量认证有限公司, BZHCC
6. 公安部消防产品合格评定中心, CCCF
7. 中汽认证中心, CCAP
8. 北京国建联信认证中心有限公司, GJCC
9. 方圆标志认证集团, CQM
10. 北京中轻联认证中心, CCLC



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五、强制性产品认证现状

截至2011年7月，

➤ 累计颁发有效CCC证书共计274,051张，持有效证书的企业43,751家，其中境内企业39,291家，境外企业4,460家。每年新颁发证书（含证书变更）约7.5万张，暂停证书约4万张次，撤销证书约3.8万张次，注销证书约1.8万张次。

Up to July, 2011:

CCC certification issued together: 274,051,

Applicant/manufacturer/factory: 43,751, domestic:39291, oversea: 4460;

CCC Certificates suspended/withdrawn/cancelled: 40,000/38,000/18,000



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- 中国国家认证认可监督管理委员会：
<http://www.cnca.gov.cn>
- 中国国家质量监督检验检疫总局：
<http://www.aqsiq.gov.cn>



中国国家认证认可监督管理委员会
Certification and Accreditation Administration of the People's Republic of China

谢谢大家!

Thank you!

很高兴认识大家
Glad to meet you!



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CHINA QUALITY CERTIFICATION CENTRE

电子产品CCC认证介绍

China Compulsory Certification of Electronic Product

肖向荣 **Ms. Xiao Xiangrong**

CQC产品认证一部

Product Certification Department I (CQC)



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议程

Agenda

- CQC产品认证一部认证范围
Certification Scope of CQC Product
Certification Department I
- 认证法规文件介绍
Certification Rules and Regulations
- 新版实施规则介绍
New Version of Implementation Rules
- CCC认证申请中需关注的问题
Key Takeaways for CCC Application



产品认证一部认证范围

Certification Scope of Department I

- IT、AV、电信终端产品的CCC认证
IT, AV, Telecommunication Terminal Equipments Certification for CCC Mark
- 非CCC范围内的IT、AV、电信终端产品的CQC标志认证
IT, AV, Telecommunication Terminal Equipments Certification for CQC Mark (out of CCC product catalogue)



- **IT、AV、电信终端产品的节能认证**
IT, AV, Telecommunication Terminal Equipments for Energy Conservation Certification
- **电子元器件的CQC标志认证**
Electronic Components for CQC mark
- **光伏（PV）产品CQC标志认证**
Photovoltaic Products for CQC mark
见下面CQC的部分标志（See Same CQC mark）



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认证法规文件介绍

Certification Rules and Regulations

- 2009年7月，国家质检总局发布第117号令，即新版《强制性产品认证管理规定》
- In July 2009, AQSIQ published Order 117, i.e., new version of "Management regulations of compulsory product certification"



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■ 产品界定依据（申请CCC认证范围）：

Product definition (Scope of CCC certification application):

1) 国家认监委2007年第9号公告《强制性认证产品目录描述与界定表》

CNCA Bulletin No.9, 2007 “Catalogue description and defined table of compulsory certification product ”



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2) 国家认监委网站强制性产品认证专栏相关通知和回函批复

Relevant notice and feedback in the special column of compulsory product certification on CNCA website (www.cnca.gov.cn)



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强制性产品认证专栏

Compulsory Product Certification

认监委认证监管部主办

- 制度介绍
- 法律法规
- 公文公告
- 目录描述与界定
- 执法单位专区
- 认证收费
- 实施规则
- 指定机构查询
- 证书查询
- 常见问题
- 技术专家组



ccc标志



ccc免办

有关通知

CNCA Notice

[更多>>](#)

关于进一步明确网络集线器产品入境验证监管范围的通知-国认证函[2009]110号	2009-06-22
关于对家电下乡产品严把认证质量、加强执法监管的通知-国认证函[2009]14号	2009-03-19
关于3G移动终端设备强制性产品认证有关事宜的通知-国认证[2009]1号	2009-03-19
关于网络集线器产品强制性认证适用范围的通知-国认证函[2008]187号	2009-01-16
关于加强强制性产品认证行政监管工作的通知-国认证[2008]58号	2008-12-10
关于部分家用电器产品强制性产品认证执行新版标准有关要求的通知-国认证函[2008]138号	2008-10-29
关于热熔断体产品强制性认证执行新版标准有关要求的通知-国认证函[2008]154号	2008-10-29
关于执行GB/75913-2008标准有关要求的通知-国认证函[2008]119号	2008-08-06

回函批复

CNCA Feedback

[更多>>](#)

关于电脑游戏机等产品强制性认证有关问题的复函-认办证函[2009]22号	2009-03-19
关于强制性产品认证执法检查有关问题的批复-国认证函[2008]195号	2009-01-16
关于三轮多功能拖拉机是否属于强制性产品认证范围的批复-国认证函[2008]207号	2008-12-10
关于人脸识别机是否属于强制性产品认证范围的复函-认办证函[2008]172号	2008-10-29
关于户外端子箱是否属于强制性产品认证目录范围的复函-国认证函[2008]130号	2008-10-29
关于强制性产品认证执法有关问题的批复-国认证函[2008]168号	2008-10-29
关于加油站用前庭控制器是否属于强制性产品认证范围的批复-国认证函[2008]129号	2008-08-06
关于对北京奥运会急需物资中未获得强制性认证产品验放处理意见的复函-认办证函[2008]101号	2008-05-09

友情链接

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中国安全技术防范认证中心

中国农机产品质量认证中心

中国建筑材料检验认证中心

中汽认证中心

北京国建联信认证中心有限公司

方圆标志认证集团

北京中轻联认证中心

■ 强制性产品认证实施规则

Implementation Rules of Compulsory Product Certification

1) 017 《电气电子产品强制性认证实施规则》
(音视频设备) (2010年12月1日更新)

017 Implementation rules of compulsory certification for electrical and electronic product (for audio and video products) (updated on 1st December 2010)



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2) 020 《电气电子产品强制性认证实施规则》（信息技术设备）（2010年12月1日更新）

020 Implementation Rules of compulsory certification for electrical and electronic product (for Information Technology Equipments) (updated on 1st December 2010)



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新版实施规则介绍

New Version of Implementation Rule

- 规则发布文件: 认监委2010年第27号公告

Issued by: CNCA Bulletin No. 27, 2010

- 新版实施规则修订说明
- Amendment Description**



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1) 依据《强制性产品认证管理规定》（国家质检总局第117号令，以下简称117号令）等法律法规进行调整

Adjust according to “management regulations of compulsory product certification” (order 117, AQSIQ, hereinafter referred to as Order 117)



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2) 明确需遵照《强制性产品认证证书注销、暂停、撤销实施规则》

Product compulsory certification should comply with “Implementation rules of cancellation, suspension and withdrawal for compulsory product certificate



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■ 新版实施规则修订原则

Amendment Principia

- 1) 在保证认证有效性的前提下，适度放宽单元划分原则；

On the premise of guaranteeing the validity, moderately relax principles of the application unit definition;



2) 明确认证技术负责人职责;

Make clear the responsibilities of technical manager;

3) 由认证机构制定工厂质量保证能力检查实施细则报认监委备案后实施 (已发布)

Implementation rules of factory quality assurance ability inspection authorized by CNCA has taken effect .(already released)



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■ 新版实施规则主要差异内容

**Key different points of new version
implementation rules**

1) 申请单元划分

Principles of application unit definition



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产品的电气结构、产品的安全关键元部件和材料完全相同的（以下称系列产品）可作为一个单元申请认证，原则上应明确同一单元内产品的具体型号；

If the electrical structure, safety critical components and materials of products are exactly the same (hereinafter referred to as series) ,these products can be regarded as the same application unit for certification, in principle, specific model should be defined within the same application unit;



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2) 对关键元部件和材料变更采取A、B类分类管理，简化变更程序；

Use type A and B to classify the change activities of key components and materials of certified products, simplify the procedure of modification;



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3) 明确关键元部件和材料、控制参数及检测要求，提高了可操作性和检测一致性

Clarify the critical components and materials, technical parameters and test requirements, make it user-friendly and test-consistent.



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- 4) 明确了样品选取原则/**How to choose samples**
以系列产品为同一申请单元申请认证时，样品从系列产品中选取具有代表性的型号，并且选取的样品应尽可能覆盖系列产品的安全要求 and 电磁兼容要求，不能覆盖时，还应选取申请单元内的其他型号样品做补充差异试验；

To apply as a series, the most typical sample should be chosen as a representative model, and the serial products' requirements on safety and EMC should be covered as far as possible; Otherwise, the complementary variation test is required;



5) 检测标准 /Testing standards

检测标准适用版本及要求按照国家认监委关于执行相关标准要求的公告执行。认证委托人应通过查询网站等方式主动获取相关标准版本更新信息和认证检测标准执行要求

Current effective version standards and implementation requirements should be implemented according to CNCA 's bulletin. Get all the standards and implementation requirements from website CNCA



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- 国家认监委网站 www.cnca.gov.cn;
国家标准委网站: www.sac.gov.cn;

**Certification and Accreditation
Administration of the People's Republic
of China www.cnca.gov.cn ,and
SAC (Standardization Administration of
People's Republic of China)
www.sac.gov.cn;**



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CCC认证申请中需关注的问题

Key Takeaways for CCC Application

1) 提交完整资料

Ensure to submit complete materials



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- 正式申请书（加盖公章/签字的原件）；
Official application form (original copy with official seal/signature);
- 申请人（委托人）的注册证明；
Registration documents of applicant (or consignor);
- 制造商（生产者）的注册证明；
Registration documents of manufacturer (producer);



- 生产厂（生产企业）的注册证明；
**Registration documents of factory
(production site);**
- 工厂审查调查表或工厂检查报告；
**The Questionnaire for Factory
Inspection or Factory Inspection Report;**
- 代理机构的授权委托书；
Letter of attorney of agency;



- 产品的中文说明书和中文铭牌;
Product instruction and nameplate (in Chinese);
- 手机产品入网许可证;
Mobile phone network access license (if applicable);
- 原证书（涉及换发证书的申请）;
Original certificate (certification renewal);
- 其它技术资料（如电源部分的电原理图、ODM/OEM协议、关键件清单等等);
Other technical documents (power supply circuit diagram, ODM/OEM agreement, critical component list, etc.);



2) 关于持CB报告申请CCC认证

CCC certification application with CB report available

- 基本原则:
- 申请人、制造商、生产厂、型号、规格一致（或覆盖）；若两个申请人不一致时，强制性产品认证的申请人应提供CB证书申请人（持证人）的授权书，授权书至少应包括授权声明、双方责任等；
- Consistent applicant, manufacturer, factory, model, and specifications (or covered); if different applicant, CCC applicant should be authorized by CB applicant (consignor), the authorized letter should include authorization statement, dual responsibilities, etc



- **CB证书和报告在CBTL外只认可TMP或WMT两种方式，对于其他形式如SMT、RMT不认可（见IECEE网站中CQC的申明）；**

Only TMP or WMT CB certification and report (otherwise CBTL) can be recognized in CCC application, for others, ie. SMT, RMT can not be recognized. (refer to CQC statement on IECEE website)

- **整机的重要项目需要进行核查或复测。**

Product key test items should be rechecked or retested if needed.



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- **CB报告中的关键件原则上予以认可，但**
- A) 要核查部件获证的信息及满足相关标准的信息；相关信息填写应符合CCC认证的要求（信息不完整的可以补充）**

The critical components should be recognized in principle, however

A) The information of certified components as well as standards should be checked; The information provided should comply with CCC requirements (supplementary information if needed)



B) 核查部件的额定值是否符合整机产品的使用，保留复查部件的权利

Check whether the ratings of components satisfy the function of products, recheck components if needed.



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C) CCC目录内的零部件必须提供CCC认证证书（仅对在中国大陆有出厂、进口、销售行为的零部件， 见2001年第33号公告）

The critical components in CCC scope must be certified (especially for the components delivered, imported, or sold in china mainland ,refer to Bulletin 33,2001)



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3) 认证证书注销和撤销

Certificate cancellation and withdrawal

- 认证证书被注销后，不能以任何理由予以恢复，认证委托人可以向认证机构重新申请认证；认证证书被撤销后，也不能以任何理由予以恢复，且认证机构在6个月内不得再受理该产品的认证委托。

If the certificate is canceled, it can not be resumed for any reason, however, a new application can be submit to CQC. If the certificate is withdrawn, it can not be resumed for any reason, and CQC will not accept the application for the same product within 6 months.



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4) 拿到 C C C 证书和报告一般需要核对:

Normally the following information need to be verified on CCC certificate and report :1

- 产品和制造商信息

information of product/manufacturer

- 结构照片

picture of structure

- 关键件（以实施规则为准）

critical components (comply with Implementation Rules)



5) 关注证书有效期，到期前6个月提出延期申请

Keep attention to valid date of certificate, application for extension should be submit 6 months before.



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6) 关注动态/Keep Updated

- 关注 C Q C 网站上发布的各类通知、公告，特别是标准换版信息，GB4943（等效 IEC60950），GB8898（等效 IEC60065）标准的新版已在 WTO 网站公示，近期将会发布，请及时跟踪

Keep attention to the notice, bulletin, especially new version standards, ie. New version GB4943(equivalent to IEC60950), GB8898(equivalent to IEC60065) are published on WTO website, and will be released recently, update on time.



谢谢大家!

Thank you!



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The Development of CCC on Vehicles and Components

机动车及其零部件产品CCC认证介绍

By Ms. QU Yanping

Sep 22, 2011

USA



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内容

- 1. Introduction of CCC Regulations**
CCC 规章介绍
- 2. Interpretations of implementation rules**
实施规则介绍
- 3. Basic procedure of the CCC certification**
认证基本程序



1. Introduction of CCC Regulations

CCC 规章介绍

CCC is China Compulsory Certification established by Chinese government. Through the constitution of CCC products catalogue and certification procedure , CCC implements compulsory inspection and audits on all the products listed in the catalogue. Any product that list in the catalogue can't be allowed to export, sale in the market or used in managing service sites without certificates that issued by designated certification bodies.

中国强制性产品认证（CCC），是通过制定强制性产品认证的产品目录和实施强制性产品认证程序，对列入《目录》中的产品实施强制性的检测和审核。凡列入强制性产品认证目录内的产品，没有获得指定认证机构的认证证书，没有按规定加施认证标志，一律不得进口、不得出厂销售和在经营服务场所使用。



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1. Introduction of CCC Regulations

CCC 规章介绍

Legal Basis of China Compulsory Products Certification

强制性产品认证制度的法律和法规依据

➡ **The PRC Law on Products Quality**

《中华人民共和国产品质量法》

➡ **The PRC Law on Standardization**

《中华人民共和国标准化法》

➡ **The PRC Law on Entry-Exit Inspection of Commodities**

《中华人民共和国进出口商品检验法》

➡ **The PRC Law on Road Traffic Safety**

《中华人民共和国道路交通安全法》

➡ **The PRC Regulation on Certification and Accreditation**

《中华人民共和国认证认可条例》



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1. Introduction of CCC Regulations and Normative Documents 政府部门的CCC规章和规范性文件介绍

CCC Regulations from China Government

政府部门的CCC规章

‘Management Regulations of Compulsory Product Certification’ (the 117th order by the AQSIQ) is the fundamental document which implements compulsory product certification.

《强制性产品认证管理规定》（2009年7月，国家质检总局第117号令）是实施强制性产品认证制度的基础文件。



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1. Introduction of CCC Regulations

CCC 规章介绍

Normative Documents from China Government 中国政府规范性文件

- ➡ **<Management measures on CCC marks>** 《强制性产品认证标志管理办法》
- ➡ **<The CCC catalogue>** 《实施强制性产品认证的产品目录》
- ➡ **<notice of several problems in implementing CCC>**
《实施强制性产品认证有关问题的通知》
- ➡ **The implementation rules for the products on listed CCC catalogue**
列入目录内产品的强制性认证实施规则。
- ➡ **<Management measures on appointing inspection and testing bodies of CCC>** 《承担强制性产品认证检测检查机构指定管理办法》
- ➡ **<Charging regulations on CCC> by NDRC** 《强制性产品认证收费规定》，
本文件由国家发展与改革委员会核准发布，规定了强制性产品认证收费项目以及收费标准和相关收费管理要求。



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1. Introduction of CCC Regulations

CCC 规章介绍

Announcement No. 137 【2005】

- ➡ **Announce for statutory implement the catalogue for China Compulsory product Certification (CCC) of component on power-driven vehicles incl. lamps.** 对机动车灯具产品等机动车零部件产品实施强制性产品认证。
- ➡ **Starting from December 1, 2006, vehicle parts and components listed In the catalogue without obtaining certificate of compulsory product certification And applying China Compulsory Certification mark can not leave factory, be marketed, imported or used in other means of commercial activities.** 自2006年12月1日起，凡列入本目录内的机动车零部件产品，未获得强制性产品认证活动中使用。
- ➡ **Starting from December 1, 2005, applicant could present it's product certification application to the designated certification body.** 2005年12月1日起，委托人可以向指定认证机构提出认证产品的认证委托。



1. Introduction of CCC Regulations

CCC 规章介绍

Announcement No. 28 【2005】 by CNCA (Oct. 10. 2005)

认监委2005年28号公告：

According to ‘Regulations of P.R. China on Certification and Accreditation’ and ‘Administrative Regulations for Compulsory Products certification’, CNCA has set up 13 kinds of implementation rules for the compulsory certification of vehicle components, incl.’ Rules for the Implementation of Compulsory Certification of Motor Vehicles-Horn for Motor Vehicle (CNCA-02C-055)’, on the basis of completing the notification procedure of WTO and acquiring opinions from various aspects. Now they are announced and will come into effect on December 1,2005.

根据《中华人民共和国认证认可条例》、《强制性产品认证管理规定》，国家认监委在完成WTO通报程序、征求各方意见的基础上制定了《机动车用喇叭产品强制性认证实施规则》（CNCA-02C-055：2005）等13种汽车零部件产品强制性认证实施规则，现予以公告，自2005年12月1日起施行。



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1. Introduction of CCC Regulations-Catalogue

CCC 规章介绍 - 产品目录

The CCC catalogue incl. 23 kinds of vehicle and components.

CCC产品目录涉及机动车及零部件机动车产品23种。

Motor vehicles 机动车整车 (2)

- ➡ Autos(passenger car and commercial vehicles) 汽车(乘用车和商用车)
- ➡ Motorcycles 摩托车

Motorcycle Components and Parts 摩托车零部件 (6)

- ➡ Motorcycles Engine 摩托车发动机
- ➡ Exterior Lighting and Light-signal Device 机动车外部照明及光信号装置
- ➡ Retro Reflector 回复反射器
- ➡ Horn 喇叭
- ➡ Rearview mirrors 后视镜
- ➡ Brake hose 制动软管



1. Introduction of CCC Regulations-Catalogue

CCC 规章介绍 - 产品目录

Auto Components and Parts 汽车零部件（15种）：

- ➡ Tyre 轮胎
- ➡ Safety Glasses (Autos, train & architectural) 安全玻璃
- ➡ Auto Safety Belts 汽车安全带
- ➡ Vehicle security alarm systems 汽车防盗报警系统
- ➡ Exterior Lighting and Light-signal Device 机动车外部照明及光信号装置
- ➡ Retro Reflector 回复反射器
- ➡ Horn 喇叭
- ➡ Seat and Seat Headrest 座椅及头枕
- ➡ Fuel tank 燃油箱
- ➡ Door lock and door retention 门锁及门保持件
- ➡ Rearview Mirrors 后视镜
- ➡ Interior trimming 内饰件
- ➡ Brake hose 制动软管
- ➡ Vehicle traveling data recorder 汽车行驶记录仪
- ➡ Retro-reflective markings for trucks and trailers 车身反光标识。



1. Introduction of CCC Regulations

CCC 规章介绍 - Implementation Rules

Announcement by CNCA, including 19

- ➡ 'Implementation Rules for Compulsory Certification of Motor Vehicle Product (CNCA-02C-023:2008) 《机动车强制性认证实施规则》
- ➡ 'Implementation Rules for Compulsory Certification of Motorcycles Product (CNCA-02C-024:2008) 《摩托车产品强制性认证实施规则》
- ➡ 'Implementation Rules for Compulsory Certification of Motorcycles engines Product (CNCA-02C-025: 2008) 《摩托车发动机产品强制性认证实施规则》
- ➡ 'Implementation Rules for Compulsory Certification of Motor Vehicle Product (safety belts for Motor Vehicle)' (CNCA-02C-026:2005)
《机动车安全带总成产品强制性认证实施规则》
- ➡ 'Implementation Rules for Compulsory Certification of Motor Vehicle Product (Tyre for Vehicle)' (CNCA-03C-027:2001) 《机动车轮胎产品强制性认证实施规则》
- ➡ 'Implementation Rules for Compulsory Certification of Safety glasses Product (CNCA-04C-028:2009)安全玻璃类强制性认证实施规则:安全玻璃产品》



1. Introduction of CCC Regulations

CCC 规章介绍 - Implementation Rules

Implementation Rules for CCC of Vehicles Parts & Components

➡ **‘Implementation Rules for Compulsory Certification of Motor Vehicle Product**

(Horn for Motor Vehicle)’ (CNCA-02C-055:2005)

《机动车用喇叭产品强制性认证实施规则》

➡ **‘Implementation Rules for Compulsory Certification of Motor Vehicle Product**

(Retro Reflector for Motor Vehicle)’ (CNCA-02C-056:2005)

《机动车回复反射器产品强制性认证实施规则》

➡ **‘Implementation Rules for Compulsory Certification of Motor Vehicle Product**

(Braking Hose Assemblies for Motor Vehicle)’ (CNCA-02C-057:2005)

《机动车制动软管总成产品强制性认证实施规则》

➡ **‘Implementation Rules for Compulsory Certification of Motor Vehicle Product**

(Exterior Lighting and Light-signal Device)’ (CNCA-02C-058:2005)

《汽车外部照明及光信号装置强制性认证实施规则》



CHINA QUALITY CERTIFICATION CENTRE

1. Introduction of CCC Regulations

CCC 规章介绍 - Implementation Rules

- ➡ **‘Implementation Rules for Compulsory Certification of Motor Vehicle Product (Rear View Mirror for vehicle)’ (CNCA-02C-059:2005)**
《汽车用后视镜产品强制性认证实施规则》
- ➡ **‘Implementation Rules for Compulsory Certification of Motor Vehicle Product (Interior trimming material for vehicle) (CNCA-02C-060:2005)**
《汽车内饰件产品强制性认证实施规则》
- ➡ **‘Implementation Rules for Compulsory Certification of Motor Vehicle Product (Door Lock & Door Retention Components)’ (CNCA-02C-061:2005)**
《汽车门锁及车门保持件产品强制性认证实施规则》
- ➡ **‘Implementation Rules for Compulsory Certification of Motor Vehicle Product (Fuel Tank for Motor Vehicles)’ (CNCA-02C-062:2005)**
《汽车燃油箱强制性认证实施规则》



1. Introduction of CCC Regulations

CCC 规章介绍 - Implementation Rules

- ➡ **'Implementation Rules for Compulsory Certification of Motor Vehicle Product (Seats and Head Restraints for Motor Vehicles)' (CNCA-02C-063:2005)**
《汽车座椅及头枕产品强制性认证实施规则》
- ➡ **'Implementation Rules for Compulsory Certification of Motor Vehicle Product (Rear View Mirror Products for Motorcycle)' (CNCA-02C-064:2005)**
《摩托车后视镜产品强制性认证实施规则》
- ➡ **'Implementation Rules for Compulsory Certification of Motor Vehicle Product (Exterior Lighting Light-signal Device for Motorcycle)' (CNCA-02C-065:2005)**
《摩托车外部照明及光信号装置强制性认证实施规则》
- ➡ **'Implementation Rules for Compulsory Certification of Motor Vehicle Product (Automobile Driving Record Device)' (CNCA-02C-066: 2005)**
《汽车行驶记录仪产品强制性认证实施规则》
- ➡ **'Implementation Rules for Compulsory Certification of Motor Vehicle Product (Reflecting Signs)' (CNCA-02C-067:2005)** 《车身反光标识产品强制性认证实施规则》



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍

- ➡ Scope 产品范围
- ➡ Technical standard or requirement 认证依据的标准
- ➡ Certification model 认证模式
- ➡ Defining application unit 认证申请单元划分
- ➡ Sample delivery or sampling 产品抽样和送样要求
- ➡ Type test 型式试验
- ➡ Initial inspection of the factory 工厂审查的要求
- ➡ Follow-up inspection of the factory 跟踪检查要求
- ➡ Certification mark 认证标志及使用的具体要求



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

- **Automobiles (passenger car and commercial vehicles)**
汽车（乘用车和商用车）



- **Motorcycles 摩托车 (L1 - L5)**
- **Motorcycles Engine 摩托车发动机**



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

■ Tyre (M/N)



■ Auto Safety Glasses (M/N/train architectural) 汽车、机车及建筑玻璃



■ Safety Belts(M/N)



中国质量认证中心
CHINA QUALITY CERTIFICATION CENTRE

2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

- ➡ **Exterior Lighting and Light-signal Device for power driven Vehicles**
机动车外部照明及光信号装置(Lighting for auto and motorcycle)
M/N/O/L



- ➡ **Retro Reflector (RR) for power driven Vehicles** M/N/O/L
机动车回复反射器



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

- ➡ **This rule applies to various kinds of external lighting and lighting signal devices (hereinafter called lamps for short) used for vehicles of M, N and O categories, including headlamp, front fog lamp, rear fog lamp, position lamp, end-outline marker lamp , brake lamp, reversing lamp, direction-indicator, parking lamp, side-marker lamp & rear-registration plate illuminating device.**
适用于M、N类汽车和O类挂车使用的各种类型的外部照明及光信号装置：包括前照灯、前雾灯、后雾灯、前位灯、后位灯、示廓灯、制动灯、倒车灯、转向信号灯、驻车灯、侧标志灯和后牌照板照明装置等。
- ➡ **The exterior ornamental lamps (e.g. green lamp), interior lighting lamps (e.g. reading lamp & door lamp) which are not required photometry testing are not included in the CCC catalogue.**
外部装饰性灯具（如绿色示廓灯）、汽车内部照明灯具（如阅读灯、踏步灯）等，即不需配光测试的灯具不在CCC目录内。



2. Introduction-Implementation Rules of CCC CCC实施规则介绍 - Scope

Horn(Audible warning devices-AWD) for power driven vehicles

- ➡ Motor vehicles of M, N, L3, L4 and L5 categories driven by direct current or compressed air. M, N, L3, L4 及L5类、直流电及气动喇叭。
- ➡ Not including horns for moped (L1&L2), special-purpose of police car, fire-fighting car and ambulance, anti-theft system and horns used on interior sounding system.

不包括轻便摩托车（L1和L2类）、警用、消防和救护等车辆使用的特殊用途的喇叭，防盗报警系统中的喇叭，车内音响用的喇叭和倒车及防盗等用蜂鸣器。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

Seat and Seat Headrest for motor vehicles

- ➡ Seat : M and N categories , Not applicable to additional folding, side-facing and rearward-facing seat; seats on passenger's vehicle with over 9-seats allowing passengers to move freely (the class A /I seats used in categories M2 and M3 motor vehicles .i.e. city bus) 不包括折叠式附加座椅、侧向座椅和后向座椅。不包括9座以上允许乘员站立和/或乘员自由走动的客车用座椅（M2、M3类客车中A级、I级客车使用的座椅），即通俗意义上的公共汽车座椅。
- ➡ head restraint: M and N category.



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

Fuel tank for motor vehicle

- ➡ The rule applies to the metal and plastic fuel tank products for motor vehicles of M and N categories fueling with gasoline and diesel. 适用于以汽油、柴油为燃料的M类和N类汽车的金属燃油箱和塑料燃油箱产品。
- ➡ The gas supply part of dual-fuel tank with LPG and CNG are not included. 不包括LPG和CNG等双燃料油箱的供气部分。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

Door Latch and Door retention components for motor vehicles

- ➡ **M1 and N1 categories: Hinging door: door latches and door hinges; Sliding door: door latch, guiding track, other supporting components.**
铰接门（侧面、能开闭的供乘员进出）的门锁和门铰链；滑动门的门锁。
- ➡ **Not including the door latch and hinge products on folding doors, roll-up doors and doors that are designed to be easily attached to or removed from motor vehicles.** 不包括折叠门、上卷门和易于拆卸的简易门等的门锁和门保持件。不包括滑动门导轨或其他支撑部件。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

Brake hose

- Hydraulic, air pressure and vacuum brake hose (assemblies) used by vehicles ,trailers, motorcycles and mopeds.

适用于汽车、挂车、摩托车和轻便摩托车使用的液压、气压和真空制动软管总成产品。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

Rearview mirrors for power driven vehicles

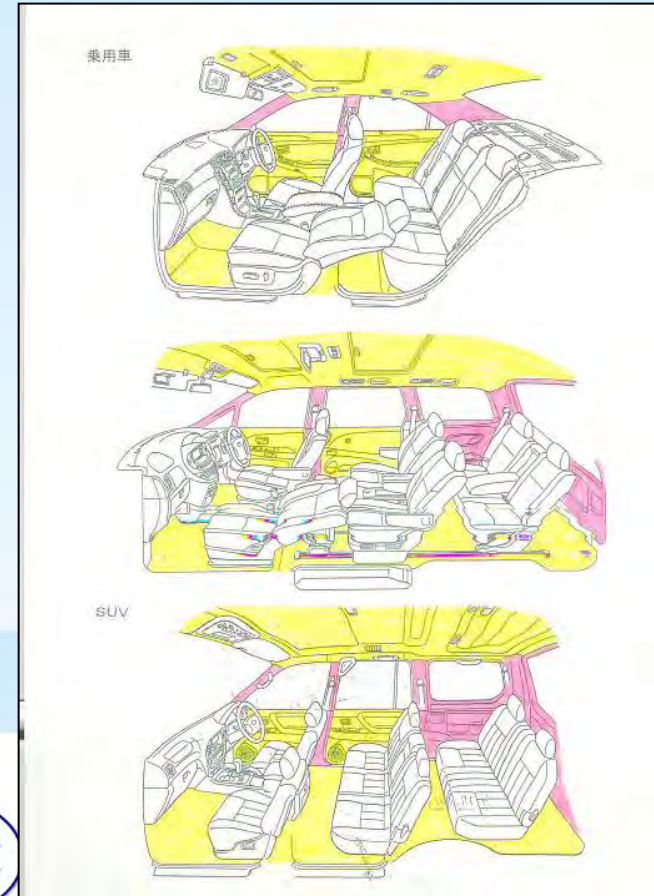
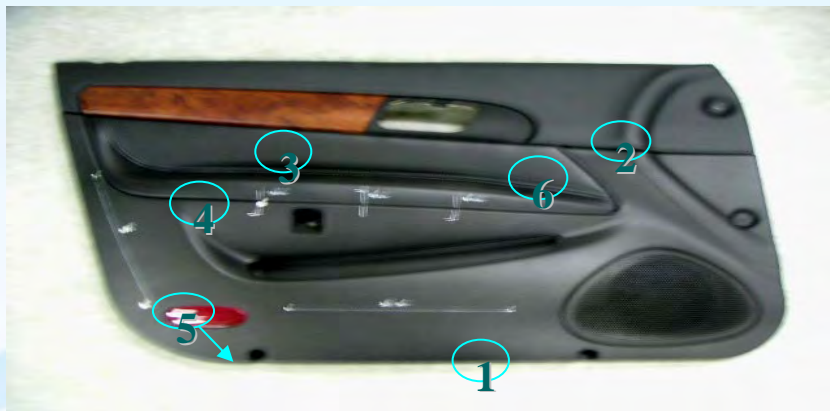
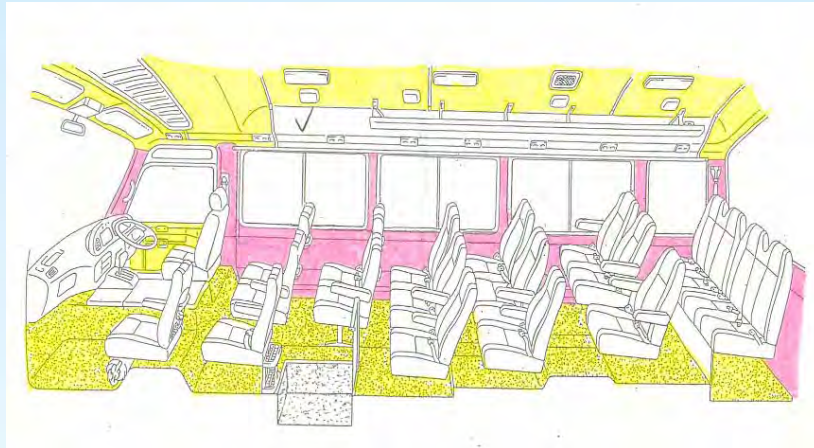
- ➡ **M and N categories and for other motor vehicles having less than four wheels with the cab which partly or wholly enclose the driver.**
适用于M、N类车辆，以及其它少于四轮，车身部分或全部封闭驾驶室的车辆后视镜产品。
- ➡ **Motorcycle and moped (except for racing motorcycle and off-road motorcycle).** 适用于摩托车和轻便摩托车(除赛车和越野车)后视镜产品。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

Interior trimming material



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 – Scope

Interior trimming material

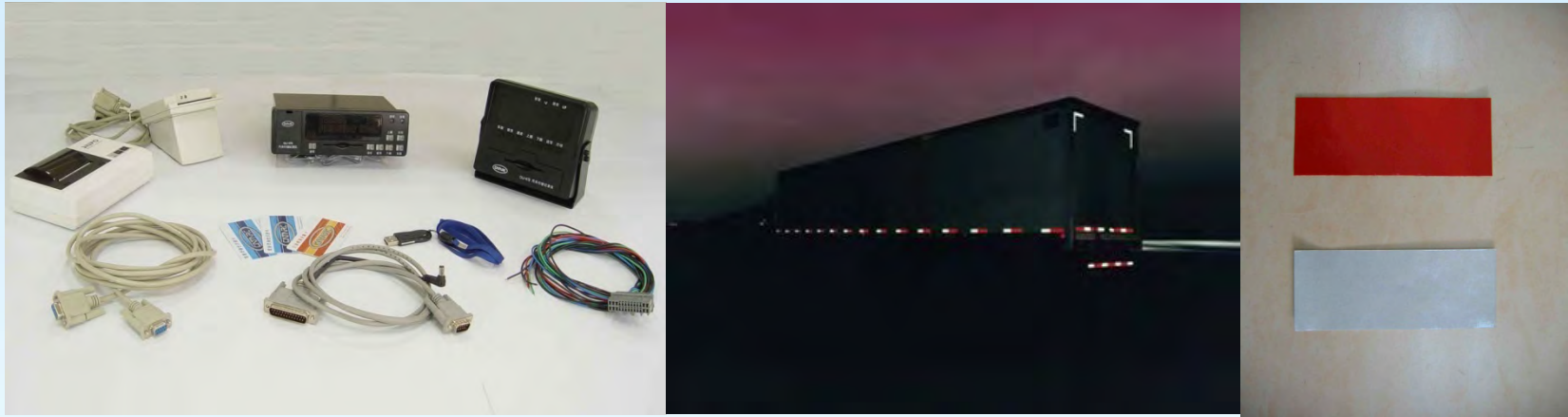
- ➡ **This rule applies to interior trimming used in vehicle made of single or laminated combined organic materials for cabs and occupant compartments, including: floor covering, seat covering and all the decorative boards incl. door trim, front walls, side walls, rear walls and roof linings)** 适用于驾驶室及乘客舱内采用单一型或层积复合型有机材料的汽车内饰件产品。包括地板覆盖层、座椅护面和装饰性衬板(门内护板、前围护板、侧围护板、后围护板、天窗和车顶棚衬里)。
- ➡ **Following items not incl. in the category: seat belt, armrest, active folding roof, dashboard, glove box, luggage shelf (including rear package tray), curtain, sunshade and engine hood insulator .** 仪表板、安全带、中扶手、活动式折叠车顶、杂物箱、室内货架板或后窗台板、窗帘、遮阳板、发动机罩覆盖物、轮罩覆盖物等不在CCC目录内。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Scope

- ➡ Vehicle traveling data recorder 汽车行驶记录仪



- ➡ Retro-reflective markings for trucks and trailers N和O
车身反光标识 $< 10M / \geq 12$ T货车, $> 3.5T$ 货车的后部及侧部
- ➡ Vehicle security alarm systems 汽车防盗报警系统



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Standard

CCC rule of Vehicles : CNCA-02C-023:2008 ([total:72](#))

GB7258-2004 “Safety specifications for power-driven vehicles operating on roads ” 《机动车运行安全技术条件》

GB/T17692-1999 《汽车用发动机净功率测试方法》 “Measurement methods of net power for automotive engines ”

GB11551-2003 《乘用车正面碰撞的乘员保护》 “The protection of the occupants in the event of a frontal collision for passenger car”

GB12676-1999 《汽车制动系统结构、性能和试验方法》 “Road vehicle-Braking systems Structure”

CCC rule of Motorcycles: CNCA-02C-024:2008 ([total: 28](#))

GB7258-2004 “Safety specifications for power-driven vehicles operating on roads ” 《机动车运行安全技术条件》



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Standard

Headlamp 前照灯	GB4599-2007 Photometric characteristics of headlamps for motor vehicles 汽车用灯丝灯泡前照灯	ECE R1,R8,R20,R112 ECE R5(SB),R31(HSB) 76/761/EEC
	GB21259-2007 Gas discharging headlamp 气体放电前照灯(HID)	ECE R98,R99 (light resource)
Front fog lamp 前雾灯	GB 4660-2007 Photometric characteristics of front fog lamps for motor vehicles 汽车用灯丝/泡前雾灯	ECE R19, 76/762EEC
Reversing lamp for motor vehicle 倒车灯	GB 15235-2007 Photometric characteristics of reversing lamps for motor vehicles and their trailers 汽车及挂车倒车灯配光性能	ECE R23, 77/539/EEC
Rear fog lamp for automobile and trailer 后雾灯	GB 11554-2008 Photometric characteristics of rear fog lamps for motor vehicles and their trailers 机动车和挂车后雾灯配光性能	ECE R38, 77/538/EEC
parking lamp for motor vehicle 驻车灯	GB 18409-2001 Photometric characteristics of parking lamps for power-driven vehicles 汽车驻车灯配光性能	ECE R77 77/540/EEC



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Standard

Direction indicator for motor vehicle and trailer 转向信号灯	GB 17509-2008 Photometric characteristics of direction indicators for motor vehicles and their trailers 汽车及挂车转向信号灯配光性能	ECE R6, 76/759EEC
Front-/rear position lamp/end-outline marker and stop lamp 前位灯、后位灯、示廓灯和制动灯	GB 5920-2008 Photometric characteristics of front and rear position lamps, end-outline marker lamps and stop lamps for motor vehicles and their trailers 汽车及挂车前位灯、后位灯、示廓灯和制动灯配光性能	ECE R7, 76/758EEC
Daytime running lamp 昼间行驶灯	GB23255-2009 Photometric characteristics of Daytime running lamp 汽车昼间行驶灯配光性能	ECE R87 76/758EEC7
Side-marker lamp of motor vehicle and trailer 侧标志灯	GB 18099-2000 Photometric characteristics of side-marker lamps for motor vehicles and their trailers 汽车及挂车侧标志灯配光性能	ECE R91; 76/758 EEC(idem as position lamp)
Rear registration plate illuminating device for V. & T. 后牌照板照明装置	GB 18408-2001 Photometric characteristics of devices for the illumination of rear registration plates of motor vehicles and their trailers 汽车及挂车后牌照板照明装置配光性能	ECE R4 76/760/EEC



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Standard

Seat for vehicles of categories M/N 汽车座椅	GB15083-2006 Motor vehicles-Seat systems-Strength requirements and test methods 汽车座椅系统强度要求及试验方法	ECE R17 74/408/EEC
Head restraint categories M/N 座椅头枕	GB11550-2009 Motor vehicles-Seats head restraints-Performance requirements and test methods 汽车座椅头枕性能要求和试验方法	ECE R25, R17 78/932/EEC
seat for vehicles of categories M2 and M3 客车座椅	GB13057-2003 Intensity requirements of seat and fixing components on passenger cars 客车座椅及其车辆固定件的强度	ECE R80 74/408/EEC (81/577)
Surface 座椅护面及护板	GB8410-2006 Flammability of automotive interior material 内饰件	FMVSS 302 95/28/EEC (M3) ECE R118



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Standard

Tyre 轮胎	GB 9743-2007 Performance requirements and test methods of PKW Tyre 轿车轮胎	ECE R30, 92/23EEC
	GB 9744-2007 Performance requirements and test methods of LKW Tyre 载重轮胎	ECE R54, 92/23EEC
Safety glasses汽车玻璃	GB9656-2003 Performance requirements and test methods of Safety glasses汽车玻璃	ECE R43
seat belt 安全带	GB 14166-2003 Performance requirements and test methods of seat belt for motor vehicles机动车成年乘员用安全带和约束系统	ECE R16, 76/758EEC (idem as position lamp)
Horn for vehicle 机动车喇叭	GB15742-2001 Performance requirements and test methods of horn for motor vehicles 机动车用喇叭的性能要求及试验方法	ECE R28 70/388/EEC



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Standard

Retro-reflector for Motor Vehicles	GB11564-2008 Retro-reflector for motor vehicles 机动车回复反射器	ECE R3 76/757/EEC
Rear view mirror for motorcycle 摩托车后视镜	GB17352-1998 Motorcycles and mopeds rear-view-mirrors requirement of performance and installation. 摩托车后视镜	ECE R81 97/24/EC-4
Rear view mirror for motor vehicle 汽车后视镜	GB15084-2006 Motor vehicles Rear view mirrors-Requirements of performance and installation 汽车后视镜	ECE R46 71/127/EEC
Braking hose 制动软管	GB16897-2010 Brake hose 机动车制动软管	FMVSS 106
Interior trimming material 内饰件	GB8410-2006 Flammability of automotive interior materials 内饰件燃烧性能	FMVSS 302 ECE R118



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Standard

Door locks and door hinge for motor vehicle 汽车门锁及门保持件	GB 15086-2006 Motor vehicles-Door locks and door hinges-Performance requirements and test methods 汽车门锁及门保持件	GTR ECE R11 70/387/EEC
Fuel tank of motor vehicle 汽车燃油箱	GB18296-2001 Safety property requirements and test methods for automobile fuel tank 汽车燃油箱	FMCSA 393 Subpart E ECE R34 70/221/EEC
Retro-reflective markings 车身反光标识	GA 406-2002 Retro-reflective markings for trucks and trailers 《车身反光标识》 < 10M/>=12 T货车, >3.5T 货车 后及侧部	(EEC 3821/85)
G Vehicle traveling data recorder 汽车行驶记录仪	GB/T 19056-2003 G Vehicle traveling data recorder 《汽车行驶记录仪》	(EEC 3821/85)
Vehicle security alarm systems 汽车防盗报警系统	Vehicle security alarm systems GA 2 《汽车防盗报警系统 小客车》	



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Type Test 型式试验

Interior trimming material 内饰件	GB8410-2006 Flammability of automotive interior materials 汽车内饰材料的燃烧特性	FMVSS 302 95/28/EEC(M3) ECE R118
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Only Burning behaviour will be tested.

只做燃烧性能一项测试



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2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Type Test 型式试验

Door latch and door hinge for motor vehicle 汽车门锁及门保持件	GB 15086-2006 Motor vehicles-Door locks and door hinges-Performance requirements and test methods 汽车门锁车及门保持件的性能要求和试验方法	GTR ECE R11 70/387/EEC
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Test items : Vertical and horizontal load

纵向载荷和横向载荷。



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2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Type Test 型式试验

Horn for motor vehicle 机动车用喇叭	GB15742-2001 Performance requirements and test methods of horn for motor vehicles 机动车用喇叭的性能要求及试验方法	ECE R28 70/388/EEC
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Test items 检测项目:

- ➡ **General requirement** 一般要求
- ➡ **Level of sound pressure** 声压级
- ➡ **Durability** 耐久性



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Type Test 型式试验

Rear view mirror for motor vehicle 汽车后视镜	GB15084-2006 Motor vehicles-Rear view mirrors-Requirements of performance and installation 汽车后视镜及安装要求	ECE R46 71/127/EEC
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Test items 检测项目:

- ➡ Dimension of the reflecting surface 反射面尺寸
- ➡ Curvature radius of the reflecting surface 反射面曲率半径
- ➡ Reflection coefficient 反射率
- ➡ Impact test 撞击性能
- ➡ Bending test 弯曲性能



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Type Test 型式试验

Rear view mirror for motorcycle 摩托车后视镜	GB17352-1998 Motorcycles and mopeds rear-view-mirrors requirement of performance and installation. 摩托车和轻便摩托车后视镜及安装要求	ECE R81 97/24/EC-4
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Test items 检测项目:

- ➡ Dimension of the reflecting surface 反射面尺寸
- ➡ Curvature radius of the reflecting surface 反射面曲率半径
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- ➡ Bending test 弯曲性能



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Type Test 型式试验

Retro-reflector for Motor Vehicles 回复反射器	GB11564-2008 Retro-reflector for motor vehicles 机动车回复反射器	ECE R3 76/757/EEC
--	--	------------------------------------

- ➡ **Shape, dimension & structure** 形状尺寸和结构
- ➡ **Chroma (red, amber or crystal)** 色度（红色、琥珀色或无色透明）
- ➡ **Luminosity (CTL)** 光度
- ➡ **Environmental Test** 环境实验

Resistance to water penetration, Resistance to impact, Resistance to fuels, Resistance to lubricating oil, Resistance to corrosion, Resistance of the accessible rear face of mirror-backed retro-reflector, Resistance to heat.

耐透水性试验，耐撞击试验，耐燃油试验，耐润滑油试验，耐腐蚀性试验，镜背试验，耐热性试验。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 - Certification mode

Two types in principle:

1. Type test + initial factory inspection + supervision after inspection
型式试验+初始工厂审查+获证后监督

Motor vehicle, motorcycle , motorcycle engine, fuel tank, Lighting (vehicle, motorcycle) , retro reflector, seat and head restraints, safety belt, door lock and door retention and components, vehicle driving record device and so on 7 components in total.

送样检测的产品：汽车（乘用车和商用车）、摩托车、摩托车发动机、玻璃、安全带、灯具（汽车、摩托车）、回复反射器、座椅及头枕、燃油箱、门锁及门保持件、汽车行驶记录仪等10种产品。



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CHINA QUALITY CERTIFICATION CENTRE

2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 -Certification mode

2. Sampling Test + initial fac. inspection + supervision after inspection

产品抽样检测+初始工厂审查+获证后监督

Horn, rear view mirror, interior trimming material , braking hose, reflecting signs of vehicle body etc, 6 components in total.

抽样检测，包括：喇叭、后视镜、内饰件、制动软管、车身反光标识等6种产品。

✚ **For the convenience of client, the certification mode also can be: Initial Factory Inspection + Sampling Testing +Supervision after Inspection.**

为方便委托人，也可采用初始工厂审查+产品抽样检测+获证后监督。

✚ **Under the special situation, the client for the commission can send the sample to the certification body for the type test.**

特殊情况时经认证机构同意，认证委托人可采取送样方式进行产品检测。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 – CCC Mark

Announcement No. 1 【2001】 of CNCA:

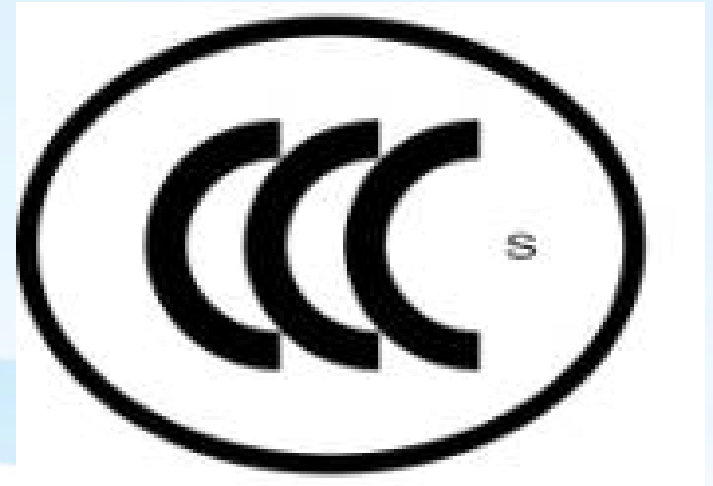
Regulations for Compulsory Products Certificate Marks

国家认监委 **2001**年第**1**号公告：强制性产品认证标志管理办法

Two ways: 两种方式

Printed/Molded 印刷模压

Standard –size 标准规格



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2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 – CCC Mark

-  **Printed/Molded:** motorcycle, motorcycle engine, lighting, retro reflector, braking hose, safety seat belt, safety glass, Vehicle traveling data recorder, Retro-reflective markings for heavy and long vehicles and their trailers. 印刷和模压：摩托车、摩托车发动机、汽车安全带、玻璃、汽车灯具、摩托车灯具、机动车回复反射器、机动车制动软管、行驶记录仪和车身反光标识等。
-  **Standard-size:** Vehicles , motorcycle , horn, Rear View Mirror, seat and head restraints, fuel tank, door lock and door retention Components and interior trimming material.
标准规格： 机动车、摩托车、喇叭、汽车后视镜、摩托车后视镜、座椅及头枕、汽车燃油箱、门锁和门保持件和汽车内饰件等。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 – CCC Mark



8mm



15mm



30mm



60mm



45mm



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2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 – CCC Mark

Mark of Interior trimming material 汽车内饰件等CCC标志的加施

- ➡ Any forms of deformed certification mark should not be applied to the products. 不允许使用任何形式的变形认证标志。
- ➡ The standard size marks or the self-printed or molded marks could be used. 可以采用统一印制的标准规格加施认证标志
- ➡ If the printed or molded mark is used, the factory code must be printed on a suitable place around the mark. 采用印刷、模压认证标志时，还应在标志周边适当位置注明产品的工厂代码。
- ➡ The certification mark should be on a suitable place of the main part of the certified component or its smallest unit packaging. 加施位置：无明确要求，只指出部件主体的适当位置或加施在内饰件的最小外包装上。
- ➡ If the included in grouped factory, it could make one application and apply one mark only. 总成部件可只加施一个标志。



2. Introduction-Implementation Rules of CCC

CCC实施规则介绍 – CCC Mark

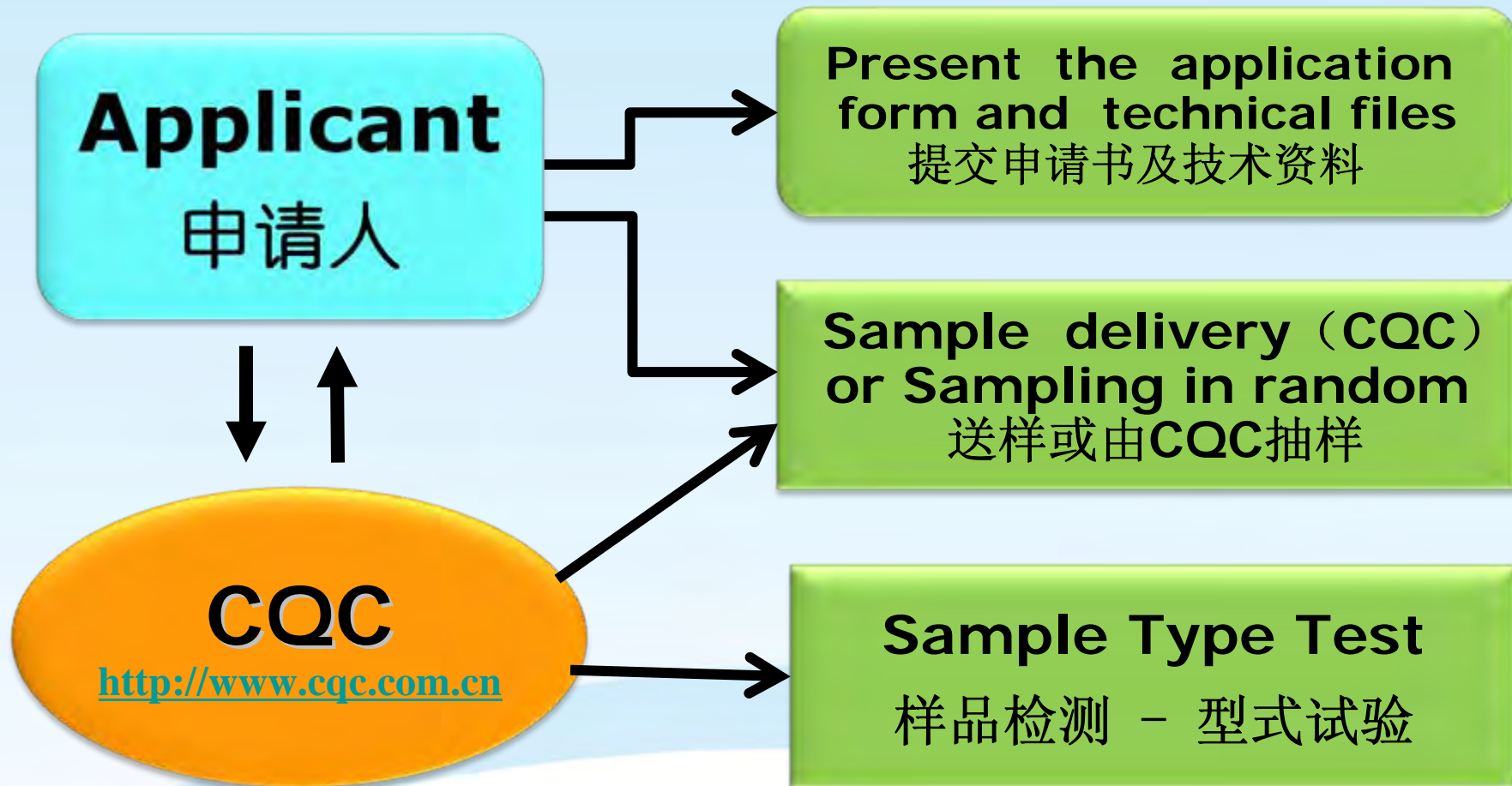
Mark of Lamp application 汽车灯具CCC标志加施

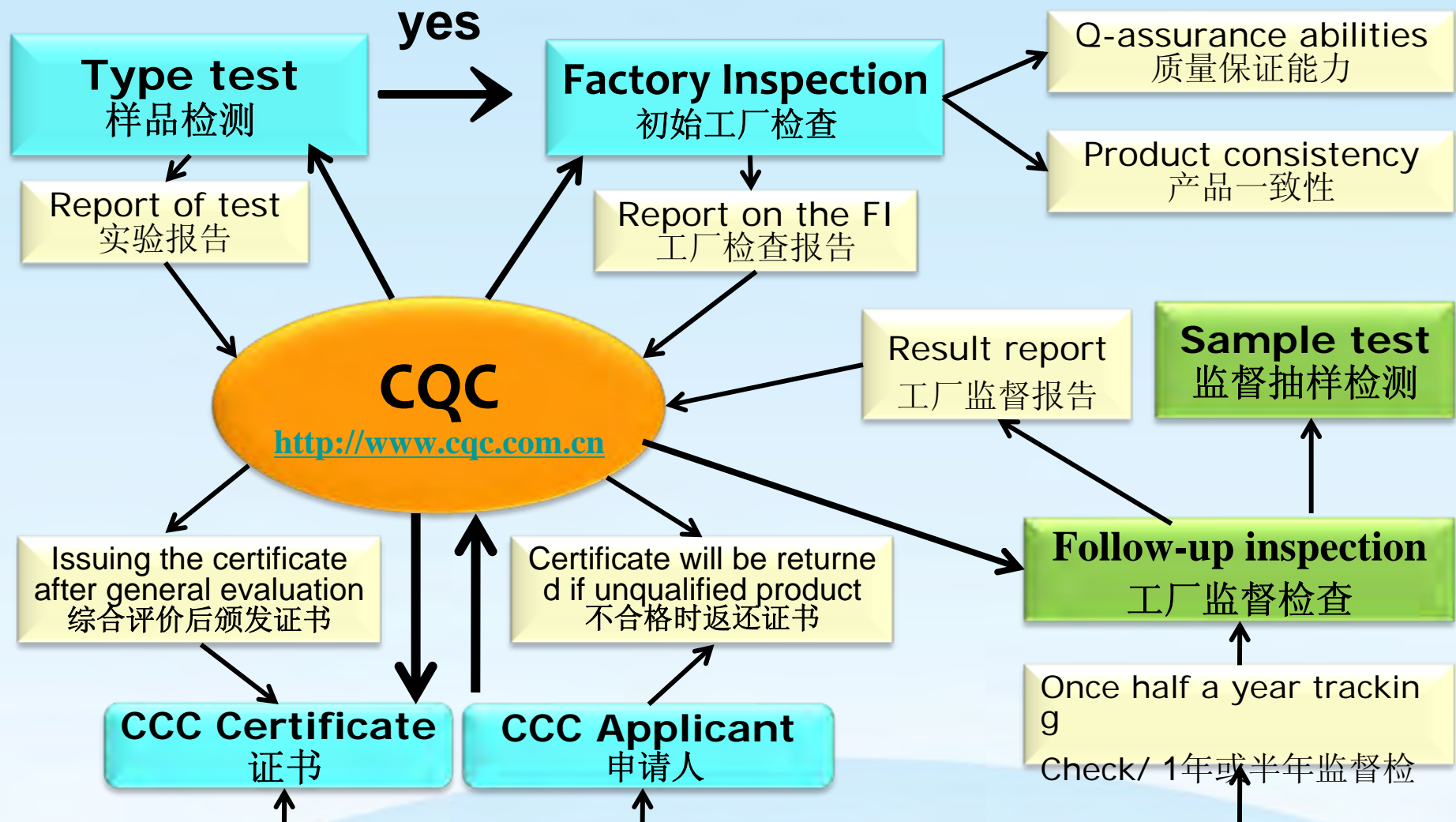
- ➡ The certification mark should be printed or molded on the surface of lens, or on a suitable place of the main part of the component. Then the factory code must be printed on a suitable place around the mark. ('s' could be omitted) 灯具类的CCC标志只能采用印刷、模压的方式加施标志。标志周边适当处应注明产品的工厂代码。根据产品特点，可采用变形的CCC标志，即可以省略CCC标志的‘s’。
- ➡ The mark should be easily identified after the component is fixed onto the cars . 标志位置应保证该部件安装在整车上以后标志应能够清楚地识别。
- ➡ It is permitted to mold the mark on the housing and it should be easily identified when opening the bonnet or boot. 允许将标志加施在车辆的不直接可见的位置，但要保证在不损害车体的前提下标志可见。
- ➡ If the reflector included in grouped lamp in the same lamp factory, it could make one application and apply one mark only. 组合/混合/复合灯具可只加施一个标志。



3. Basic procedure of the CCC certification

CCC 认证的基本程序





Follow the compulsory implementation after obtaining the certification
The validity of the certificate will be kept according to the tracking inspection
证书获证后应按照强制性认证实施规则使用，证书的有效按照跟踪检查的结果保留

3. Basic procedure of the CCC

CCC 认证的基本程序

Application and Handling of Certification.

认证申请和受理

The applicants put forward official written application to designated certification bodies, and submit technique documents and certification samples according to regulations and requirements of C.B, then sign the contract with C.B on matters concerned<adhered to application is also available>.

这是认证程序的起始环节。由申请人向指定的认证机构提出正式的书面申请，按认证实施规则和认证机构的要求提交技术文件和认证样品，并就有关事宜与认证机构签署有关协议（与申请书合并亦可）。



3. Basic procedure of CCC -Type test

CCC 认证的基本程序 -型式试验

Type test is the core of certification procedure, when the product is special such as chemical products, type approval will be substituted by sample test. type approval is implemented by designated testing bodies according to certification regulations and C.B. requirements. Special occasions, for example: the product is too large, transport is too difficult and so on. Type approval could also utilize factory's resources according to arrangements of CNCA by C.B. In principle, one test report for each cell, but for the same applicant with different manufacturing sites and same products, only one test is available.

型式试验是认证程序的核心环节，当产品为特殊制品如化学制品时，型式试验这一环节将被抽样试验替代。型式试验由指定的检测机构按照认证实施规则和认证机构的要求具体实施。特殊情况，如：产品较大、运输困难等，型式试验也可由认证机构按照国家认监委的要求安排利用工厂的资源进行。型式试验原则上一个单元一份试验报告，但对于同一申请人、不同生产厂地的相同产品，仅做一次试验即可。



3. Basic procedure of the CCC-Fac. Inspection

CCC 认证的基本程序-工厂审查

Factory inspection, which implemented with certification regulations by certification bodies or designated testing bodies, is the important process that ensuring the validation of certification. factory inspection including two parts, one is COP test, another is inspection on quality assurance capabilities. in principle, factory inspection followed the type approval, and arrange man days as required. For the authorized certified factories, inspection on quality guarantee capabilities could be predigest or leave out.

工厂审查是确保认证有效性的重要环节，工厂审查由认证机构或指定检查机构按照认证实施规则要求进行。工厂审查包括两部分内容，一是产品的一致性审查，包括对产品结构、规格型号、重要材料或零部件等的得核查、二是对工厂的质量保证能力的审查。原则上，工厂审查将在产品试验完成后进行。特殊情况，根据申请人的要求，认证机构也可安排提前进行工厂审查，并根据需要对审查的人日作出恰当安排。获得授权认证机构的管理体系认证证书的工厂，其质量保证能力中体系部分的审查可以简化或省去。



3. Basic procedure of the CCC certification

CCC 认证的基本程序

Certification results assessment and approval

认证结果评价与批准

Certification bodies should assess the results according to the test and factory inspection , then making certification decisions and inform the applicant. In principle, the period between the handling of the application and making certification decision should not above 90days.

认证机构应根据检测和工厂审查结果进行评价，做出认证决定并通知申请人。原则上，自认证机构受理认证申请之日起到做出认证决定的时间不超过**90**日。



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3. Procedure of Compulsory Products Certification 认证产品必须的义务程序

Surveillance after acquiring certificates 获证后的监督

To ensure the constant validation of certificates, certification regulations, considered different features of the products, regulate particularly that the products need surveillance after acquiring certificates. one thing that should mentioned is that the surveillance including two parts, that is COP test & inspection on factory quality guarantee faculties.

为保证认证证书的持续有效性，对获得认证的产品根据产品特点安排获证后的监督，认证实施规则中对此做出了详细规定。值得一提的是，获证后的监督包括两部分的内容，即产品一致性审查和工厂质量保证能力的审查。



How to apply

Applicant or authorized agent should submit online application to CQC through the website.

<http://www.cqc.com.cn>



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Two special type of CCC on vehicles

车辆CCC的两种特殊类型的处理方式

- Exemption (CNCA Announcement No.3 【2005】)
免办 （国家认监委2005年3号公告）
- Special Procedure (Small amount imported products)
强制性产品认证特殊处理程序(小批量)
国家认监委2005年3号公告(零部件)
国家认监委2008年38号公告(整车修订)
- Apply to local CIQ
- 向入境当地检验检疫局申请



**Thank you
for your attention!**

谢谢!



中国质量认证中心
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CCC工厂检查要求 Requirement on CCC Factory Inspection

CCC工厂检查要求 Requirement on CCC Factory Inspection

**2011年9月
September 2011**



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CCC 工厂检查的内容 Content of CCC Factory inspection

1. CCC工厂检查的内容

1) 《工厂质量保证能力》审查

注：《工厂检查要求》（家电、IT、AV产品）

2) 产品一致性检查

1. Contents of CCC factory inspection

1) 'Factory's Quality Assurance Ability'

Note: " Factory inspection requirement " (For household appliance, IT and AV products)

2) the Check of Product Consistency.



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CCC 工厂检查的内容 Content of CCC Factory inspection

2、产品一致性检查通常由以下3方面组成

- 1) 认证产品的标识（如：名称、规格、型号等）
- 2) 认证产品的结构
- 3) 认证产品所用关键件和材料

注：现场目证试验是对产品符合性的检验，也是对产品一致性检查的补充。



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CCC 工厂检查的内容 Content of CCC Factory inspection

2. Usually, the check of product consistency include the following 3 aspects

- 1) The nameplate and markings of the products (such as name, specification, model etc.)
- 2) The product construction
- 3) The critical component and material

Note: On-site witness test is supplementary for the check of product consistency and demonstration for product conformity with certification standards.



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CCC 工厂检查的内容 Content of CCC Factory inspection

3. 《工厂质量保证能力》审查包括（家电、IT、AV产品除外）：

- 1) 职责和资源
- 2) 文件和记录
- 3) 采购和进货检验
- 4) 生产过程控制和过程检验
- 5) 例行检验和确认检验
- 6) 检验试验仪器设备
- 7) 不合格品的控制
- 8) 内部审核
- 9) 认证产品的一致性
- 10) 包装、搬运和储存



CCC 工厂检查的内容 Content of CCC Factory inspection

3. Usually, the Factory's Quality Assurance Ability include the following clauses (10 Clause in brief) (Except for household appliance, IT and AV products)

- 1) Responsibilities and Resources
- 2) Documents and Records
- 3) Purchasing and Receiving Inspection
- 4) Production process Control and Inspection
- 5) Routine Tests and Verification Tests
- 6) Testing Devices
- 7) Control of Non-conformity Product
- 8) Internal Audit
- 9) Consistency of Certified Product
- 10) Packing, Carrying and Storage



4. 《工厂检查要求》包括：（仅适用于家电、IT、AV产品）
- 1) 职责与责任
 - 2) 文件和记录
 - 3) 采购与关键件控制
 - 4) 生产过程控制
 - 5) 例行检验、确认检验和现场见证/目证试验
 - 6) 检验试验的仪器设备和人员
 - 7) 不合格产品的控制
 - 8) 认证产品的一致性要求
 - 9) 认证标志和证书的使用
 - 10) 延伸检查



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CCC 工厂检查的内容 Content of CCC Factory inspection

4. Usually, “Factory inspection requirements” include the following clauses
(10 Clause in brief) (Suitable for household appliance, IT and AV products)
- 1) Responsibilities
 - 2) Documents and Records
 - 3) Purchasing and critical part control
 - 4) Production Process Control
 - 5) Routine Tests, Verification Tests and on-site witness test
 - 6) Inspections, test equipment and personnel
 - 7) Control of Non-conformity end Product
 - 8) Requirements for the Consistency of the Certified Products
 - 9) Usage of Certificate and Certification Mark
 - 10) Extended inspection



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CCC 工厂检查的实施 The implementation of CCC Factory inspection

5. 工厂检查实施

1) 初始工厂检查

初始工厂检查由**CQC**组团前往境外执行工厂检查。

由于办理护照、签证需要一定的时间，且时间视不同国家而不同。因此，希望客户在一开始申请认证时，就提出组团要求，且说明是否单独组团。

2) 年度监督检查

在美洲地区（北美、南美），对于电工电子产品和机动车零部件，每年的工厂监督检查，原则上委托**UL**完成。



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CCC 工厂检查的实施 The implementation of CCC Factory inspection

5. The implementation of factory inspection

1) Initial factory inspection

Usually, the initial factory inspection will be done by CQC it self, and the auditor will come from China mainland.

Because it needs certain time to conduct these formalities such as passport and visa, and the period for passport and visa is different from country to country, so we suggest the client submit the appeal to comprising inspection team at the beginning of application, and determine whether to be bond with other factories.

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CCC 工厂检查的实施 The implementation of CCC Factory inspection

2) annual follow-up inspection

Usually , the factory inspections of electrical and electronic products and vehicle parts are entrusted to UL to carry out in the districts of North America and South America.



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CCC工厂检查要求 Requirement on CCC Factory Inspection

- 一、关于ODM模式的要求
- 二、CCC标志的使用管理及产品一致性不合格的处理
- 三、工厂检查中的常见问题和管理要求
- 四、证书的暂停、恢复、撤销、注销
- 五、境外收费的新要求
- 六、其它需关注的问题

1. Regulation concerning ODM certification
2. Usage and management of CCC mark and treatment on product non-consistency
3. FAQ (Frequently Asked Questions) and management requirement on factory inspection
4. Suspension, resumption, withdrawal and cancellation of certificate
5. New requirements on overseas charge
6. Other problems that require close attention



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一、关于ODM模式的要求

1.Regulation concerning ODM certification

1 关于ODM模式的规定

《强制性产品认证实施规则中涉及ODM模式的补充规定》
(国家认监委2009年30号公告)

1. Regulation Concerning ODM Certification

“Additional Regulation of Implementation Rules for China Compulsory Certification Involving ODM” (Certification and Accreditation Administration of PRC Announcement No. 30 [2009])



中国质量认证中心
CHINA QUALITY CERTIFICATION CENTRE

一、关于ODM模式的要求

1.Regulation concerning ODM certification

2 必要时，认证机构可对ODM制造商进行现场检查及监督检查。

2.1 对于“必要时”的理解

若制造商与工厂不同，且工厂无法对诸如供方评价，关键件的选择，入货检验等环节进行控制时，可对ODM制造商的办公场所进行检查。

2. If necessary, CQC shall proceed with onsite inspection and supervision on ODM manufacturer.

2.1 Definition of “if necessary”

If manufacturer and factory are different, and factory could not control sectors such as supplier evaluation, choice of critical components, incoming inspection, the ODM manufacturer may be examined.



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一、关于ODM模式的要求

1.Regulation concerning ODM certification

2.2 工厂检查的范围

广义的工厂检查是对整个生产链的检查（与认证产品质量相关的部门、场所、人员、活动等）。包括供方评价、选择，入货检验，生产过程控制，出货检验，加贴CCC标志，放置中文说明书等环节。

2.2 Scope of Factory Inspection

Generalized factory inspection is defined as inspection of the whole production chain (department, location, personnel and activity, etc. that are related to quality of certified products). The inspection includes supplier evaluation, choice of supplier, in-coming inspection, process control, final inspection, labeling of CCC mark and placing of Chinese product manual, etc.



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一、关于ODM模式的要求

1.Regulation concerning ODM certification

2.2 工厂检查的范围

根据产品生产模式的实际情况，工厂检查可能包括制造商办公场所、公司总部（所有管理和控制场所）、工厂现场（可能为多现场）、物流中心（可能进行最终的组装、放置中文说明书、加贴CCC标志）和/或海关的保税仓库等。

2.2 Scope of Factory Inspection

Based on actual situation of production pattern, factory inspection might include office space of manufacturer, company headquarter (all management and control space), factory site (might be multi sites), logistic center (final assembly, placing of Chinese product manual and labeling of CCC mark be performed) and/or customs bonded warehouse, etc.



一、关于ODM模式的要求

1.Regulation concerning ODM certification

3 ODM证书的处理

- 3.1 若一个ODM证书因问题被暂停或撤销，如在进口通关检查时发现不一致，又如在工商或质检抽查时发现质量问题，则所有相关ODM证书均被暂停或撤销。
- 3.2 若某一ODM制造商的某类产品连续12个月不生产，导致不能实施监督检查，则暂停该制造商该类产品的证书。

3. Treatment of ODM Certificate

3.1 If one ODM certificate is suspended or withdrawn due to certain problems, for instance, if non-consistency is detected during import customs clearance, or if quality problems are detected during inspection by local government of Industry and Commerce or Quality and Technical Supervision, then all related ODM certificates shall be suspended or withdrawn.

3.2 If follow-up inspection are not carried out due to the fact that certain category of product has not been manufactured by one ODM manufacturer for 12 consecutive months, then the certificate of that product shall be suspended.



一、关于ODM模式的要求

1.Regulation concerning ODM certification

3 ODM证书的处理

3.3 当ODM初始认证证书被暂停、撤销、注销时，不管是否存在质量问题，所有相关ODM证书都将被连带处理。

3.4 只有在ODM初始认证证书恢复后，其它持证人的相关ODM证书才能恢复。

3. Treatment of ODM Certificate

3.3 Once initial ODM certificate is suspended, withdrawn or cancelled, all related ODM certificates shall be suspended, withdrawn or cancelled no matter if quality problems are involved.

3.4 Only after initial ODM certificate is resumed could related other ODM certificate be resumed.



中国质量认证中心
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一、关于ODM模式的要求

1.Regulation concerning ODM certification

4 关于ODM协议的要求

ODM协议是持证人、制造商、工厂的三方协议。若工厂不同意持证人生产ODM产品，即使制造商同意，也不能发证；对于已获证的情况，证书将被暂停。

4. Requirements on ODM Agreement

ODM agreement is a tripartite agreement between certificate holder, manufacturer and factory. If factory disagrees to produce ODM products for certificate holder, even manufacturer agrees, certificate shall not be issued; if certificate has been issued, then it shall be suspended.



中国质量认证中心
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一、关于ODM模式的要求

1.Regulation concerning ODM certification

总之

鉴于ODM模式的不可控性，建议尽量不以ODM模式获证；或选择诚信且可靠性高的ODM生产厂。

To summarize

Due to uncontrollability of ODM module, it is not advised to obtain certificate via ODM module; or choose honest and reliable ODM factory.



中国质量认证中心
CHINA QUALITY CERTIFICATION CENTRE

二、CCC标志的使用管理及产品一致性不合格的处理

2. Usage and management of CCC mark and treatment on product non-consistency

1 CCC标志的申购和加施

1.1 向CCC认证标志发放管理中心申购标志，其联系方式：

<http://www.cnca.gov.cn/cnca/rdht/qzxcprz/cprzbz/4772.shtml>

1. Application, Purchase and Labeling of CCC mark

1.1 Apply and purchase CCC mark to Issuance & Management Centre for CCC Mark, contact information:

<http://www.cnca.gov.cn/cnca/rdht/qzxcprz/cprzbz/4772.shtml>



二、CCC标志的使用管理及产品一致性不合格的处理

2. Usage and management of CCC mark and treatment on product non-consistency

- 1.2 对于购买的标准规格CCC标志，应按认证规则的要求加施。
应记录CCC标志的购买量、使用量等，以备检查。
- 1.3 对于在铭牌上模压CCC标志的情况，应按CCC认证标志发放管理中心的要求进行年度备案。

1.2 If standard CCC mark is purchased, it shall be labeled according to CCC Implementation Rules. The amount of purchased and used CCC mark shall be recorded for further inspection.

1.3 If CCC mark is pressed on nameplate, it shall be reviewed annually based on the requirements of Issuance & Management Centre for CCC Mark.



2 全球同一型号产品CCC标志的使用控制

2.1 全球同一型号产品举例

某日本工厂的打印机同时获得CCC和VDE认证，其产品铭牌上同时印刷CCC和VDE标志。工厂规定，产品的型号相同，以产品序列号区分销售市场；序列号为0~3000的出口中国，序列号为5000~8000的出口欧洲。

2 Usage and control of CCC mark for product with global identical model

2.1 Example of product with global identical model

Printer manufactured by one Japanese factory obtained CCC and VDE certifications, both CCC and VDE mark are pressed on product nameplate. Factory regulates that sales market of product with global identical model is differentiated based on product serial number; products with serial number between 0~3000 are exported to China, and products with serial number between 5000~8000 are exported to Europe.



二、CCC标志的使用管理及产品一致性不合格的处理

2. Usage and management of CCC mark and treatment on product non-consistency

2.2 对于全球同一型号的产品，工厂内部应有控制程序以证明其向中国出口的产品满足CCC要求（如关键件、中文说明书等）。对于不向中国出口的产品，若铭牌上有CCC标志，则工厂应有控制程序并保存产品生产批号的记录、出货记录等。

否则，若因个别客户的行为导致将其它市场的产品出口到中国，而工厂又不能提供不符合CCC要求的产品没有直接出口到中国的证据，则至少暂停存在问题的证书，其它证书的处理取决于特殊监督检查的结果。

2.2 As for products with global identical model, factory shall have control program to prove that products exported to China meet CCC requirement (for instance critical components, Chinese product manual, etc.). As for products that are not exported to China, if CCC mark appears on nameplate, then factory shall have control program and keep record of product batch number (or serial number) and out-going products.

Otherwise, if products of other market are exported to China by individual clients, and factory could not provide evidence to prove that this problem is not the fault of factory or applicant, then at least problem-involved certificate shall be suspended, the treatment of other certificates depends on results of special follow-up inspection.



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二、CCC标志的使用管理及产品一致性不合格的处理

2. Usage and management of CCC mark and treatment on product non-consistency

3 在物流中心或保税仓库加施CCC标志的要求

企业应有有效的、可操作的控制文件，实施有效的控制并保存记录；否则，不能在物流中心或海关的保税仓库内加施CCC标志，而应在工厂加施。

3 Requirements of labeling CCC mark at logistic center and customs bonded warehouse

Factory/applicant shall contain effective and operative control documents, implement effective control and keep related record; otherwise, labeling of CCC mark shall not be proceeded at logistic center or customs bonded warehouse, instead it shall be labeled at factory.



二、CCC标志的使用管理及产品一致性不合格的处理

2. Usage and management of CCC mark and treatment on product non-consistency

4 产品一致性不合格的处理

- 1) 暂停不合格产品的CCC证书。
- 2) 对于其它证书，可采取特殊监督检查或综合（风险）评估的方法，决定是否暂停、撤销等。

4 Treatment on product non-consistency

- 1) CCC certificate of product non-consistency shall be suspended.
- 2) As for other certificates, special follow-up inspection or comprehensive (risk) evaluation shall be applied in order to determine if they shall be suspended or withdrawn.



三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

1 初始工厂检查

1.1 没有申请认证的产品在生产

对于全球同一型号的产品，若仅是电线组件不同，可作为“相似产品”进行检查；该“相似产品”的一致性检查结果，应作为工厂检查结论的判定依据。

1.2 一些认证规则要求：工厂检查应在型式试验结束后的一年内完成。

1 Initial Factory Inspection

1.1 No application product is being production

As for product with global identical model, it shall be accepted as “resemble product” if only electric wires are different; consistency results of said “resemble product” shall be regarded as the judgment basis of factory inspection.

1.2 Some CCC Implementation Rules have follow requirement: The factory inspection shall be completed within one year after type test.



三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

- 1.3 在初始工厂检查结束后，因长时间不缴费而未获证书；若该时间超过了初始工厂检查后的一个监督周期，将导致再次进行全要素工厂检查。
- 1.4 若工厂检查中的不符合项长时间不整改，超过了不符合项的整改期限（通常不超过40个工作日），将导致工厂检查不通过。

1.3 After initial factory inspection, certificate shall not be issued if fees are not paid after a long period of time; if the said period is longer than a follow-up inspection circle after initial factory inspection, then the factory inspection shall be carried out again.

1.4 If non-conformity founded during factory inspection has not been corrected after a long period of time, and the period is longer than regulated duration (no more than 40 work days), then the factory inspection will be failed.



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三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

2 监督检查

2.1 没有获证产品在生产

监督检查应有获证产品在生产（同一工厂界定编码），或有获证产品的库存并有“类似产品”在生产。“类似产品”应能满足“生产过程控制和过程检验及例行检验”的要求。

2. Follow-up inspection

2.1 No certified product is being production

The certified product for every Factory Inspection Code shall be in production during follow-up inspection, or the stock of certified product is available and the “similar product” is in production. The “similar product” shall meet the requirement of “Process Control, Process Inspection and Routine Tests” for CCC Factory’s Quality Assurance Ability.



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三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

2.2 每个制造商的产品都应被检查到。

2.3 不符合项的整改超时（通常不超过40个工作日），导致证书被暂停。

2.2 Product of every manufacturer shall be inspected.

2.3 If the period for corrective action of non-conformity exceeds the regulated duration (no more than 40 work days), then certificate shall be suspended.



三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

- 3 供方评价、日常管理，关键件的检验、验证和定期确认检验
- 3.1 对关键件的供方评价核心是“关键件和材料满足要求的能力”，而不是供方供货的能力。
- 3.2 若工厂的进货检验或供方的出厂检验要求已覆盖关键件的定期确认检验要求，则这些进货检验或出厂检验可做为关键件的定期确认检验结果。

3 Supplier evaluation, routine supervision; inspection, verification and periodic verification inspection of critical components and materials

3.1 The core of supplier evaluation is” the capacity of critical components and materials to meet requirement”, not the supply capacity of critical components and materials.

3.2 If the factory’s receiving inspection or supplier’s out-going inspection covers requirement of periodic verification inspection for critical components and materials, then the receiving inspection or out-going inspection could be considered as the result of periodic verification inspection.



三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

- 3.3 对于关键件和材料，若企业在进货时仅核实型号和数量，则还应进行关键件的定期确认检验。
- 3.4 关键件和材料的定期确认检验可由工厂、供应商或第三方进行。

3.3 As for critical components and materials, if factory only checks model and quantity during receiving inspection, then periodic verification inspection of critical components and materials shall also be carried out.

3.4 Periodic verification inspection of critical components and materials could be performed by factory, supplier or a third party.



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三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

3.5 若工厂采购的是获得CCC认证或可为CCC认证承认的部件自愿性认证的关键件和材料（简称认证关键件），则认证关键件的有效证书可替代关键件和材料的定期确认检验报告。

注意：应在每次进货前确认认证关键件的证书是否有效。

3.5 If the critical components and materials has the certificate of CCC or has the voluntary certificate which can be admitted by CCC (abbreviated as certified critical components), then effective certificate of certified critical components could replace periodic verification inspection report of critical components and materials.

Notes: Certificate for certified critical components shall be checked before incoming to ensure its validation.



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三、工厂检查中的常见问题和管理要求 3. FAQ and management requirement on factory inspection

4 整机确认检验的要求

至少应覆盖到工厂界定编码，确认检验的项目、频次等按认证规则的要求执行。

4 Requirement on verification tests of assembled product

The verification tests shall covered the product of each Factory Inspection Code, items of verification tests and frequency, etc. shall be carried out based on CCC Implementation Rules.



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三、工厂检查中的常见问题和管理要求 3. FAQ and management requirement on factory inspection

5 企业分类管理

《强制性产品认证管理规定》第十七条要求认证机构对企业 and 产品进行分类管理。

5.1 目前，CQC将企业分为三类；分别是“失信企业”、“重点监控企业”、正常企业”。

5 Classified Management of Factories

Article 17 of Regulations for Compulsory Product Certification requires that classified management of factories and products shall be carried out by Certification body such as CQC.

5.1 At present, CQC divides factories into three categories, that is, “discredited factories”, “key monitoring factories” and “regular factories”.



三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

- 5.2 对于“失信企业”和“重点监控企业”，CQC采取飞行检查、特殊检查、巡查、市场抽样买样等管理措施。
- 5.3 今后，CQC还将进一步针对产品进行分类；并对高风险产品采取有效的管理措施，如增加监督频次等。
- 5.4 获证产品一旦发生质量问题或严重违反认证规定，企业应接受相关检查。

5.2 As for “discredited factories” and “key monitoring factories”, managements such as follow-up inspection without notice in advance, special follow-up inspection, patrol inspection and market sampling are performed by CQC.

5.3 Hence force, CQC will further classify products; and implement effective management on high risk products, for instance increase the frequency of follow-up inspection, etc.

5.4 Once quality-related problems or severe violations are detected on certified product, related follow-up inspection shall be carried out on factories.



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三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

6 标准换版

- 6.1 CCC标准换版按国家认监委的公告执行，标准换版的通用规定是《关于标准修订时强制性产品认证有关问题的通知》（国认科联[2005]18号）文件。
- 6.2 企业应及时登陆国家认监委或CQC网站，对标准换版的要求进行跟踪。

6 CCC standard revision

6.1 CCC standard revision is carried out according to announcement of Certification and Accreditation Administration of PRC, the common regulation of standard revision is document of “Announcement of Related Problems of CCC During Standard Revision” (No. 18 National Accreditation Science Union [2005]).

6.2 Factories shall log on homepage of Certification and Accreditation Administration of PRC or CQC, and track the requirements of standard revision.



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三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

- 6.3 自新版标准实施之日起，按新版标准实施认证并出具新版标准认证证书。
- 6.4 对于新版标准实施之日前已经获证的，持证人应在新版标准实施后的首次监督检查之前，完成按新版标准的产品确认工作，获得新的认证证书。

6.3 From implementation date of newly edited standard, certification shall be carried out and certificate shall be issued based on newly edited standard.

6.4 As for certificate obtained before implementation date of newly edited standard, certificate holder shall determine production based on newly edited standard before first CCC follow-up inspection after the implementation of newly edited standard, and obtain new CCC certificate.



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三、工厂检查中的常见问题和管理要求

3. FAQ and management requirement on factory inspection

6.5 依据《中华人民共和国标准化法》第十四条的规定，新版强制性标准实施后，不得将不符合新版标准的产品向中国出口。虽然此时存在因监督检查尚未进行而CCC证书没有被暂停或注销的情况。

6.5 Based on regulation of Article 14 of “Standardization Law of the People’s Republic of China’, after implementation of newly edited compulsory standard, products that do not meet newly edited standard shall not be exported to China. Although CCC certificate might not be suspended or cancellation due to incompleteness of follow-up inspection.



四、证书的暂停、恢复、撤销、注销

4. Suspension, Resumption, Withdrawal and Cancellation of Certificate

1 相关法律法规、规章、规范性文件

1.1 《中华人民共和国认证认可条例》

1.2 《强制性产品认证管理规定》

1.3 《强制性产品认证证书注销、暂停、撤销实施规则》

1.4 《强制性产品认证实施规则中涉及ODM模式的补充规定》

1.5 各类产品认证规则

1 Related Law and Regulation, Rule and Normative Documents

1.1 Regulations of the People's Republic of China on Certification and Accreditation

1.2 Regulations for Compulsory Product Certification

1.3 The Implementing Rules of Cancellation, suspension and withdrawal of Compulsory Product Certification

1.4 Additional Regulation of Implementation Rules for China Compulsory Certification Involving ODM

1.5 CCC Implementation Rules



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四、证书的暂停、恢复、撤销、注销

4. Suspension, Resumption, Withdrawal and Cancellation of Certificate

2 产品不一致需撤销证书的情况

《强制性产品认证管理规定》第二十八条规定撤销证书的情况：“跟踪检查中发现获证产品与认证委托人提供的样品不一致的”。

本条主要指弄虚作假，降低原材料等质量或随意变更关键件导致产品不满足认证要求的情况。

2 Certificate withdrawal due to product non-inconsistency

Article No. 28 of “Regulations for Compulsory Product Certification:” non-consistency is detected between certified product and sample provided by applicant during follow-up inspection”.

The said article refers to situations in which products could not meet certification requirements, such as falsification, raw material quality degradation or critical components alternation without CCC authorization, etc.



四、证书的暂停、恢复、撤销、注销

4. Suspension, Resumption, Withdrawal and Cancellation of Certificate

3 证书暂停的时限

3.1 暂停12个月的情况

- 季节性生产或订单生产；
- 未按期交纳认证费用；
- 持证人/制造商/生产厂名称或地址变更，与证书不一致（如工厂搬迁）。

注意：暂停12个月的情况需由持证人提出申请。

3.2 暂停3个月的情况

除3.1外的其它需暂停的情况。

3 Certificate Suspension Duration

3.1 Situations in which certificate is suspended for 12 months

- Seasonable production or build to order production;
- Certification fee is not paid in time;
- Name or address modification of Certificate holder/manufacturer/factory, which is not coincident to certificate (for instance, factory relocation).

Note: If the certificate holder apply for suspension in advance, the suspension duration will be 12 months; otherwise, it will be 3 months.

3.2 Situation in which certificate is suspended for 3 months

Situations other than 3.1, in which certificate requires suspension.



四、证书的暂停、恢复、撤销、注销

4. Suspension, Resumption, Withdrawal and Cancellation of Certificate

4 提出证书恢复的时机

4.1 对于暂停期为3个月的证书，应尽快整改并提出恢复申请。若离暂停截止期限过近，导致认证机构没有时间进行验证，证书将被撤销。

4.2 对于暂停期为12个月的证书，应至少提前1个月提出证书恢复申请。

4 Timing for applying for certificate resumption

4.1 As for certificate which suspension duration is 3 months, rectification and reform shall be performed and application for certificate resumption shall be filed as soon as possible. If certification body does not have enough time for verification inspection due to too close to suspension deadline, then the certificate shall be withdrawn.

4.2 As for certificate which suspension duration is 12 months, certification resumption shall be applied at least one month in advance.



四、证书的暂停、恢复、撤销、注销

4. Suspension, Resumption, Withdrawal and Cancellation of Certificate

5 不接受企业提出暂停证书的情况

5.1 工厂检查不合格。

5.2 没有提前主动（监督检查前1个月）提出证书暂停申请，而是在检查现场提出，或是在检查员联系监督检查时才提出暂停。

5 Situation in which application for certificate suspension shall not be accepted

5.1 Factory inspection is failed.

5.2 Fail to take the initiative (one month before follow-up inspection) and apply for certificate suspension, instead certificate suspension is applied during follow-up inspection, or applied when auditor contacts follow-up inspection.



四、证书的暂停、恢复、撤销、注销

4. Suspension, Resumption, Withdrawal and Cancellation of Certificate

6 证书被撤销的后果

证书被撤销后，CQC在6个月内不受理已撤销产品的认证申请，相关工厂检查和试验报告不再有效。

7 不接受注销证书的情况

产品存在质量问题（如工厂检查不通过、抽样检测不合格等）时。

6 Outcome of certificate withdrawal

Once the certificate is withdrawn, CQC shall not accept CCC application for withdrawn product for at least 6 month, the related factory inspection report and test report shall be invalid.

7 Situation in which certificate cancellation is not accepted

When quality related problems are involved (for instance factory inspection is failed, product sampling test is unqualified, etc.).



中国质量认证中心
CHINA QUALITY CERTIFICATION CENTRE

四、证书的暂停、恢复、撤销、注销

4. Suspension, Resumption, Withdrawal and Cancellation of Certificate

8 持证人应关注的信息

- 8.1 登陆国家认监委或CQC网站，关注证书状态（如有效、暂停等）。
- 8.2 若持证人未收到纸型暂停通知书，请在CQC网站查询退件通知。
- 8.3 在暂停通知书规定的时间内提出恢复申请，并采取有效的纠正措施
- 8.4 在向中国出口前查询证书是否有效，以避免无法通关的情况发生。

8 Information which certificate holder shall pay close attention to

- 8.1 Log on homepage of Certification and Accreditation Administration of PRC or CQC, and pay close attention to certificate status (validation, suspension, etc.).
- 8.2 If certificate holder does not receive official suspension notice, then please inquire CQC website for letter rejection notice.
- 8.3 Apply for resumption within regulated timeframe that is indicated in suspension notice, and adopt effective corrective actions.
- 8.4 Inquire certificate validation before export product to China in order to prevent failure of going through customs.



五、境外收费的新要求

5. New Requirements on Oversea Charge

- 1 境外工厂检查、抽样和检测按合同收取相关费用，具体见CQC网站中客户界面的《境外工厂检查、抽样及现场检测费率表》。
- 2 主要变化为：检查组在境外发生的地面交通费及住宿费由持证人或工厂直接承担，CQC 不予垫付。

1 Overseas factory inspection, product sampling and onsite test shall collect related fees based on contract, for further information, please refer to “Table of rates of overseas factory inspection, product sampling and onsite test” on customer interface, CQC website.

2 Major change is: overseas traffic fee and hotel expenses of auditor team shall be directly covered by certificate holder or factory, CQC shall not make advances.



六、其它需关注的问题

6. Other problems that require close attention

- 1 工厂名称或地址、产品一致性等发生变更，但未申请认证变更；
- 2 不在工厂配备电源线，到中国口岸后发现不一致；
- 3 产品包装上的标识不符合中国法律法规和国家标准的要求；

1 Factory name or address and product are altered, however, certification modification has not been applied or approved;

2 Electric wires are not equipped at factory, non-consistency is detected at China customs;

3 Logo on product packaging does not meet requirement of Chinese law, regulation or national standard (GB standard);



六、其它需关注的问题

6. Other problems that require close attention

- 4 产品包装箱内没有中文说明书;
- 5 企业内审内容不包含CCC的相关要求;
- 6 关键件的CCC证书被暂停, 但整机厂不知道, 仍在使用已暂停的关键件。

4 No Chinese product manual is found in product packing box;

5 Content of factory internal audit does not include requirement of CCC;

6 CCC certificate of critical components or materials are suspended, however, the factory of assembled product is not noticed by the supplier and the suspended critical components or materials are still in using.



中国质量认证中心
CHINA QUALITY CERTIFICATION CENTRE

工厂CCC检查要求 Requirement on CCC Factory Inspection

谢谢!

Thank you for your attention

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factory inspection:
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The fifth certification mode :

Type test + initial factory
inspection+follow-up inspection

Factory Inspection Requirements for Compulsory Certification of Household and Similar Use Appliances, Information Technology Products, Audio and Video Devices

In order to ensure certified products in batch production are consistent with the samples approved by type testing, the factory shall comply with the factory inspection requirements in this document. Factory mentioned in this document covers applicant, certificate holder, manufacturer and factory.

1 Responsibility

Factory shall define the responsibilities and inter-relations of all the personnel involved with China Compulsory Certification requirements and product consistency.

1.1 Factory shall appoint a competent quality manager who shall have responsibility and authority for the following areas:

- a) ensuring that the requirements of this documents are effectively implemented and maintained by the factory.
- b) ensuring that certified products meet the requirements of certification standards and are consistent with the approved type test samples.
- c) understanding and comply with the usage and marking requirements of compulsory product certification, conditions of cancellation, suspension and withdrawal.

1.2 Factory shall appoint a contact person responsible for China Compulsory Certification from the organization. This individual will take responsibility for keeping in touch with the certification body, tracking and understanding updates to requirements and regulations regarding China Compulsory Certification. Contact person will be responsible for timely notification of any changes within their organization.

The contact person shall be aware of, and understand the following:

- a) Most current revision of compulsory certification implementation rules and product certification standards, issuance and revision of other relevant certification documents
- b) status of CCC certificates
- c) result of national or provincial surveillance sampling check

1.3 Factories that wish to pursue a streamlined certification process shall establish a system of authorization for changing critical components. The factory shall appoint a competent “Technical Manager” who is responsible to maintain the certified product’s consistency. The “Technical Manager” must be approved by the certification body in advance. The “Technical Manager” will review changes prior to implementation with respect to China regulations, requirements and product consistency to determine if the change is eligible to use the certification body’s streamlined flow process.

Note: Critical parts refer to critical components, parts and materials.

2. Documents and Records

2.1 Factory shall establish a procedure to control all required documentation, quality records defined by this document, and any applicable external quality documents and records needed to ensure product quality.

For the main contents which may take effects on conformity between certified product and standards and consistency of qualified sample by type test, factory should have necessary design documents (such as blueprint, sample, critical parts), technical documents and working instruction.

2.2 Factory shall ensure that correct and valid documents are used.

2.3 Factory shall ensure quality records are legible and complete in order to serve as evidence that product complies with regulation requirements.

The retention of quality records must not be less than 24 months.

2.4 Factory shall establish and maintain a file of documents related to product certification, which shall include at least the following:

a) relevant data and records, such as certificates, type test report, initial and follow-up inspection report, authorization data of product modification and expansion, annual follow-up sampling test report, relevant records of authorization to critical parts applicable to streamlined flow and material modification. These data and records shall be kept while the product is in active production and at least 12 months after the certificates have expired.

b) Factory shall maintain the information of dealers and sales information and provide record upon request of certification body.

c) Inventory of certified products

3. Purchasing and critical parts control

3.1 Purchasing control

Factory shall specify the technical requirements of critical parts in purchasing documents, which should meet the requirements of product certification and match the type test report.

Factory shall establish and maintain a qualified suppliers list of critical parts. Critical components shall only be purchased from qualified suppliers who have been approved.

Factory shall maintain receiving and inventory records of critical parts.

3.2 Control of critical parts

3.2.1 Factory shall establish and maintain documented procedures to control the inspection or verification of critical parts provided by suppliers to ensure that they are in accordance with requirements of purchase control. Relevant records of inspection and verification shall be maintained properly.

3.2.2 Factory shall establish proper methods of quality control to ensure that the quality characteristics of incoming critical parts

continuously satisfy the requirements of certification. Relevant implementation records shall be maintained.

Proper measures of quality control may include one or more of the following items:

- a) Factory shall ensure the validity of the CCC certificate on components during receiving if applicable.
- b) Items and requirements of each receiving inspection shall meet the regulation of certification body. Inspection shall be conducted by factory laboratory or an accredited testing laboratory.
- c) Periodical verification testing on components shall be in accordance with the requirements of the certification body.

Note: Certification body may take factory's history of quality and certification compliance into account and reserves the right to enhance routine verification test requirements of critical parts components to ensure compliance is effectively maintained.

- d) If an alternate control plan is utilized, the effectiveness shall not less than the requirements of 3.2.2 a, b and c.

4 Production process control

4.1 Factory shall effectively control and validate all production processes. If the factory employs a special process that cannot be easily verified by subsequent monitoring or measurement, the special process shall be identified, implemented, and controlled effectively. Contents of control shall include competency of operating personnel, monitoring of technical parameters, suitability of facilities, environmental considerations and correct use of critical parts.

4.2 If production process cannot guarantee the outcome without the use of a work instruction, then a corresponding work instruction shall be established to control the process.

4.3 Key processes for production, product construction, critical components and anything else that could impact the final product safety or EMC performance of the product (if within the scope of

certification), shall be controlled by establishing and maintaining an operational guide of production which can include, photos, blueprints or samples, to ensure that final products are identical to original type testing samples submitted for certification.

5. Routine test, verification test and on-site witness test

5.1 Factory shall establish and maintain documented routine tests and verification test procedures to ensure that certified products comply with relevant requirements.

5.2 In general, the factory shall implement the routine test on certified products at the final stage of production. If a production process does not affect the inspection result, the routine test may be finished prior to this process.

The frequency, test items and requirements shall not be less than the regulations of the compulsory product certification implementation rules. Relevant records of routine test shall be maintained.

5.3 Factory shall implement verification testing on all certified products per compulsory certification implementation rules. Testing frequency, test items and requirements shall not be less than the regulations of the compulsory product certification implementation rules. If the factory does not have the capability to undertake verification testing at the factory location, testing shall be conducted by an accredited testing organization. Factory shall maintain records of verification test results and if applicable, proof of testing laboratory accreditation.

5.4 Factory shall accept on-site witness testing as part of the CCC mark factory inspection. Samples for on-site witness test will be selected from the certified product available on the production line or the warehouse. On-site testing shall be conducted by factory testing personnel per the appointed test items and requirements of the relevant implementation rule. Testing shall be witnessed by the CCC Factory Inspector. Items of on-site witness testing are

required as part of the product/factory certification process. Test results shall be in accordance with requirements of certification.

6. Inspections, test equipment and personnel

6.1 Factory shall acquire sufficient inspection, measuring and test equipment to ensure that adequate equipment is available to conduct receiving inspection and routine testing that complies with inspection requirements when certified products are in batch production.

When verification is completed at the factory, capability of equipment and range of testing equipment shall meet inspection requirements of certification standards.

Testing personnel shall operate equipment effectively and understand the requirements and testing items for relevant China Compulsory Certification tests.

6.2 Calibration and verification

Inspection and test equipment used to verify that products comply with regulations, shall be calibrated or verified according to the period regulated. All calibrations and verification undertaken on such equipment must be traceable to national or international standards. For self-calibrated equipment, calibration method, acceptance criteria and calibration interval shall be documented. Calibration and verification status of equipment shall be easily identified by user and management personnel.

Calibration and verification records shall be maintained.

6.3 Functional Check

Any equipment used for routine testing, shall be subject to a functional check. Requirements for the functional check shall be established. When a functional check on the testing equipment fails, arrangements shall allow previous production to be traced and re-tested if necessary. Operator shall be instructed on what action is to be taken if a functional test is found to be unsatisfactory.

The results of functional check and all subsequent corrective action taken must be recorded.

7. Control of non-conforming end product

7.1 Factory shall identify, segregate, and repair or dispose any nonconforming product to avoid the product from being used or shipped unintentionally. Reworked and repaired products shall be re-inspected prior to any use.

7.2 Factory shall collect any information regarding nonconformities found in national or provincial surveillance sampling check, factory inspections, follow-up testing, customers' complaints and other sources. Factory shall analyze the root-cause of the non-conformity and take appropriate corrective action. Factory shall maintain all records of information collected, root-cause analysis, corrective and preventative actions taken and records of product disposition.

7.3 Factory shall promptly inform certification body when any quality problems are discovered externally.

8. Requirements for the Consistency of the Certified Products

Main contents of requirements of consistency of the certified products are: marking, construction related to safety and EMC performance (if certification required), critical parts and etc.

8.1 Marking

Name of product, type, specification and technical parameters marked on the package and nameplate of certified products, shall meet product standards, type test report and factory requirements.

8.2 Construction of product

Construction of certified products related to safety and EMC performance (if certification required) shall meet product standards, type test report and factory requirements.

8.3 critical parts

Critical part used for certified product shall :

- a) meet relevant product standards
- b) meet what confirmed/approved or filed by certification body
- c) meet relevant factory requirements
- d) purchased shall match the amount of the end products delivered

8.4 Changes

Factory shall establish and maintain documented procedures to control changes which may affect conformity between certified products, standards and samples approved by type test. The procedure shall meet regulations of compulsory certification implementation rules and the certification body. Any certified product changes must be approved by either the appointed "Technical Manager" or the certification body prior to implementation. Factory shall maintain relevant records of approved changes.

8.5 Management of marked / or retained sample

For those certified products which need to be marked/ or retained, factory shall keep and use marked sample approved by type test and maintain records of use of the marked/retained sample.

Note: Marked/retained sample refers to that approved by type test and marked by testing lab.

9. Use of Certificate and Certification Mark

Factory shall establish and maintain a procedure for control of the certification mark to ensure that the certification marks are kept and used properly. All records of use of the certification mark shall be maintained.

Management and use of certificates and the certification mark shall be in accordance with "Regulation on Administration to Compulsory Product Certification", "Measures of Managements to Compulsory Product Certification Mark", etc. and relevant regulations of certification body.

10. Extended Inspection

If the factory inspection can not be finished on the producing site it could be extended to inspect certificate holder, manufacturer and etc.

(Note: This English version is just for reference, the correct explanation shall be based on Chinese version.)