Implementation Rules for Compulsory Certification of Telecommunication Terminal Equipment

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Certification and Accreditation Administration of People’s Republic of China
Unofficial English translation offered by EuropElectro, for reference only

Contents

0 Foreword ................................................................................................................................. 3
1 Scope ........................................................................................................................................ 3
2 Reference standard for certification ....................................................................................... 3
3 Certification Mode .................................................................................................................... 4
4 Classification of certification units .......................................................................................... 4
5 Certification Application .......................................................................................................... 4
  5.1 Apply and Acceptance of Certification Application ............................................................ 4
  5.2 Application documents .......................................................................................................... 4
  5.3 Implementation arrangement ............................................................................................... 5
6 Certification implementation .................................................................................................... 5
  6.1 Type test ................................................................................................................................ 5
  6.2 Evaluation and determination of certification ....................................................................... 6
  6.3 Time of Certification ............................................................................................................ 6
7 Post-Certification Surveillance ................................................................................................. 6
  7.1 Follow-up Inspection ............................................................................................................ 6
  7.2 Onsite Sampling Test or Inspection .................................................................................... 6
  7.3 Market Sampling Test or Inspection .................................................................................... 7
  7.4 Frequency and time of follow-up surveillance .................................................................... 7
  7.5 Record of follow-up inspection ......................................................................................... 7
  7.6 Evaluation of Results of Post-certification Surveillance ...................................................... 7
8 Certificate .................................................................................................................................. 7
  8.1 The maintenance of the certificates ..................................................................................... 7
  8.2 Change of certified products ............................................................................................... 7
  8.3 Extension of certified products ........................................................................................... 8
  8.4 Cancellation, suspension and withdrawal of the certificates ................................................. 8
  8.5 Use of certificates ............................................................................................................... 8
9 Certification mark ................................................................................................................... 8
  9.1 Design of mark allowed to use ........................................................................................... 8
  9.2 Marking method .................................................................................................................. 9
10 Charge .................................................................................................................................... 9
11 Certification responsibility .................................................................................................... 9
12 Implementation specifications ............................................................................................... 9
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0 Foreword

Based on safety risk and certification risk of telecommunication terminal equipment, this rule specifies the basic principles and requirements for compulsory products certification of telecommunication terminal equipment.

This Rules is supplementary to general implementation rules issued by Certification and Accreditation Administration of People’s Republic of China (Hereafter “CNCA”) such as Implementation Rules for Compulsory Products Certification——Manufacturer Classification, Selection and Determination of Certification Mode, Implementation Rules for Compulsory Products Certification——Utilization of Testing Resources of Manufacturer and Other Certification Results, Implementation Rules for Compulsory Products Certification——General Rules for Factory Inspection.

Accredited Certification body shall draft implementation specification in accordance with common implementation rules and this Rules and carry out certification activity on the basis of these two reference rules.

Manufacturer shall ensure its certificated products to maintain an ongoing conformance to certification and applied standard’s requirements.

1 Scope

This rule is applicable to telecommunication terminal equipment, including the following categories: modem (including card), electrograph, fixed telephone terminal and additional devices for telephone sets, wireless telephone terminal, key telephone, mobile subscriber terminal, ISDN terminal, data terminal (including card), multi-media terminal.

Any modification to scope due to changes of legislation regulation, product standard, technical and industry policy shall consider the announcement by CNCA as the final version.

2 Reference standard for certification

<table>
<thead>
<tr>
<th>Serial No.</th>
<th>Product category</th>
<th>Reference standard for certification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Safety standard</td>
<td>Electromagnetic compatibility standard</td>
</tr>
<tr>
<td>1</td>
<td>Modem (including card)</td>
<td>GB4943.1</td>
</tr>
<tr>
<td>2</td>
<td>Electrograph</td>
<td>GB4943.1</td>
</tr>
<tr>
<td>3</td>
<td>Fixed telephone terminal and additional devices for telephone sets</td>
<td>GB4943.1</td>
</tr>
<tr>
<td>4</td>
<td>Key telephone</td>
<td>GB4943.1</td>
</tr>
<tr>
<td>5</td>
<td>ISDN terminal</td>
<td>GB4943.1</td>
</tr>
<tr>
<td>6</td>
<td>Data terminal (including card)</td>
<td>GB4943.1</td>
</tr>
<tr>
<td>7</td>
<td>Multi-media terminal</td>
<td>GB4943.1</td>
</tr>
<tr>
<td>10</td>
<td>Wireless telephone terminal</td>
<td>GB4943.1</td>
</tr>
<tr>
<td>11</td>
<td>Mobile subscriber terminal</td>
<td>GB4943.1</td>
</tr>
</tbody>
</table>

In principle, the reference standards shall apply the latest edition issued by Standardization Administration of China (SAC). Otherwise, if necessary, apply other applicable editions as required in CNCA announcement of reference standard.
3 Certification Mode

The fundamental certification modes for compulsory products certification for telecommunication terminal equipment are:

**For Type I or Type II equipment:**

**Type Test + Post-Certification Surveillance**

Post-certification surveillance can be adopted by any methods of the following three: Follow-up inspection, onsite sampling test or inspection and market sampling test or inspection.

**For equipment other than Type I or Type II:**

**Type Test + Follow-Up Inspection**

The certification body shall, according to the requirements of *Implementation Rules for Compulsory Products Certification—Manufacturer Classification, Selection and Determination of Certification Mode*, implement classification management for manufacturers. Meanwhile, based on manufacturer classification, certification body shall add quality assurance capability of manufacturer and check of product consistency (initial factory inspection) and relevant elements to the fundamental certification mode for post-certification surveillance to ensure a mode which suits applicants best.

4 Classification of certification units

In principle, certification unit is divided according to type, model, size, working principle, safety structure of products etc. However, products of different working modes shall be classified by working mode (e.g. display mode, printing mode, etc.) Products, of the same manufacturer, of the same model/type, but from different factories, or products of different manufacturer but of same model/type and same factory shall carry out type test on one application unit sample. For products of other manufacturers/factories, it is required to provide related documents for product consistency check.

Certification bodies shall specify requirements for unit classification in implementation rules for certification in accordance with relevant documents issued by CNCA and by combing manufacturer classification.

5 Certification Application

5.1 Apply and Acceptance of Certification Application

Certification applicant should submit a certification application to a certification body in an appropriate way. Certification body shall respond to the application with a feedback of acceptance or rejection within the time frame specified in implementation specification.

If application request conflicts with requirement of national law and regulation or industrial policy, certification body shall not accept the request.

5.2 Application documents

Certification body shall define application document list in implementation specification according to laws and regulations, standard and needs for certification implementation, which at least includes certification application form or contract, registration verification of applicant/manufacturer/factory. Where inspection on quality assurance ability of manufacturer and check of product consistency (initial factory inspection) is not involved in the certification implementation, Certification body shall have the right to oblige applicant to provide a self-evaluation report to demonstrate the quality assurance ability of relevant factory owned by manufacturer.

Applicant shall prepare application documents as required in application document list in implementation specification. Certification body is responsible for verifying, managing, recording and keeping the confidentiality of relevant information and inform applicant with the result.
5.3 Implementation arrangement
Certification body and applicant shall reach an agreement on the responsibility and arrangement for each other during each certification section. Certification body shall determine the specific implementation program and inform the applicant, based on the requirement of this Rules and implementation specification and putting actual situation of manufacturer and manufacturer classification in to consideration.

6 Certification implementation

6.1 Type test
6.1.1 Type Test program
After the application document being verified, certification body shall develop a type test program and inform the applicant.

Type test program consists of all requirements and quantity of samples, test standards and laboratory information.

6.1.2 Requirements on type test samples
Certification body shall clarify sample delivery/selection requirement of product to be certified in implementation specification. In general, representative samples is selected and delivered by applicant for type test in accordance with the requirement of certification body. If necessary, certification body could select/seal products onsite to obtain sample for type test.

Applicant shall ensure sample provided is consistent with manufactured product. Certification body and/or laboratory shall verify the authenticity of sample. With any doubt to the authenticity, laboratory shall explain the situation and deal with it in an appropriate way.

Certification body shall determine the requirement of critical unit components and material list of products in implementation specification based on relevant regulatory documents issued by CNCA.

For the critical unit components and material purchased at home which falls within the product category of China Compulsory Certification (CCC), manufacture shall provide certificate of CCC. For those critical unit components and material which is not required for compulsory product certification, certification body shall clarify the condition and detailed requirements on the accepted or acknowledged certificate of voluntary certification and type test report.

6.1.3 Items for type test
(1) Items for safety test
Shall include all the applicable items prescribed in product safety standards in principle.
(2) Items for EMC test
Shall include all the applicable items prescribed in EMC standards in principle.

6.1.4 Implementation of type test
In principle, type test is required to complete in laboratory designated by CNCA. Laboratory carries out type test on samples, records and files the entire process in order to ensure the traceability of testing process and result.

Without affecting the effectiveness of certification result, certification body could develop relevant management procedure based on Implementation Rules for Compulsory Products Certification——Utilization of Testing Resources of Manufacturers and Other Certification Results. Designated laboratory shall assign inspectors to implement or witness type test in accordance with standard requirements and by utilizing testing resources of manufacturer and issue testing reports. It’s the obligation of laboratory to ensure the authenticity, correctness and traceability of its result.

Certification body shall determine specific requirement and procedures in implementation specification.
6.1.5 Type test report
Certification body shall determine a standardized format of type test report. After type test, laboratory shall issue the type test report to certification body and applicant in a timely manner. Report shall include certification relevant information of all products within the range of application unit. After receiving certificate, applicant shall be able to provide complete and valid type test report to certification body and law enforcement organs for surveillance purpose.

6.2 Evaluation and determination of certification
Certification body shall make the certification determination based on a comprehensive evaluation on type test conclusion and relevant information/documents. The certificate will be issued when the evaluation is qualified. The certification body will disapprove and terminate the application when the type test result is unqualified.

6.3 Time of Certification
Certification body shall clarify the time frame of each certification section and ensure certification being completed before the deadline. Applicant shall cooperate with certification implementation actively. In general, certificate shall be issued to applicant within 90 days after the application being accepted.

7 Post-Certification Surveillance
Follow-up surveillance refers to the surveillance activity carried out by certification body to monitor certified products and its manufacturer. Certification body shall determine the specific requirement on the method of post-certification surveillance, based on the requirements of this Rules and implementation specification and putting actual situation of manufacturer and manufacturer classification into consideration.

7.1 Follow-up Inspection
7.1.1 Principles of Follow-Up Inspection
Certification body shall implement effective follow-up inspection on certified products and its manufacturer based on manufacturer classification with the aim to verify the ongoing conformity of quality assurance ability of manufacturer with certification requirements, ensure the ongoing conformity of certified products with standard requirements and ongoing products consistency with type test sample. Follow-up inspection shall preferred to been implemented during the normal production of manufacturer without notice in advance. For products manufactured discontinuously, certification applicant shall provide production plan to certification body to facilitate the effective implementation of follow-up inspection.

7.1.2 Content of Follow-Up Inspection
The certification body shall determine the specific requirements on follow-up inspection, check for product consistency and inspection for quality control of manufacturer etc. in accordance with Implementation Rules for Compulsory Certification—Requirement on Quality Assurance Ability of the Factory, and clarify them in implementation specification.

7.2 Onsite Sampling Test or Inspection
7.2.1 Principles of Onsite Sampling Test or Inspection
Onsite sampling test or inspection shall cover all types of certificated products. Where onsite sampling test or inspection is adopted in post-certification surveillance, the certification applicant, factories and manufacturers shall provide active coordination.

7.2.2 Content of Onsite Sampling Test or Inspection
The certification body shall specify the content and requirement for onsite sampling test in implementation specification. The manufacturer shall deliver the samples to designated laboratory for testing.
Certification body could develop relevant management procedure based on *Implementation Rules for Compulsory Certification—Utilization of Testing Resources of Manufacturer and Other Certification Results* to implement or witness sample testing by utilizing testing resources of manufacturer. Designated laboratory shall issue testing report. Certification body shall determine specific requirement and procedures in detailed instructions for implementation.

7.3 Market Sampling Test or Inspection

7.3.1 Principles of Market Sampling Test or Inspection

Market sampling test or inspection shall cover parts of certificated products by a certain proportion.

Where market sampling test or inspection is adopted in post-certification surveillance, the certification applicant, factories and manufacturers shall provide active coordination and confirm the samples selected from the market.

7.3.2 Content of Market Sampling Test or Inspection

The certification body shall specify the content and requirement for market sampling test in implementation specification.

7.4 Frequency and time of follow-up surveillance

Certification body shall implement post-certification surveillance at different frequency towards different types of manufacturers and determine surveillance time in a reasonable way based on the manufacturer classification. Specific principle shall be clarified in implementation specification.

7.5 Record of follow-up inspection

The certification body record and file the entire post-certification surveillance process in order to ensure the traceability of certification process and result.

7.6 Evaluation of Results of Post-certification Surveillance

Certification body shall make a comprehensive evaluation on conclusion of follow-up inspection, sampling test and relevant information/documents. The certificates can be retained and the certification marks can be continuously used upon favorable inspection results. If any inspection failed, certification body will suspend or withdraw the certificate according to relevant condition make an public announcement.

8 Certificate

8.1 The maintenance of the certificates

The term of validity of the certificates for product certification prescribed in this rule is 5 years. Within the term of validity, certificates are maintained based on post-certification surveillance by certification bodies.

Certificate holder shall submit application for certificate extension within 90 days before the expiration of certificate if he/she intends to extend the use of certificate after its expiration. If the last result of post-certification surveillance for the relevant certificate within its term of validity is qualified, the certification body shall renew the certificate after receiving the application.

8.2 Change of certified products

After certificate issued, should any change occurs in critical unit components and material of certified products or the design, electric construction involved in safety or EMC of the appliances or other items specified in implementation specification of certification by certification body, an application for approving/recording the changes shall be made by applicant to the certification body.

8.2.1 Application for change and requirement

Certification body should clarify specific requirements on change of certificate in implementation specification of certification including scope and procedure of application for change.

For change of certificates for which products or contents are same, from same factory but several manufacturers, applicant need submit only one application and certification body should grant the validity of associated certificates.
8.2.2 Evaluation and approval of change
The certification body shall evaluate the change according to the submitted information and confirm whether it can be approved. If sampling test and/or factory inspection is necessary, the change will be approved upon a qualified test result. In principle, sample of representative model which is used for full type tests initially is the base sample for evaluation of change.

8.2.3 Recording for change
Change of critical components and materials could be, when sampling test is not required, determined and approved by certification technical responsible person from manufacturer accredited by certification body. Relevant documents shall be recorded and reported to certification body for the check in post-certification surveillance and verification test is required when necessary.

Certification body shall specify relevant requirement for the technical principal in implementation rules of certification.

8.3 Extension of certified products
For extension of the range of products covered by certified products, certificate holder should submit an extension application to certification body.

Based on the technical information related to the extended products provided by the certification applicant, certification body shall check the consistency of the extended products against the certified products and confirm the applicability of the original certification results to the extended products and carry out the additional test or inspection for onsite products based on the differences. After approval, either a separate certificate can be issued or the original certificate can be updated at the request of the certificate holder.

In principle, sample of representative model which is used for full type tests initially is the base sample for evaluation of change.

8.4 Cancellation, suspension and withdrawal of the certificates
Cancellation, suspension and withdrawal of the certificates shall be implemented in accordance with Regulations for Compulsory Product Certification, Implementation Rules for Cancellation, Suspension and Withdrawal of Compulsory Product Certification, and relevant provisions of certification body. The certification body shall determine categories and scope of nonconformance product, and make an announcement of certificates being cancelled, suspended or withdrawn in appropriate manner.

8.5 Use of certificates
Use of certificates shall comply with Regulations for Compulsory Product Certification.

9 Certification mark
The management and use of the certification mark shall follow Regulations for Compulsory Product Certification Mark.

9.1 Design of mark allowed to use
The compulsory certification of telecommunication terminal equipment adopts the certification mark “S&E”.
9.2 Marking method
Standard-size marks and irregular-size pressing/printing marks printed only by CNCA could be adopted.

10 Charge
The certification shall be charged by certification body and laboratory according to national regulation on charge for compulsory products certification.
The certification body shall reasonably determine the specific man-days of charge according to the national regulations on charge of compulsory product certification by man-days in the initial factory verification and follow-up surveillance after certificate granting.

11 Certification responsibility
The certification body shall be responsible for its certification conclusions. The laboratory shall be responsible for its testing results and reports. The certification body and its factory inspector assigned shall be responsible for its factory inspection conclusion. The certification applicant shall be responsible for the authenticity and legitimacy of the documents and samples submitted for certification.

12 Implementation specifications
The certification body shall, according to the principles and requirements of this Rules, develop scientific, reasonable and operable implementation specifications for certification which shall be announced to public for implementation after being reported to CNCA for recording. Implementation specifications shall at least include the following aspects:
(1) Certification procedure and time frame;
(2) Selection on certification mode and relevant requirements;
(3) Specification of division of certification units and relevant requirements;
(4) Requirements on manufacturer classification;
(5) Application materials for certification and relevant requirements;
(6) Requirements on sample inspection (including type test, onsite/market sampling inspection, inspection utilizing manufacturer’s own testing resources);
(7) Requirements on initial factory inspection and post-certification surveillance (including coverage of factory inspection which includes the division of product categories, inspection for manufacturer quality assurance ability and product consistency check, inspection for quality control of manufacturer, key unit components and materials, factory inspection, surveillance frequency and sampling test or inspection of ODM/OEM mode etc.);
(8) Requirements on change of certification (including change of standard version);
(9) List of key unit components and materials;
(10) Requirements on certification technical responsible person;
(11) Reference and requirements on charge;
(12) Procedure and time frame related to technical disputes and complaints.