

强制性产品认证实施细则

Detailed Rules of Product Compulsory Certification

汽车用制动器衬片

Automotive Brake Linings

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0 引言 Introduction

为促进汽车用制动器衬片产品CCC认证的持续有效性、提升产品质量、控制认证风险、便利认证委托人、实施生产企业分类管理，中国建材检验认证集团股份有限公司(以下简称 CTC)依据CNCA-C11-20: 2020《强制性产品认证实施规则 汽车用制动器衬片》(以下简称《规则》)、有关的法律法规和其他相关要求，以及CTC质量手册、程序文件、作业指导书等文件要求，制定并发布本实施细则。

For the purpose of the facilitation to the continuous effectiveness of CCC certification of the brake linings for automobiles, the improvement to product quality, the control to certification risks, the convenience to certification clients and the classified management of production enterprises, these implementation rules are hereby formulated and promulgated by China Building Material Test & Certification Group Co., Ltd (hereinafter referred to as the "CTC"), in accordance with laws and regulations in relation to the *Implementation Rules for Compulsory Product Certification---Brake Linings for Automobiles CNCA-C11-20:2020* (hereinafter referred to as the "rules") and other related requirements, as well as that of the CTC quality manuals, procedure documents, work instructions and the like.

本细则与《规则》共同使用，本细则适用的产品范围、认证依据与《规则》中的有关规定保持一致，并根据中国国家认证认可监督管理委员会(以下简称认监委)发布的目录界定、目录调整等公告实施调整。

These rules shall be jointly used with *the Regulations*, and the product scopes and certification basis applicable hereto shall be consistent with relevant provisions in *the Regulations*, of which the adjustment shall be implemented in accordance with the announcement of the catalog definitions and adjustments as issued by the Certification and Accreditation Administration of China (hereinafter referred to as the "CNCA").

0.1 术语和定义 Terms and Definitions

0.1.1 利用生产企业设备检测(简称TMP方式) Tests of utilizing Equipment of Manufacturers (hereinafter referred to as the "TMP")

由指定检验检测机构的工程师利用工厂检验检测机构的检测设备进行检测，工厂应派检测人员予以协助。由相关指定检验检测机构审核批准出具检测报告。

Where the testing equipment of the factory inspection and testing institution are

applied by the engineers of the designated inspection and testing institutions to carry out the tests, the factories shall assign their testing personnel to assist, and the test reports after the examinations and approvals shall be issued by relevant designated inspection and testing institutions.

0.1.2 生产企业目击检测(简称WMT方式) Witnessed Manufacturers Tests (hereinafter referred to as the “WMT”)

由指定检验检测机构的工程师目击工厂检验检测机构检测条件及工厂检验检测机构使用自己的设备完成所有检测或者针对工厂提交的检测计划, 目击部分检测条件及检测项目。工厂检验检测机构检测人员负责出具原始记录, 并与目击指定检验检测机构工程师一起按规定的格式起草检测报告。由相关指定检验检测机构审核批准出具检测报告。

The engineers of the designated inspection and testing institutions shall witness the inspection conditions of the factory inspection and testing institutions who use their own equipment to complete all the tests or test plans as submitted by the factory, together with some inspection conditions and testing items. The inspection personnel of the factory inspection and testing institutions shall, working with the engineers of the designated inspection and testing institutions, be responsible for issuance of the original records as well as the drafts of the inspection reports according to the prescribed format, and the inspection reports shall be further examined and approved by relevant designated inspection and testing institutions thereafter.

0.2 生产企业分类管理 Classification Management to the Manufacturers

CTC根据生产企业履行认证产品质量主体责任的保障能力、实现程度及诚信状况, 收集、整理认证产品及生产企业的质量信息, 对其进行动态化分类管理。The CTC shall collect and sort out the quality information of certified products and manufacturers with dynamic classified management according to their specific assurance capabilities, realization degrees and credit status to fulfill the main quality responsibilities of certified products.

生产企业分类管理由高到低, 分为 A、B、C、D 四类。

The classified management of the manufacturers shall be divided into A, B, C and D from the high to the low.

0.2.1 分类管理信息的来源 Sources of the Classification Management

Information

CTC主要从以下几方面收集生产企业及认证产品的分类管理信息，在收集过程中，认证委托人、生产者(制造商)、生产企业应予以配合。

CTC collects classification management information of production enterprises and certified products from the following aspects, in which the applicants, producers (manufacturers) and production enterprise shall provide assistance.

1)工厂检查(包括初始工厂检查和获证后跟踪检查)的结论；

Conclusions of the factory inspections (including factory primary inspections and post-certification follow-up inspections);

2)型式试验、监督抽样的检测结果；

Test results of the type tests and supervision sampling;

3)国家级或省级产品质量监督抽查、CCC专项抽查的结论；

Conclusions of the national or provincial product quality supervision sampling and inspections, and CCC special sampling inspections;

4)生产企业对获证后监督的配合情况；

The cooperation of the production enterprises in post-certification supervision.

5)认证产品的质量状况(顾客投诉、媒体曝光、质量安全事故等)；

Quality status of the certified products (customer complaints, media exposures, quality and safety events, etc.);

6)其他质量信息。

Other information.

0.2.2 分类原则 Principles of the Classification

依据 CNCA-00C-003《强制性产品认证实施规则生产企业分类管理、认证模式选择与确定》对获证企业进行分类。具体分类原则见表 1。

The Classification shall be made to the certified enterprises according to the CNCA-00C-003 Implementation Rules for *Compulsory Product Certification--Classification Management on Production Enterprises, and Selection and Determination of Certification Modes*. Table 1 shows the specific classification principles.

表 1 企业分类原则

Table 1 Principles of the Enterprise Classification

企业分类 Enterprise Classification	分类原则 Principle of the Classification	评价准则 Evaluation Criterion
A	<p>(1)近2年内的初始工厂检查、获证后跟踪检查未发现严重不符合项; No material non-conformance discovered in the factory primary inspections and post-certification follow-up inspections in recent 2 years;</p> <p>(2)获证后监督检测未发现不符合项, 国家级、省级的各类产品质量监督抽查结果均 为“合格”; No non-conformance was discovered in the post-certification supervision tests with qualified results of national and provincial product quality supervision and random inspections;</p> <p>(3)企业需有良好的自主设计能力, 企业自有检测资源获得ILAC协议互认的认可机构按照ISO/IEC 17025标准认可的资质; The enterprises shall have good independent design abilities with its own testing resources the Regulations /IEC 17025;</p> <p>(4)按要求积极配合工厂检查; Cooperation with factory inspections as required;</p> <p>(5)检验样品送样及时; Timely delivery of the inspection samples;</p> <p>(6)合规守法、无对社会造成不良影响的质量投诉或事件。 Compliance with laws and no quality complaint or incident of any negative impact on the society.</p>	<p>满足全部 条件 时评价为A To be graded as Class A when all the conditions are met</p>
B	<p>除 A、C、D 类的其它生产企业; Other production enterprises except A, C and D;</p> <p>对没有任何质量信息的生产企业, 其分类定级默认为 B 类。 For the production enterprises without quality information, the classification and grading shall be defaulted</p>	
C	<p>(1) 初始工厂检查、获证后跟踪检查结论判定为“现场验证”的; The conclusions of the factory primary inspections and the post-certification follow-up inspections are evaluated as "Qualified Site Verification";</p> <p>(2)被媒体曝光产品质量存在问题且系企业责任, 但不涉及暂停、撤销认证证书的; The product quality problems have been exposed by the media and are the responsibilities of the enterprises, but do not involve any suspension or revocation of the certificates;</p> <p>(3)认证机构根据生产企业及认证产品相关的质量信息综合评价结果认为需调整为C类的; Enterprises to be adjusted to Class C as deemed necessary by the certification authorities according to the comprehensive evaluation results of the quality information in relation to the production enterprises and the certified products;</p> <p>(4)无正当理由, 不按计划接受工厂检查; Failed to accept factory inspections as planned without any good cause;</p> <p>(5)检验样品或不符合整改材料未在规定时间内寄送。 Inspection samples or corrective materials for non-conformance are not delivered within the specified time.</p>	<p>存在任意1 条时 评价为 C If there is any 1 item, it is evaluated as C</p>
D	<p>(1)初始工厂检查、获证后跟踪检查结论判定为“不通过”的; The conclusions of the factory primary inspections and the post-certification follow-up inspections failed to be qualified.</p> <p>(2)获证后监督检测结果为安全项不合格的; The results of the post-certification supervision test are disqualified;</p> <p>(3)无正当理由拒绝检查和/或监督抽样的; Refusing accept inspections and/or supervision sampling without any good cause;</p>	<p>存在任意1 条时 评价为 D If there is any 1 item, it is evaluated as D</p>

企业分类 Enterprise Classification	分类原则 Principle of the Classification	评价准则 Evaluation Criterion
	<p>(4)被媒体曝光且系企业责任，对产品质量安全影响较大的，可直接暂停、撤销认证证书的； The product quality problems have been exposed by the media and are the responsibilities of the enterprises with any great impact on product safety, to which the suspension or revocation of the certificates are allowed directly;</p> <p>(5)国家级、省级的各类产品质量监督抽查结果中有关强制性产品认证检测项目存在“不合格”的； The inspection items in relation to the compulsory product certification are "disqualified" in the results of random inspections under the national or provincial product quality supervision and tests;</p> <p>(6)认证机构根据生产企业及认证产品相关的质量信息综合评价结果认为需调整为D类的。 Enterprises to be adjusted to Class D as deemed necessary by the certification authorities according to the comprehensive evaluation results of the quality information in relation to the production enterprises and the certified products.</p>	

0.2.3 评价及结果 Evaluation and Results

CTC依据收集的信息、结合分类原则和CTC有关生产企业分类管理作业文件，对生产企业 实施动态化分类管理。分类评价主要依据历次工厂检查、产品检验情况和质量信息，由检查 组提出分类建议，经 CTC依据综合评价情况决定企业最终分类。必要时 CTC 可以依据收集到的其它质量信息情况(如国家、省级和专项监督抽查等)直接对企业进行分类评价。企业有 权获知其分类评价结果。生产企业分类等级仅作为CTC对生产企业管理的依据，企业不得在市 场推广、宣传等活动中使用CTC对其的分类管理的结果，以免误导消费者。

CTC implements dynamic classification management on the production enterprises according to the collected information, combining with the classification principles and related operation documents of CTC on production enterprise classification management. The classification evaluation shall be targeted on the previous factory inspections, product inspections and quality information, of which the inspection team puts forward classification suggestions, and the final classification of the enterprise shall be determined by CTC according to the comprehensive evaluation status. CTC may classify and evaluate the enterprises according to other quality information collected directly (such as national, provincial and special supervision and spot check) when necessary. The enterprises shall be entitled the notices of their classification evaluation results. The classification level of production enterprises shall be applied as the basis of CTC's management on the production enterprises only and any enterprise shall not use the results of CTC's classification management in market

promotion, publicity and other activities against any consumer misleading.

0.2.4 管理原则 Principle of the Management

CTC根据企业的质量信息对生产企业进行分类并实施动态管理,依据分类结果,确定不同的监督方式和频次。原则上生产企业升级时只能逐级升,降级时可直接跨级降级。D类企业在连续2次监督检查后均不存在表1中D栏的任意条款,方可升为C类;C类企业在12个月内不存在表1中C栏的任意条款,方可升为B类。

CTC shall classify the production enterprises with dynamic management according to the quality information of the enterprises, and determine different supervision methods and frequencies according to the classification results thereof. In principle, the stepwise upgradation shall be followed for the enterprise upgradation while the intra-class degradation is allowed for the enterprise degradation. The upgradation to Class C is allowed if there isn't any clause triggered in Class D of Table 1 after two consecutive supervision and inspections and the upgradation to Class B is also allowed if there isn't any clause triggered in Class C of Table 1 after 12 consecutive months.

0.3 生产企业检测资源利用要求 Utilization Requirements of the Production Enterprises Test Resources

0.3.1 范围 Scope

适用于证书扩展和变更时补充的差异试验、获证后监督抽样检测或检查。
Applicable to the discrepancy tests supplemented upon any extension and change of certificates, the supervision sampling tests or the post-certification inspections.

0.3.2 实施 Implementation

如生产企业具备《强制性产品认证实施规则 生产企业检测资源及其他认证结果的利用要求》和认证标准要求的检测设备和检测能力,认证委托人、生产者或生产企业可向认证机构提出利用生产企业检测资源(以下简称工厂检验检测机构)申请,并进行自查。将自查结果及相关资料提交至CTC审查,资料经审核符合要求的工厂检验检测机构,方可利用生产企业检测资源实施生产现场TMP检测或WMT检测(以下简称现场检测)。原则上,CTC不单独组织对工厂检验检测机构的审核。认证委托人的工厂检验检测机构的审核申请应与生产现场检测申请同

时提出。CTC组织指定检验检测机构技术专家同时进行检验检测机构审核和现场检测，审核组先进行检验检测机构能力审核，并保存相应的审核评定记录，合格后进行生产现场检测。

In the even of any production enterprise with the testing equipment and capabilities as required by *the Implementation Rules for Compulsory Product Certification--the Application Requirements for Testing Resources and Other Certification Results of the Manufacturers* as well as the certification standards, the applicants, producers or the production enterprises may apply to the certification authorities for the usage of the testing resources of the production enterprises (hereinafter referred to as the "factory inspection and testing institutions") and self-inspections. The results of the self-examinations and relevant information shall be submitted to the CTC for reviews, and the factory inspection and testing institutions satisfying the requirements after the examinations and verification may apply the testing resources of the production enterprises to carry out the TMP or WMT tests on the production site (hereinafter referred to as the "site tests"). In principle, CTC will not organize the audits to the factory inspection and testing institutions independently. The applications for verification on the applicants' factory inspection and testing institutions shall be submitted with the applications for production site tests together. CTC will organize the technical experts of designated inspection and testing institutions to conduct inspections and site tests on the inspection and testing institutions together, of which the audit team shall first review the abilities of the inspection and testing institutions with corresponding audit and evaluation records, and carry out on-site testing after the qualification.

0.3.3 资格的维持 Maintenance of the Qualification

CTC应对获得批准的工厂检验检测机构进行定期(如每年一次，可根据利用频度确定)的监督。原则上，检验检测机构监督需结合工厂的获证后监督进行。工厂检验检测机构应参加比对试验或能力验证，保证检测结果的准确性和有效性。如生产企业有需求，可针对认证委托人提出的现场检测项目进行单次核查，核查结果只针对本次现场检测项目有效。工厂检验检测机构可以不再进行监督维持资格。再有同项目需现场检测时，应再次申请审核。

CTC shall supervise the approved factory inspection and testing institutions on a regular basis (e.g. once a year and to determined by the utilization frequency). In

principle, the supervision to the inspection and testing institutions shall be conducted in conjunction with the factory post-certification supervision. The factory inspection and testing institutions shall participate in the comparison experiments or capability verification to ensure their accuracy and validity of the test results. If required by any production enterprise to do so, a single inspection may be conducted on the site test items as proposed by the certification applicant and the verification results shall be valid only for the testes items of such inspection, after which the factory inspection and testing institutions is allowed to maintain the qualification without any further supervision. In the event of any site re-test as required to the same items of the aforesaid, application for verification shall be re-submitted.

0.4 其他认证结果利用 Utilization of Other Certification Results

0.4.1 适用范围 Scope of the Application

获得认监委授权并经认可的认证机构颁发的管理体系认证证书及强制性产品认证证书，且证书在有效期内。

Enterprises obtained the management system certificates and the compulsory product certificates within the validity as issued by the certification authorities of CNCA.

0.4.2 理体系认证 Certification of Management Systems

在实施强制性产品认证时，对获得认监委授权的并经认可的认证机构颁发的管理体系认证证书，证书在有效期内的企业，由CTC视实际情况进行评估，做出免于有关质量管理体系的部分条款的审查决定。

Enterprises that have obtained the management system certificates and the compulsory product certificates within the validity as issued by the certification authorities of CNCA shall, during the implementation of the compulsory product certification, be evaluated by CTC as the case may be with decisions to exempt itself from the reviews under some provisions of the quality management systems.

0.4.3 强制性产品认证 Compulsory Product Certification

对于已获得强制性产品认证证书的生产企业，CTC对认证委托人提交的相关资料进行评估，视情况承认企业已有CCC认证工厂检查结果。

Relevant materials submitted by the certification applicants about the manufacturers that have obtained the compulsory product certificates shall be evaluated by CTC with acknowledgement to the inspection results of factories as certified by CCC as the

case may be.

1 适用范围 Scope of Application

本规则适用于汽车用制动器衬片(以下简称衬片)。

These rules herein apply to the brake linings for automobiles (hereinafter referred to as “linings”).

由于法律法规或相关产品标准、技术、产业政策等因素发生变化所引起的适用范围调整，应以认监委发布的公告为准。

Where the scope of application herein is adjusted as a result of changes in laws, regulations or related product standards, technologies, industrial policies and the like, the notices from CNAT shall prevail.

2 认证依据标准 Criterion to Certify

GB 5763 《汽车用制动器衬片》。

GB 5763 Brake Linings for Automobiles

原则上认证检测依据标准应执行国家标准化行政主管部门发布的最新版本。当需增加适用标准或使用标准的其他版本时，则应按认监委发布的适用标准要求的相关公告执行。

The criterion for certification and tests shall be the latest version from the national authorities of standardization administration in principle. Where it is necessary to add an applicable standard or to enforce another version of such standard, relevant notices issued by CNCA for applicable standards shall apply.

3 认证模式 Certification Mode

3.1 认证的基本模式 Basic Certification Mode

实施汽车用制动器衬片产品强制性认证的基本认证模式为：型式试验 + 初始工厂检查+获证后监督；

The basic certification mode to implement compulsory certification of brake linings for automobiles shall be as follows: Type Tests + Factory Primary Inspections + Post-Certification Supervision;

获证后监督方式为获证后的跟踪检查、生产现场抽取样品检测或检查、市场抽样检测或检查三种方式的组合。

The methods of Post-Certification Supervision shall made as any kind of combination among the post-certification inspections, production site sampling tests or inspections, and market sampling tests or inspections.

3.2 认证模式的适用性 **Applicability of the Certification Mode**

按照《强制性产品认证实施规则 生产企业分类管理、认证模式选择与确定》的要求，对不同能力和等级的生产企业所能适用的认证模式予以确认。

The certification authorities shall, in accordance with the *Implementation Rules for Compulsory Product Certification--Classification Management of Production Enterprises, and Selection and Determination of Certification Modes*, confirm the certification modes applicable to production enterprises with different capabilities and levels.

A类和B类：获证后监督可采用获证后的跟踪检查、生产现场抽取样品检测或者检查、市场抽样检测或者检查三种方式之一或者组合。

Category A and B: The methods of Post-Certification Supervision shall made as any kind of combination among the post-certification inspections, production site sampling tests or inspections, and market sampling tests or inspections.

C类、D类生产企业：获证后监督应采用获证后的跟踪检查+生产现场抽样检测或检查的方式，必要时增加市场抽样检测或者检查。

Manufacturer of Category C and D: The methods of Post-Certification Supervision shall made as any kind of combination among the post-certification inspections, production site sampling tests or inspections, and market sampling tests or inspections if necessary.

认证委托人可根据自身实际情况，提出适用认证模式的申请。

The applicants can put forward application appropriate for certification mode based on individual conditions.

CTC根据申请认证产品特点及认证风险控制原则，结合生产企业分类管理结果，决定认证委托人所能适用的认证模式。

CTC confirms the certification modes applicable to applicants based on features of applied certificated products and control principle of certification risk, integrating with classification management results for production companies.

4 认证单元划分 **Classification of the Certification Units**

认证委托人按单元提出认证委托, 认证机构按单元颁发认证证书。在以下主要方面没有差异的衬片产品可划分为同一单元:

The applicants shall initiate the entrustment of certification by units, and the certification authorities shall issue such certification by units thereafter if qualified. Any lining that does not differ in the following key aspects may be classified as the same unit:

(1)衬片适用的车辆类型, 分为 M₁、M₂、N₁、O₁、O₂ 类车辆用衬片和 M₃、N₂、N₃、O₃、O₄ 类车辆用衬片两类;

By types of automobiles for which the linings are applicable to, classified as two types: M₁, M₂, N₁, O₁, O₂, and M₃, N₂, N₃, O₃ and O₄.

(2)衬片适用的制动器类型, 分为鼓式制动器用衬片和盘式制动器用衬片两类;

By types of brake for which the linings are applicable to, classified as two types: drum brake linings and disc brake pads.

(3)衬片的结构和材料。

Components and Materials of the Linings

同一单元中可包含多个“型号(或规格)”的产品。同一型号是指在设计上对标准符合性没有影响的产品。

Any same unit may contain the products of multiple "models (or specifications)". The same model refers to a design of the product does not hinder any standard compliance.

相同生产者(制造商)、不同生产企业生产的相同产品(指具备相同的生产工艺和相同关键零部件/原材料供应商), 或不同生产者(制造商)、相同生产企业生产的相同产品, 可考虑仅在一个单元的样品上进行型式试验, 其他生产者(制造商)/生产企业的产品需提供资料进行一致性核查。

Type Tests for the same products as produced by the same producers (or manufacturers) but different production enterprises, or the same products as produced by different producers (manufacturers) may be considered on the samples of one unit only, and other producers (manufacturers) or manufacturers are required to provide data for the products consistency verification.

在生产企业分类管理的基础上, 对A类企业的单元划分适当放宽。符合以下条件的同一生产者(制造商)、同一生产企业(场所)生产的产品视为一个单元:

On the basis of classified management of production enterprises, the certification authorities may ease the unit classification control to the production enterprises of category A.

(1)衬片适用的车辆类型，分为M₁、M₂、N₁、O₁、O₂类车辆用衬片和M₃、N₂、N₃、O₃、O₄类车辆用衬片两类；

By types of automobiles for which the linings are applicable to, classified as two types: M₁, M₂, N₁, O₁, O₂, and M₃, N₂, N₃, O₃ and O₄.

(2)衬片适用的制动器类型，分为鼓式制动器用衬片和盘式制动器用衬片两类。

By types of brake for which the linings are applicable to, classified as two types: drum brake linings and disc brake pads.

5 认证委托 Entrustment of Certification

5.1 认证委托的提出与受理 Initiation and Acceptance of the Certification

Entrustment

CTC收到委托材料后，依据相关评审要求对委托材料进行符合性审核，如委托材料不符合要求，CTC通知认证委托人补充完善。CTC针对审核结果发出受理或不予受理的通知，与认证委托人签订认证委托协议。

CTC should conduct compliance audit for the commissioned materials according to the relevant assessment requirements after receiving commissioned materials. If the commissioned materials do not meet the requirements, CTC will inform the certification consignor to supply and improve them. CTC will release the acceptance or rejection notice for audit results and sign the certification entrustment agreement with certification consignor.

有下列情形之一的不予受理：

The cases with following circumstances will not be accepted:

(1)认证不符合国家法律法规及相关产业政策要求；

The certification does not meet the requirements of national laws and regulations and relevant industrial policies;

(2)委托人、生产者(制造商)、生产企业的注册证明材料不符合要求或经营范围未覆盖认证产品；

Registration certification materials of consignor, producer (manufacturer) and production enterprise don't meet the requirements or the business range does not cover the certified products;

(3)申请材料不齐全;

The application materials are incomplete;

(4)以ODM/OEM模式委托认证的, 未提供有效的ODM/OEM协议书;

The certification in the form of ODM / OEM mode cannot provide effective ODM / OEM protocol;

(5)其他法律法规及相关要求规定不得受理的情形。CTC应对认证委托材料进行妥善管理、保存, 并负有保密的义务。

The situation cannot be accepted by other laws and regulations and relevant requirements. CTC should have the duty to conduct proper management and preservation, and the obligation of confidentiality for certification commissioned materials.

5.2 申请资料 Documents for Applications

认证委托人应向CTC提交认证委托, 委托材料至少包括:

The certification client shall submit the certification request to CTC. The commission materials shall include at least:

(1)申请书(包括申请/委托认证单位及相关情况调查表、主要生产设备和工厂检测设备情况表、关键零部件/原材料清单、汽车用制动器衬片产品描述、单元内产品差异描述表等);

Application form(including Applicant/Authorized Certification Institute and Relevant Circumstances Investigation Form, Main Manufacturing Equipment Form, Test Equipment Form for Factory, List for Critical Components/Raw Materials, Automotive Brake Linings Product Description, Description of Product Differences Within the Unit Form and so on.)

(2)质量体系文件: 应符合附录1《工厂质量保证能力要求》的规定;

Documents for quality management system: Be in accordance with the regulation of Annex 1 *Requirements on Factory Quality Assurance Capabilities*;

(3)生产一致性控制计划: 应符合附录2《生产一致性控制计划的要求》的规定;

Control Plan of Production Conformity: Be in accordance with the regulation of

Annex 2;

(4)近一年内每个单元典型产品的第三方型式试验报告, 检验项目包含GB 5763《汽车用制动器衬片》标准适用的强制性条款(适用时);

The third-party type test report of the typical products of each unit within the past year. The inspection items contain the compulsory provisions applicable to the standard of GB 5763 *Automotive Brake Lining*;

(5)委托方、生产者(制造商)或生产企业的营业执照(复印件); 对于境外企业应提供其相应的合法注册和/或生产证明资料。

Business license of the client, manufacturer and factory (hard copy). As for overseas companies, it shall provide documents for legal registration and/or production certifications.

(6)认证协议书(一式两份);

Certification Agreement (in duplicate);

(7)如生产企业已获 ISO 9001(GB/T 19001)或 IATF(ISO/TS)16949(GB/T 18305)等质量管理体系认证, 应提供认证证书(复印件);

If the quality management system is certified ISO 9001 (GB/T 19001), or IATF (ISO/TS) 16949 (GB/T 18305) automotive quality management system certification, provide hard copy for system certification certificate (hard copy);

(8)当委托方是销售商、进口商且与生产企业不一致时, 应提交销售商或进口商与生产企业的相关合同副本;

When the client is the seller, the importer and the manufacturer are inconsistent, please submit a hard copy of the relevant contract between the seller and the manufacturer or the importer and the manufacturer;

(9)申请人委托他人申请认证时, 应同时提交委托书、委托合同的副本;

When an applicant entrusts another person to apply for certification, it should also submit a hard copy of the power of attorney and a copy of the contract of entrustment;

(10)其他需要的文件。

Other necessary documents.

认证委托人应确保委托材料齐全、真实、有效, 委托认证的所有产品均能正常生产且符合国家法律法规及相关产业政策的要求。

The certification client shall ensure that the entrusted materials are complete, true and

effective. All the certificated products can be produced normally and conform to the requirements of national laws and regulations and relevant industrial policies.

5.3 实施安排 Arrangements for Implementation

认证流程为：认证委托、受理及合同评审、收费、方案策划、型式试验和初始工厂检查、认证结果评价及批准、认证决定发出和获证后监督等环节。

Certification process: Certification commission, acceptance and contract Review, charge, scheme planning, type test and initial factory inspection, evaluation for certification results and approval, post-certification supervision.

CTC与认证委托人约定双方在认证实施各环节中的相关责任和安排，并根据生产企业实际和分类管理情况，确定认证实施的具体方案并告知认证委托人。

CTC shall agree with the certification applicants on related responsibilities and arrangements of each link in the implementation of the certification, and shall, following the actual and classified management of the production enterprises and in accordance with the requirements of the rules herein and the certification implementation rules, determine specific schemes for the certification implementation and inform the certification applicants thereafter.

6 认证实施 Implementation of Certification

6.1 型式试验 Type Tests

6.1.1 型式试验方案 Schemes for Type Tests

型式试验方案包括样品选取时机及方式、样品要求及数量、抽样/封样和送样要求、检测标准、检测项目、实验室等信息。

The type test scheme contains the timing and method of sample selection, sample requirements and quantities, sampling/sealing and sample delivery requirements, testing standards, testing items, laboratories and other information as well.

6.1.2 型式试验样品要求 Sample Requirements for Type Tests

(1)型式试验的样品由认证委托人按CTC的型式试验方案要求送样品至认监委指定的实验室检测；必要时，CTC也可采取现场抽样/封样方式获得样品。型式试验样品应在委托认证的生产企业确认的合格品中选取或制作，认证单元中只有一个型号的，送本型号的样品。单元中多于一个型号时，CTC将从中选取具有代表性的一个型号，其他型号如需要时进行差异试验。样品数量和检验项

目等详见本细则表2《汽车用制动器衬片产品型式试验项目、数量及检验标准》。

The samples of type tests shall be sent by the certification applicable to the laboratories as designated by CNCA for such tests according to the requirements of CTC type test schemes and CTC may also obtain samples by site sampling/sealing if necessary. The samples of type tests shall be selected or made from the qualified products as confirmed by the applying production enterprises. If there is only one type in the certification unit, the sample of such type shall be submitted. If there are more than one model in the unit, CTC will select a representative model and conduct differential tests for other models when necessary. Please refer to the Type Test Items, Quantity and Inspection Standard on the Products of Brake Linings for Automobiles in Table 2 of these rules.

(2)本细则表2的样品数量不包括若有不符合时加倍复检的备样。备样由认证委托人和/或CTC指定人员封存2倍基本数量的样品用于复检。如备样由认证委托人自行封存样品，则需将自行封存样品的照片(应至少能识别样品批号)提交至CTC。

The quantities of the samples in table 2 of these rules exclude the samples for supplementation which shall be re-inspected doubly in case of any non-conformity. The sample supplementation shall be sealed by the authorized personnel and/or the designated persons of CTC at 2 times of the basic sample quantity for re-inspections. If the samples are self-sealed by the applicants, photos of the self-sealed samples (at least identifying the lot numbers of the samples) shall be submitted to CTC.

(3)对于需要补充差异试验的样品数量以CTC最终确认的型式试验方案为准。

The quantities of samples to be supplemented for differential tests shall be subject to the type test schemes as finally confirmed by CTC.

(4)认证委托人应保证其所提供的样品与实际生产产品的一致性。CTC指定人员负责将样品信息及时传递给指定实验室。

The applicants shall ensure that the samples provided by him are consistent with the products actually produced. The personnel as designated by CTC shall be responsible for timely notices of sample information to the designated laboratories.

(5)对需要送指定实验室实施型式检验的样品，原则上生产企业应在封样后30天内将样品送达到指定实验室。逾期未将样品送达的，需向CTC提交延迟送样的充分理由；超过60天未送达样品者，以不予注册处理。

For the samples to be sent to the designated laboratories for type tests, the manufacturers shall send the samples to the designated laboratories within 30 days upon the sample sealing in principle. Where the samples are not delivered within the time limits, sufficient reasons for delayed sample delivery shall be submitted to CTC; Where the samples fail to be delivered within 60 days, no registration or acceptance shall be made.

(6)指定实验室收到样品后，应根据样品信息和检验委托书对样品进行确认。如发现样品未及时送达，指定实验室应及时通知委托人和CTC。

The samples shall, upon receipts of the samples by the designated laboratories, be confirmed according to the sample information and application letters. In the event that a sample is not delivered timely, the designated laboratories shall timely notify the applicants and CTC thereafter.

(7)当确认型式试验结果为不合格时，指定实验室须将试验情况通报CTC，CTC 负责通知认证委托人，启用备样进行复检，备样可只对原型式试验不合格的项目进行复检。当复检 样品与原型式试验样品不一致时，复检应包含全部检验项目。

When the type test results are disqualified, the designated laboratories shall report the test status to CTC, and CTC shall inform the applicants to enable the sample supplementation for re-inspections. The supplemented samples shall be used to carry out the re-inspections for the disqualified items in the original type tests only. If the samples submitted for re-inspections are inconsistent with the samples of original type tests, the re-inspections shall introduce all the inspection items.

(8)如复检合格，型式试验通过；如有未按试验方案送样的或复检仍不合格的，终止认证。认证委托人也可主动终止本次认证委托，待完成整改后，重新提出认证委托并重新进行型式 试验。

In the event that the re-inspections are qualified, the type tests are qualified. The certification shall be terminated if the samples are not submitted according to the test schemes or remain disqualified after re-inspections. The applicants may also terminate the certification entrustment on its own initiative, which shall be re-initiated with type test after completion of the rectification.

6.1.3 型式试验项目 Items of the Type Tests

型式试验项目、数量及检验标准见表2《汽车用制动器衬片产品型式试验项

目、数量及检验标准》。

The Test Items, quantity and inspection standards are shown in Table 2 Items, *Quantity and Inspection Standard of the Type Test on the Brake Linings for Automobiles*.

表2 汽车用制动器衬片产品型式试验项目、数量及检验标准

Table 2 Items, Quantity and Inspection Standard of the Type Test on the Brake Linings for Automobiles

序号 No.	产品单元 Unit of Products	型式试验项目/样品数量(片) Type Test Items/Sample Quantity (pcs)		样品数量合计 Total Quantity of the Sample	检验标准 Test Standard
1	M ₁ 、M ₂ 、N ₁ 、O ₁ 、O ₂ 类 车辆用盘 式制动器衬片 Disc brake linings for vehicles type M ₁ , M ₂ , N ₁ , O ₁ and O ₂	1	石棉成份含量/1 Asbestos content/1	4片(非粘结型) 4 pieces (Non-Bonding) 9片(粘结型) 9 pieces (Bonding)	GB 5763-2018
		2	有害元素含量/1 Hazardous element content/1		
		3	摩擦性能/2 Frictional performance /2		
		4	剪切强度(粘结型)/5 Shear strength (bonding)/5		
2	M ₁ 、M ₂ 、N ₁ 、O ₁ 、O ₂ 类 车辆用鼓 式制动器衬片 Drum brake linings for vehicles type M ₁ , M ₂ , N ₁ , O ₁ and O ₂	1	石棉成份含量/1 Asbestos content /1	7片(非粘结型) 7 pieces (Non-Bonding) 12片(粘结型) 12 pieces (Bonding)	GB 5763-2018
		2	有害元素含量/1 Hazardous element content/1		
		3	摩擦性能/5 Frictional performance /5		
		4	剪切强度(粘结型)/5 Shear strength (bonding)/5		
3	M ₃ 、N ₂ 、N ₃ 、O ₃ 、O ₄ 类 车辆用盘 式制动器衬片 Disc brake linings for vehicles type M ₃ , N ₂ , N ₃ , O ₃ and O ₄	1	石棉成份含量/1 Asbestos content /1	4片(非粘结型) 4 pieces (Non-Bonding) 9片(粘结型) 9 pieces (Bonding)	GB 5763-2018
		2	有害元素含量/1 Hazardous element content/1		
		3	摩擦性能/2 Frictional performance /2		
		4	剪切强度(粘结型)/5 Shear strength (bonding)/5		
4	M ₃ 、N ₂ 、N ₃ 、O ₃ 、O ₄ 类 车辆用鼓 式制动器衬片 Drum brake linings for vehicles type M ₃ , N ₂ , N ₃ , O ₃ and O ₄	1	石棉成份含量/1 Asbestos content /1	4片(非粘结型) 4 pieces (Non-Bonding) 9片(粘结型) 9 pieces (Bonding)	GB 5763-2018
		2	有害元素含量/1 Asbestos content /1		
		3	摩擦性能/2 Frictional performance /2		
		4	剪切强度(粘结型)/5 Shear strength (bonding)/5		

6.1.4 型式试验的实施 Implementation of Type Tests

CTC向指定实验室下达检验委托书，指定实验室应依据国家有关管理规定和CTC的相关流程要求，在规定时间内完成样品检测，确保检测结论真实、准确。
The inspection proxy shall be issued by CTC to the designated laboratories, which shall complete the sample tests within the specified time in accordance with relevant national management regulations and related process requirements of CTC to ensure the authenticity and accuracy of the test conclusions.

指定实验室应建立、保持对检测过程实施控制的可追溯体系。当型式试验过程发现异常情况时，应及时与CTC沟通，并依据CTC的要求做出相应处理。型式试验结束后，指定实验室应以适当的方式处置已经确认为合格或不合格的样品，并归档保存相关记录和资料。

The designated laboratories shall establish and maintain a traceability system for the control of the testing process. The communication shall be made timely with CTC upon any abnormal condition discovered during type tests, and corresponding treatment shall be adopted according to the requirements of CTC. The designated laboratories shall, upon the completion of the type tests, dispose the confirmed qualified or unqualified samples in an appropriate manner and document relevant records and materials.

若有试验项目不合格，允许在对不合格产生原因分析后进行整改，整改完成后重新进行试验。凡需重新试验的，实验室须将试验情况通报CTC，由CTC重新确认试验方案。

Rectification and re-test shall be allowed after the cause analysis to the disqualified products upon any disqualified test item and in such case, the laboratories shall inform CTC of the test status, and the CTC shall re-confirm the test schemes thereafter.

6.1.5 型式试验报告 Reports of the Type Tests

型式试验结束后，指定实验室应按CTC认可的格式出具一式两份型式试验报告，并在规定的时限内送达CTC。指定实验室应确保型式试验报告的正确性和真实性。指定实验室应对型式试验报告的内容及正确性负责，对检测结果保密。认证委托人应保存型式试验报告原件至少24个月，在获证后监督时应能向CTC和执法机构提供完整有效的型式试验报告。

The designated laboratories shall, after the completion of the type tests, issue one

copy of the type test reports in the format as approved by CTC and serve to CTC within the prescribed time limits. The designated laboratories shall ensure the correctness and authenticity of the type test reports and shall be responsible for the content and correctness of the type test reports with confidentiality to the test results. The applicant shall keep the original type test reports for at least 24 months and shall be capable to provide the complete and valid type test reports to CTC and law enforcement agencies during post certification supervision.

6.2 初始工厂检查 Initial Factory Tests

初始工厂检查是CTC对工厂的生产一致性控制体系是否符合认证要求的评价。按生产一致性控制计划审查+生产一致性工厂现场检查方式进行。现场检查时，生产企业应确保拟认证范围内的产品处在正常生产的状态。

The factory primary inspections refer to the evaluation by the certification authorities on whether the factories' production consistency control systems satisfy the certification requirements, which shall be conducted through the examinations of production consistency control plans + on-site inspections of production consistency. The manufacturers shall ensure that the products within the scope of the initiated certification are in the normal production condition during the site inspections.

6.2.1 基本原则 Basic Principles

(1)生产者或生产企业应按照附件2的要求，建立、实施并持续保持其生产一致性控制体系，以确保认证产品持续满足强制性产品认证要求。初始工厂检查原则上应在型式试验合格后一年内完成，否则应重新进行产品型式试验。

The producers or manufacturers shall, in accordance with the requirements in Annex 2, establish, implement and maintain their production consistency control systems to ensure the continuous consistency of the certified products with the requirements of the compulsory product certification. In principle, the factory primary inspections shall be completed within one year after passing the type tests, or otherwise the product type shall be retested.

(2)初始工厂检查应覆盖委托认证产品所涉及的全部生产场所和单元。当企业有生产过程分包时，可对生产企业以外的分包场所实施延伸检查。

The factory primary inspections shall cover all production sites and units involved in the applied products for certification. Where any enterprise are subcontracting the production process, such enterprise may carry out the extended inspections to the

subcontracting site other than the production enterprise.

(3)对ODM模式生产企业的检查依据《强制性产品认证实施规则中涉及ODM模式的补充规定》等规范性文件执行。

The inspection of ODM manufacturers shall be carried out in accordance with normative documents such as the Supplementary Provisions on *ODM Mode for the Implementation Rules of Compulsory Product Certification*.

6.2.2 生产一致性控制计划审查 Examination on the Production Conformity Control Plans

(1)生产者或生产企业应按附件2的要求制定生产一致性控制计划，并提交CTC进行审查。CTC应将审查结果告知认证委托人。

The factories shall develop their own production consistency control plans as required in Annex 2 and submit to CTC for examinations, who shall inform the factories of the examination results thereafter.

(2)若生产一致性控制计划能够满足要求，审查通过。若生产一致性控制计划不能满足要求，生产者或生产企业应进行整改并重新提交。CTC重新审查后将审查结果告知认证委托人。

Where the requirements in Annex 2 of these rules are satisfied by the production consistency control plans, such production conformance control plans shall be reviewed and approved. Where the certification authorities consider that the production consistency control plans fail to satisfy the requirements, the factories shall rectify and resubmit for examinations thereafter, and CTC shall inform the applicants of the results after re-examinations.

(3)生产一致性控制计划审查通过后，CTC根据其编制生产一致性工厂现场检查方案，方案应包括检查的产品、场所及范围等。

After the examinations and approvals to the production consistency control plans, CTC shall prepare their site inspection schemes for the production consistency control according to the production consistency control plans, which shall detail the products, sites and scopes of the inspections.

6.2.3 生产一致性工厂现场检查 On-Site Inspections for Production Conformity

一般情况下，型式试验合格和生产一致性控制计划审查合格后，再到工厂现场进行生产一致性现场检查。根据需要，型式试验和工厂现场检查也可以同时进

行。

Generally, the factory site inspections for the production consistency shall be carried out after passing the type tests and the examinations of the production consistency control plans, and then the factory site inspections for the production consistency. The type tests and factory site inspections may also be carried out at the same time if necessary.

CTC将委派具有国家注册资格的强制性产品认证检查员组成检查组，按照附件2对认证产品的生产一致性控制情况进行现场检查。检查时，生产企业应有委托认证的产品在生产。必要时，认证机构可到生产企业以外的场所实施延伸检查。CTC shall appoint their inspectors with national registration qualifications for compulsory product certifications to form inspection teams and conduct the on-site inspections for the production consistency control of certified products in accordance with Annex 2. The producers are required to produce the products for entrusted certification during the inspections and the certification authorities may conduct extended inspections at the places other than where the production enterprises is when necessary.

工厂现场检查时，工厂检查组应在认证产品的生产线末端或仓库，随机抽取已经检验合格的产品，进行包括但不限于下述内容的检查：

During the site inspections to the factories, the factory inspection teams shall sample the certified products at the ends of the production lines or the warehouses for inspections randomly, which shall includes but not limited to:

(1)认证产品的结构及参数(包括型号规格和关键零部件);

Verify the structure and parameters of the products (including the model specifications and key components);

(2)认证产品现场指定试验(从生产一致性控制计划中选取)。

Specified site tests on the certified products (sampled as per the production consistency control plans).

6.2.4 生产一致性工厂现场检查结果 Results of the On Site Inspections for Production Conformity

工厂检查结果通常分为“工厂检查通过”、“书面验证通过”、“现场验证通过”、“工厂检查不通过”四种。其中“工厂检查通过”是指工厂检查未发现不合格项；“书面验证通过”指存在不符合项，工厂在规定的期限内采取纠正措施，报CTC书面

验证有效后，工厂检查通过；“现场验证通过”指存在不符合项，工厂在规定的期限内采取纠正措施，CTC派检查组到工厂现场验证有效后，工厂检查通过。

The factory inspection results are usually divided into "Qualified by Inspections", "Qualified by Written Verification", "Qualified by Site Verification" and "Disqualified by Factory Inspections", among which the reference of "Qualified by Inspections" means no nonconforming items found in the factory inspection; the reference of "Qualified by Written Verification" means that the nonconformity is discovered with corrective measures within the prescribed time limits by the factories, which is verified as effective by CTC through written verification; and the reference of "Qualified by Site Verification" means that the nonconformity is discovered with corrective measures within the prescribed time limits by the factories, which is verified as effective by CTC through site inspections.

工厂检查不符合项分为“一般不符合项”和“严重不符合项”两类。其中，“一般不符合项”指可能对认证产品质量产生轻微影响的不符合项，“严重不符合项”指认证产品在生产制造或检验过程中存在严重的质量问题，以及关键零部件/材料等与认证批准结果不一致且较为严重的不符合项。不符合项整改时间不得超过3个月，若逾期不能完成整改，或整改结果不合格，检查结果不通过。

The factory inspection non-conformity are classified into "General Non-conformity" and "Material Non-conformity", of which the reference of "General Non-Conformity" means a non-conformity which may post a slight effect on the quality of the certified products, and the reference of "Material Non-conformity" refer to the material quality problems discovered in the manufacturing or inspection process of the certified products, as well as the relatively material non-conformity like the key parts/materials that are inconsistent with the certified results. The rectification time for the non-conformance item shall not exceed 3 months and if the rectification fails to be completed within the time limits, or the rectification results remain disqualified, the inspection result shall be disqualified.

“工厂检查不通过”是指工厂检查发现生产一致性控制计划的执行情况与生产一致性控制计划存在严重偏差，或实际生产产品的结构及参数与型式试验样品一致性存在重大差异时，终止本次检查。具体例如：

The reference of "Disqualified by Factory Inspections" means that the inspections shall be terminated when deviations between the implementation of the production

consistency control plans against the production consistency control plans are discovered, or there are significant differences in terms of consistency between the structures and parameters of the actual products and the samples tested. For example:

(a)关键资源不满足要求，难以保证产品一致性或产品与标准的符合性的；

The key resources failed to satisfy the requirements, and further failed to ensure the consistency of the products or the conformity of the products with the standards;

(b)产品一致性存在较为严重的问题，导致产品不符合标准要求，如产品的结构和材料、关键零部件/原材料变更不符合规定要求或指定试验结果为不合格的；

There are material problems in the consistency of products, resulting in the failures of the products to satisfy the requirements of the standards, such as the failures of the product structures and materials, key parts/raw materials to satisfy the requirements or the designated test results thereof are disqualified;

(c)认证产品存在缺陷，可能导致质量安全事故的；

Defects of the certified products that may lead to quality and safety events are discovered;

(d)认证产品的变更及一致性控制未有效实施，造成产品不一致且质量保证能力系统 性失效的；

The change and consistency control of the certified products are not effectively implemented, resulting in the inconsistency of products and systematic failures of quality assurance capabilities;

(e)存在其它直接危及产品一致性或产品与标准的符合性的严重不符合项的。

There are other material non-conformity which directly threaten the conformity of the products, or the conformity of the products with the standards.

6.2.5 初始工厂检查时间 time of Initial Factory Inspection

(1)生产一致性控制计划的审查时间根据申请认证产品的单元数量确定，并适当考虑生产企业的生产规模，一般每个生产企业为1~2个人日。

The examination time of the production consistency control plans shall be determined according to the number of units to certify, with the proper consideration to the production scale of the production enterprises. Generally, each production enterprise shall wait for 1 to 2 working days.

(2)生产一致性工厂现场检查时间根据所委托认证产品的单元数量确定，并

适当考虑工厂的生产规模，一般每个工厂为2~4个人日，可与生产一致性控制计划的审查时间合并调整。

The on-site inspection time for the production consistency shall be determined according to the number of units to certify, with the proper consideration to the production scale of the production enterprises. Generally, each production enterprise shall wait for 2 to 4 working days.

(3)当生产企业在同一质量保证体系下存在多个生产现场时，检查应覆盖所有现场,原则上每增加一个现场增加0.5个人日。

If there are more than one production sites in the same quality assurance system, the inspection shall cover all the production sites. In principle, 0.5 working days shall be added for each additional site.

(4)对ODM生产者(制造商)进行现场检查时，每个ODM检查一般不超过0.5个人日。

When a site inspection on the ODM producers (manufacturers) is carried out, each ODM inspection shall not exceed 0.5 working days generally.

(5)生产企业已获得国家认可的机构颁发的质量管理体系认证证书、且证书有效并覆盖认证产品的，可适当减少人日。

The days of enterprises obtained the quality management system certificate as issued a national authorized institution which is valid to the certified products may be reduced appropriately.

(6)总的初始工厂现场检查人日数不得超过6个人日。

The total days of site inspectors in any original factory shall not exceed 6.

6.3 认证评价与决定 Evaluation and Determination of the Certification

CTC对型式试验结果、初始工厂检查的结论和有关资料/信息进行综合评价，如评价结论为通过，按单元颁发认证证书；如评价结论为不通过，认证终止。

The certification authorities shall comprehensively evaluate the results of the type tests and relevant data or information, and where the results pass the evaluations, the certification certificate shall be issued by units; where the evaluation fails, the certification will be terminated.

6.4 认证时限 Time Frame of the Certification

自正式受理认证委托之日起至颁发认证证书之日止，一般不超过90天，包括

型式试验、初始工厂检查、检查后提交报告、认证结果评价与批准，以及证书制作的时间，其中：

Generally, the certificates shall be issued to the certification applicants within 90 days upon the receipts of the certification entrustment if qualified, including type tests, factory primary inspections, post-inspection report submission, evaluation and approval of the certification results, and the time of the certificate production, of which:

(1)受理：CTC自收到认证委托人申请资料之日起，3个工作日内完成对申请材料的完整性和信息的充分性审核，如申请材料符合要求，CTC向认证委托人发出受理通知，与认证委托人签订认证委托协议；如申请材料不符合要求，CTC向认证委托人发出不予受理通知并说明原因，要求认证委托人补充完善；

Acceptance: CTC shall complete the examination of the completeness and adequacy of the application materials within 3 working days upon the receipts from the applicants. In the event that the application materials satisfy the requirements, CTC shall send the acceptance notice to the applicants and sign the certification entrustment agreements with the applicants thereafter; In the event of any failure of the application materials to satisfy the requirements, CTC shall issue the notices of rejection to the applicants with detailed reasons, requiring the applicants to supplement and complete such materials;

(2)检查项目通知书下达：自CTC发出受理通知之日起，10个工作日内完成工厂检查组安排并向其检查组长下达检查项目通知书；

Notification of the inspection items: the factory inspection teams shall, within 10 working days upon the issuance of the notices of acceptance by CTC, be arranged with the inspection item notices to the inspection team leaders.

(3)文件审查：自检查项目通知书下达之日起，10个工作日内完成“生产一致性控制计划(含工厂质量保证能力)”文件审核，若文件审查不通过，通知认证委托人不符合内容，要求认证委托人进行整改并重新提交；

Document review: the document of "Production consistency Control Plan (covering factories' quality assurance capabilities)" shall, within 10 working days upon the issuance of the notices of inspection items, be reviewed. If the document is disapproved, the applicants shall be notified with the content of such non-conformance, requiring the applicants to make rectification with re-submission;

(4)初始工厂检查：文件审核通过后，20个工作日内完成“生产一致性控制计划执行情况”现场检查；

Initial Factory Inspection: the on-site inspection on the "Implementation of Production Consistency Control Plans" shall be completed within 20 working days upon the review approvals to the documents;

(5)型式试验：检测实验室在收到检测样品后，20个工作日内完成检测并出具检测报告，若检测项目有不合格需要复检时，按复检样品收到时间算起；

Type tests: The test laboratories shall complete the tests and issue the test reports within 20 working days upon the receipts of the test samples. If the test items are disqualified and the re-inspections are required, such date shall be counted from the receipts of the re-inspected sample;

(6)认证决定及出具证书：收到型式试验报告及工厂检查组提交的完整检查材料后，CTC技委会在3个工作日内完成认证结果评价并做出认证决定，认证决定批准后2个工作日内出具认证证书。

Determination of the certification and certificate issuance: CTC Technical Committee shall complete the evaluation of the certification results and make the certification decision within 3 working days upon the receipts of the type test reports and the complete inspection materials as submitted by the factory inspection teams, and issue the certificates within 2 working days after the approval thereof.

以上认证活动完成时间，不包括复试检测时间。因委托人未能按计划接受检查、未按规定时间递交不符合整改材料或未能及时寄送检验样品、未及时缴纳费用所延误的时间不计算在内。

The completion time of the above certification activities excludes the time of the second tests. Any timed delayed any the failure of the applicants to accept the inspections as scheduled, to supplement the rectification materials for non-conformance or to submit the inspection samples timely or to pay off the fees timely shall not be counted for such days.

本细则没有明确规定的其他认证流程及时限，以CTC相关文件要求为准。认证委托人、生产者(制造商)、生产企业应对认证实施工作予以配合和协助，在规定的时限内完成认证活动。

Other certification procedures and time limits not specified in these rules shall be subject to relevant requirements of CTC documents. The applicants, producers

(manufacturers) and production enterprises shall cooperate and assist in the certification implementation and complete the certification activities within the prescribed time limits.

7 获证后监督 Post-Certification Supervision

获证后监督是认证机构对获证产品及其生产企业实施的监督,包括所有认证产品和加工场所的获证后的跟踪检查、生产现场抽取样品检测或者检查、市场抽样检测或者检查方式的任意组合。获证后监督方式的选择见表3。

The post-certification supervision refers to the supervision carried out by the certification authorities on the certified products and their production enterprises, including any combination of post-certification inspections on all certified products and processing sites, sites sampling tests or inspections, market sampling tests or inspections, of which the options are indicated in Table 3.

表3 获证后监督方式的选择

Table 3 Options for Post-Certification Supervision

企业分类 Enterprise Classification	频次 Frequency	通知/不通知 With/Without Notices	获证后监督内容 Content of Post-Certification Supervision		
			跟踪检查 Audit Trail	生产现场抽样检测 Sampling Test on Production Site	市场抽样检测 Market Sampling Tests
A类 Class A	1次/2年 1 time/2 years	通知 With notices	必做(部分要素) Compulsory (partial elements)	二选一 One out of the Two	
B类 Class B	1次/1年 1 time/1 year	优先不通知 Without notices at priority	必做(部分要素) Compulsory (partial elements)	二选一 One out of the Two	
C类 Class C	至少1次/1年 At least 1 time/1 year	优先不通知 Without notices at priority	必做(全要素) Compulsory (All the elements)	必做 Compulsory	必要时 When necessary
D类 Class D	至少2次/1年 At least 2 times/1 year	不通知 Without notices	必做(全要素) Compulsory (All the elements)	必做 Compulsory	必要时 When necessary

注：全要素跟踪检查是指包含“工厂质量保证能力要求”的全部条款；部分要素跟踪检查是指“工厂质量保证能力要求”的4个必查条款(第3、4、5、9条款)+1个选查条款(第1、2、6、7、8条款)；一个认证周期内应覆盖所有选查条款。

Note: The audit trail on all the elements refers to all the clauses included by the "Requirements on Factory Quality Assurance Capabilities", while the audit trail on partial elements refers to the four clauses included by the "Requirements on Factory Quality Assurance Capabilities" (clauses 3, 4, 5 and 9) and one optional inspection clause (clauses 1, 2, 6, 7 or 8). All the inspection terms shall be covered within one certification cycle.

7.1 获证后的跟踪检查 Post-Certification Follow-Up Inspections

7.1.1 获证后的跟踪检查原则 Principle for Post-Certification Follow-Up Inspections

CTC在生产企业分类管理的基础上,对获证产品及其生产企业实施有效的跟踪检查,以验证生产企业的质量保证能力持续符合认证要求、确保获证产品持续符合标准要求并保持与型式试验样品的一致性。

The CTC shall, on the basis of the classification management on production enterprises, carry out effective follow-up inspections on the certified products and their producers, to ensure the continuous compliance of the quality assurance abilities of production enterprises with the certification requirements, so that the certified products will continuously satisfy the standard requirements and maintain the consistency with the tested samples.

获证后的跟踪检查应在生产企业正常生产时,优先选择不预先通知被检查方的方式进行。对于非连续生产的产品,认证委托人应向CTC提交相关生产计划,便于获证后跟踪检查的有效开展。

The post-certification follow-up inspections shall be conducted in the normal production of the production enterprises without any prior notice to the inspected party. For products which are not produced continuously, the certification applicants shall submit relevant production plans to the certification authorities to facilitate the effective implementation of the post-certification follow-up inspections.

7.1.2 获证后的跟踪检查内容 Content of Post-Certification Follow-Up Inspections

获证后的跟踪检查内容包括:

The contents of the follow-up inspection after certification include:

(1)生产一致性控制计划执行情况现场检查;

On-site inspections of implementation for COP control plan;

(2)生产一致性控制计划执行报告检查;

Implementation Report for COP control plan;

(3)认证产品的结构及参数检查;

Verify structure and parameters of the products;

(4)产品一致性检查及现场指定试验(同6.2.3条);

Inspections for COP and on site designated test (the same as 6.2.3);

(5)认证标志和认证证书的使用情况;

Certification Mark and use of certificate;

(6)前次工厂检查不符合项的整改措施及其有效性的验证(适用时)。

The rectification measures of the non-conformance items in the previous factory inspection and the verification of their effectiveness (when applicable).

7.2 生产现场抽检测或者检查 Production Site Sampling for Tests or Inspections

7.2.1 生产现场抽取样品检测或者检查原则 Principle for Production Site

Sampling for Tests or Inspections

原则上, 每次监督时应随机抽取每个单元的一个代表性产品。

In principle, a representative product of each unit should be randomly selected during each supervision.

采取生产现场抽取样品检测或检查方式实施获证后监督的, 认证委托人、生产者、生产企业应予以配合

Where a post-certification follow-up inspection is done by means of on-site sampling for tests or inspections, the authentication applicants, the producers (manufacturers) and the production enterprises shall provide assistance.

7.2.2 生产现场抽取样品检测或者检查内容 Content of Production On-Site

Sampling for Tests or Inspections

(1) CTC根据企业分类、认证风险、产品特点等实际情况, 制定生产现场抽样检测或检查方案, 方案应包括抽样/封样要求、检测标准及项目等。检测要求应按照认证依据标准和国家认监委技术专家组的相关技术决议执行, 必要时也可视风险, 增加抽样检测项目或减少抽样检测的样品数量。

CTC should formulate sampling detection or inspection scheme, which includes sampling / sealing requirements, testing standards, items and so on, for production

site according to the actual situation of enterprise classification, certification risk, product characteristics and so on. Detection requirements should be decided to conduct according to certification basis standard and the relevant technologies of technical expert group in Certification and Accreditation Administration of China, and the detection items of sampling should be increased and sample number of sampling detection should be reduced according to the risks when it is necessary.

(2) 由CTC指定人员在工厂生产线、仓库或口岸(仅限境外获证工厂)等地,从经生产者/企业确认的合格产品中按抽样检测方案抽取样品,生产者或生产企业应在CTC抽样后在规定期限内寄出样品。

CTC designated personnel should take samples according to the sampling detection scheme from the qualified products confirmed by the manufacturer / enterprise in the factory production line, warehouse or port (only for overseas certified factories) and so on. The manufacturer / enterprise should send out samples in the prescribed time limit after the CTC sampling.

(3) 如生产企业具备《强制性产品认证实施规则 生产企业检测资源及其他认证结果的利用要求》和认证标准要求的检测条件,并符合本细则0.3条的要求,可利用生产企业检测资源实施生产现场抽样检测(或目击检测),并由指定实验室出具检测报告。

In the event that a production enterprise has satisfied the test conditions as required by the *Implementation Rules for Compulsory Product Certification-- the Application Requirements for Testing Resources and Other Certification Results of the Manufacturers* as well as the certification standards, the certification authorities may use the testing resources of the production enterprise to conduct the on-site sampling tests (or visual tests), and the designated laboratories shall issue the test reports thereafter;

(4) 同一生产企业利用工厂资源检测连续五年的,原则上应送样至指定实验室检测,避免系统性风险。

The samples shall be submitted to the designated laboratories for tests in principle so as to avoid systematic risks if the same manufacturer uses factory resources for testing for five consecutive years.

7.3 市场抽样检测或者检查 Market Sampling Tests or Inspections

7.3.1 市场抽样检测或者检查原则 Principle for Market Sampling Tests or

Inspections

CTC根据企业分类管理及认证风险情况，必要时，对A、B、C、D类企业进行市场抽样。采取市场抽样检测或者检查方式实施监督的，认证委托人、生产者(制造商)、生产企业应予以配合，并对从市场抽取的样品予以确认。

CTC should conduct market sampling for A, B, C, D enterprises when it is necessary, according to enterprise classification management and certification risk situation. When market sampling inspection or inspection is adopted for the implementation of supervision, the certification consignor, producer (manufacturer) and manufacturing enterprise should cooperate and confirm for the selected samples from market.

7.3.2 市场抽样检测或者检查内容 Content of Market Sampling Tests or

Inspections

CTC根据企业分类管理及认证风险情况，必要时，制定市场抽样检测或者检查方案，从型式试验检测项目中选取部分或全部项目进行抽样检测，并对产品一致性进行核查。由CTC指定人员在市场销售的(包括整车厂、4S店、经销商或用户处等)认证产品中按抽样检测方案随机抽取样品，送指定实验室进行检测或者检查。

CTC should formulate market sampling detection or inspection scheme, select some or all items for sampling detection from test items from type test and conduct inspection for products when it is necessary, according to enterprise classification management and certification risk situation. Samples should be selected randomly and be sent to the designated laboratory for detection or inspection according to sampling detection scheme from the certified products sold in the market (including vehicle manufacturers, 4S stores, dealers or user department and so on).

7.4 获证后监督的频次和时间 Frequency and Duration of Post-Certification Supervision

7.4.1 获证后监督的频次 Frequency of Post-Certification Supervision

原则上按第7条执行。

It shall be carried out according to the Article 7 in principle.

7.4.2 增加监督频次的情况 Added Supervision Frequency

当出现以下情况时，在基本监督频次的基础上增加监督频次：

When it comes to the following situations, the supervision frequency should be added on the basis of basic supervision frequency:

(1) 获证产品出现严重质量问题(如发生国抽、省抽、专项抽查不合格等)或用户提出投诉且造成较大影响，经查实为认证委托人/生产者(制造商)/生产企业责任的；

When the certified products have serious quality problems (such as the unqualified products in national sampling inspection, provincial sampling inspection, special sampling inspection and so on) or users put forward complaints and cause huge influence, which are the responsibilities of certification consignor / producer (manufacturer) / manufacturing enterprises after inspection;

(2) CTC对获证产品与标准安全要求的符合性提出质疑时。

When CTC puts forward query on the compliance of certified products and standard safety requirements.

7.4.3 获证后监督的时间 Time of Post-Certification Supervision

获证后监督的时间，根据获证产品种类、获证单元数和工厂规模安排检查人日数，原则上每次检查人日数为1-3个人日，企业存在多现场时应适当增加人日数。

After certification, the number of inspector and day should be arranged according to the kinds of certified products, number of certified units and size of factories. In principle, the number of inspector and day for each inspection should be 1-3 person per day. When the enterprise has multiple sites, the number of inspector and day should be added appropriately.

当存在ODM情况时，对每个ODM制造商增加0.25个人日，但总数不超过1个人日。

When there is an ODM condition, the number of inspector and day should be added 0.25 person per day, but the total number should not exceed 1 person per day.

获证后的跟踪检查原则上应在生产企业正常生产时进行，正常生产的产品应覆盖有效证书的相关种类产品。

In principle, when the production enterprise is in normal production, the follow-up inspection after certification should be conducted. The products in normal

production should cover the related products with valid certificate.

7.5 获证后监督的记录 Records of Post-Certification Supervision

CTC应当对获证后监督全过程予以适当记录并归档留存，以保证认证过程和结果具有可追溯性。

The certification authorities shall properly record, file and maintain the complete process of post-certification supervision to ensure the traceability of the certification process and results.

7.6 获证后监督结果的评价 Evaluation of Post-Certification Supervision Results

7.6.1 获证后监督检查的结果 Results of Post-Certification Supervision

获证后监督检查的结果通常分四种，同6.2.4。

The result of supervision and inspection after certification should be divided into four kinds, same as 6.2.4.

此外，当发现以下行为时，监督检查的结果判定“不通过”：

In addition, when the following behaviors are found, the result of supervision and inspection will be judged as “failed”:

(a)非法使用CCC标志或证书的。主要情况有：伪造、变造、出租、出借、冒用、买卖、转让CCC标志或证书，以及盗用CCC标志；在获知证书被撤销或暂停后，继续使用 CCC 标志或证书；在未获得CCC证的产品上故意加施CCC标志；

Illegal use of CCC logo or certificate. The main situation includes: forgery, alteration, lease, loan, counterfeit use, deal, transfer of CCC logo or certificate and embezzlement of CCC logo; After being informed that the certificate has been revoked or suspended, CCC logo or certificate should be continue to be used; CCC logo should be added intentionally on the product without CCC certificate;

(b)工厂以欺骗、贿赂等不正当手段获得认证证书的。

Factories achieve the certificate by cheating, bribery and other improper means.

7.6.2 获证后监督结果的评价 Evaluation of Post-Certification Supervision Results

获证后监督结果综合评价包括跟踪检查评价和/或证后监督检测的评价以及企业质量信息的收集评价。CTC依据综合评价的结果对企业做出分类结

论。综合评价结果为通过时，CTC向认证委托人发出批准保持认证通知书。如任意一项评价结果不通过，综合评价为不通过，CTC 根据不同情况分别做出暂停、撤销、注销相关认证证书的决定，通知认证委托人并公布。

After certification, the comprehensive evaluation of supervision results should include follow-up inspection and evaluation and / or evaluation of supervision and detection after certification and collection and evaluation of enterprise quality information. CTC makes classification conclusion for enterprises according to comprehensive evaluation results. When the comprehensive evaluation results are passed, CTC issues a notice to approve the maintenance of certification to the certification consignor. If any evaluation result fails, comprehensive evaluation is not passed. CTC makes the decision to suspend, cancel and cancel the relevant certification certificate respectively according to different situation and notice informs the certification consignor to publish.

8 认证证书 Certificates

8.1 认证证书的保持 Maintenance of the Certificates

本规则覆盖产品认证证书的有效期为 5 年。有效期内，证书的有效性依赖认证机构的获证后监督获得保持。

The validity of the product certification certificates applied by these rules shall be 5 years. Within which the terms of the certificate shall depend on the maintenance to the post-certification supervision of the certification authorities.

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 天内提出认证委托。证书有效期内最后一次获证后监督结果合格的，认证机构应在接到认证委托后直接换发新证书。

Where the certificate expires and needs to be extended, the certification applicants shall, within 90 days before the expiration of the validity of the certificates, submit the certification entrustment. Where the results are qualified in the last post-certification supervision within the validity, the certification authorities shall, upon the receipts of certification entrustment, issue a new certificate directly.

8.2 认证证书的内容 Contents of the Certificates

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。

Where the content contained in the certificates is marked on the certified products and their sales packages, such content shall be consistent with that of the certificates.

8.3 认证证书的变更 Modifications of the Certificates

8.3.1 认证要求的变更(含标准换版) Modifications of Certificates Requirements(Including Change of Standards version)

当认证要求变更时，CTC将在公开网站上发布认证要求变更的通知，同时利用电子邮件、电话、传真等方式通知获证企业。

Where any change to the certification requirements is required, CTC will publish a notice of changes to the certification requirements on the public website, and notify the certified enterprises by E-mail, telephone, fax and the like.

获证企业在收到通知后，应在规定期限内向CTC提交认证变更申请以及要求的各项资料。CTC将依据资料评审的结果，做出是否安排进行产品补充检测和/或工厂检查的方案，并对结果进行评价。如在变更方案规定的期限内，对委托人的补充检测/文审/工厂检查评价合格，CTC将批准变更，换发新的认证证书(需要时)。如在方案规定的期限内，获证企业未提交变更申请或在补充检测/工厂检查中评价不合格，则从规定期限的截止日期起，CTC将暂停产品相应范围的认证证书。

The certified enterprises shall, upon the receipts of the notices, submit the application for certification changes together with the required information to CTC within the prescribed time limits. CTC will, based on the results of the data examinations, determine to schedule the additional product tests and/or factory inspections and evaluate the results thereafter, and will approve the change and issue a new certificate (if required) for the applicants' supplementary tests/document examination/factory inspection evaluations within the time limits as specified in the change schemes. In the event that any certified enterprise fails to submit the application for changes or fails to be evaluated in the supplementary test/factory inspection within the time limits as specified in the program, CTC will cease the certificate of corresponding scopes of the products from the deadline as specified in the schemes.

8.3.2 获证企业的认证变更 Changes to the Certification of the Certified

Enterprises

如获证企业在获证后发生对认证有影响的各项变更时(简称为认证变更),包括:证书上的内容发生变化时;或已获证产品发生技术变更(设计、结构参数、关键零部件/原材料及供应商等)影响相关标准的符合性时;或工厂因变更生产一致性控制计划、生产条件等而可能影响生产一致性时;或CTC在本细则中明确的其他事项发生变更时,认证委托人应在变更涉及的产品出厂、销售或进口前向CTC提出变更委托,经CTC批准后方可实施变更。

In case of any change (referred to as the change of certification) hindering the certification of the certified enterprise after the certification, including changes to the content of the certificates or in the product certified technologies (designs, structural parameters, key components/raw materials and the like) hindering the compliance of relevant standards, changes introduced by the factories to the production consistency control plans or production conditions which may affect the production consistency, and any other change to the matters specified in the implementation rules of the certification authorities upon any change, the certification authorities shall initiate the change entrustment to the CTC, and such change shall be held until the approval thereof.

CTC根据变更的内容,对提供的资料进行评价,确定是否可以批准变更。如变更影响产品一致性或标准符合性时,CTC将依据变更情况,安排进行必要的检测和/或工厂检查,在检测和/或工厂检查合格后方可批准变更。样品检测可以利用生产企业检测资源,条件及要求同本规则7.2.2条款。

CTC shall evaluate the information received in accordance with the content of the changes to determine the approvals thereto. In the event of any sampling test and/or factory inspection is required, the change applications shall be approved only after such testing test and/or inspection is satisfied. The testing resources, conditions and requirements of the production enterprises applicable to the sampling tests shall be the same with Clause 7.2.2 of these rules.

对符合要求的,批准变更。需要换发新证书的,新证书的证书编号原则上保持不变并注明变更批准日期,证书有效日期可根据认证委托延伸但不得超过五年。不需换发新证书的,出具变更确认表,注明变更内容以及变更批准日期。

Where the requirements are satisfied, the changes shall be approved. Where the

original certificates are surrendered and the new certificates are required, the certificate number of the new certificate shall remain the same and indicate the date of approval for change in principle, and the effective date of the certificates may be extended according to the certification entrustment but shall not exceed five years in total. In the event that there is no need surrender the original certificates and re-issue the new certificates, the change confirmation forms shall be issued to indicate the content of the changes and the date of approval thereto.

认证变更的实施按照CTC/QG-PJ12《认证变更的管理程序》执行。

The implementation of changes to the certification of the certified enterprises shall be subject to the CTC/QG-PJ12 *Management Procedures for Certification Changes*.

8.4 认证证书的注销、暂停和撤销 Cancellation, Suspension and Revocation of the Certificates

认证证书的暂停、注销和撤销依据《强制性产品认证管理规定》(质检总局第117号令)和《强制性产品认证证书注销、暂停、撤销实施规则》及CTC/QG-PJ07《认证的批准、保持、暂停、撤销及注销管理程序》执行，CTC将采取适当方式对外公告被注销、暂停、撤销的认证证书。

The suspension, cancellation and revocation of the certificates shall be made in accordance with relevant provisions of the certification authorities, regulations on the *Administration of Compulsory Product Certificates (AQSIQ No. 117)* and *Rules for the Cancellation, Suspension and Revocation of Compulsory Product Certificates and Procedure for Approval, Maintenance, Suspension, Revocation and Cancellation*. CTC shall determine the categories and scope of products fails to satisfy the certification requirements and shall, in appropriate manners, announce to the public the revoked, suspended or revoked certificates thereafter.

8.5 认证证书的使用 Use of the Certificates

认证证书的使用应符合《强制性产品认证管理规定》(质检总局第117号令)的要求。

The use of the certificates shall satisfy the requirements of the *Administrative Provisions on Compulsory Product Certificates (AqSIQ Order no. 117)*.

9 认证标志 Certification Marks

认证标志的管理、使用应当符合《国家认监委关于强制性产品认证标志改革事项的公告》(认监委公告 2018 年第 10 号)的规定。

The administration and use of certification marks shall comply with the provisions of the CNCA Announcement on The Reform of Compulsory Product Certification Marks (CNCA Announcement No. 2018-10).

衬片的 CCC 标志应采用印刷/模压方式, 加施在衬片的非工作面上。

The CCC marks on the linings shall be printed/moulded on the non-working surface of the linings.

根据产品和工艺特点, 印刷/模压标志可在产品形成的各阶段完成。

Mark printing/moulding to be completed at all stages of the product formation according to the characteristics of products and process is allowed.

10 收费 Certification Fee

认证机构按照国家规定制定收费标准, 并公开收费标准清单。

The certification authorities shall, in accordance with state regulations, formulate the fee standards and announce to the public a list of such standards.

11 认证责任 Responsibility of the Certification

CTC应当对认证结论负责。

The certification authorities shall be responsible for their certification conclusions.

指定实验室应对检测结果和检测报告负责。

The designated laboratories shall be responsible for test results and reports.

CTC及其委派的工厂检查员应对工厂检查结论负责。

CTC and their designated factory inspectors shall be responsible for the conclusions of the factory inspections.

认证委托人应对其所提交的委托资料及样品的真实性、合法性负责。

The certification applicants shall be responsible for the certification and legality of the entrusted documents and samples submitted.

认证相关方应按照法律法规要求对产品质量承担相应的责任与义务。

Certification-related parties shall undertake corresponding responsibilities and obligations for product quality in accordance with laws and regulations.

12 与技术争议、投诉、申诉相关的流程及时限要求 Time Limits

and Process Concerning Technological Controversy, Compliant and Appeal

按照CTC/QG-PJ05《申、投诉与争议的处置程序》的要求进行。

In accordance with the requirements of CTC/QG-PJ05 *Disposal Procedures for Appeal, Complaint and Dispute*.

附件1.1 Annex 1.1

汽车用制动器衬片产品描述

Automotive Brake Linings Product Description

单元名称 【注】 Unit Name	●M ₁ 、M ₂ 、N ₁ 、O ₁ 、O ₂ 类车辆用鼓式制动器衬片 Drum brake linings for M ₁ ,M ₂ ,N ₁ ,O ₁ ,O ₂	产品类型：(Product Types) ●粘结型树脂基 ●粘结型橡胶基(鼓式) ●非粘结型 ●Bonded Resin Base ●Bonded Rubber Base ●Unbonded-type 材质和构成：(Texture and Constitution) ●酚醛树脂/纤维混合物单层料 ●酚醛树脂/纤维混合物双层料 ●其他： ●Phenolic Resin/ Single Layer of Fiber Mixture ●Phenolic Resin/Double Layer of Fiber Mixture ●Others： 加工工艺：(Processing Technology) ●模压一次成型 ●模压二次成型 ●辊压法成型 ●其他： ●Single Pressure Forming ●Double Pressure Forming ●Roll Forming ●Others： 其他方式：（如：XX配方、XX车型……） Other ways:(such as XX formula,XX model)	
	●M ₃ 、N ₂ 、N ₃ 、O ₃ 、O ₄ 类车辆用鼓式制动器衬片 Drum brake linings for M ₃ ,N ₂ ,N ₃ ,O ₃ ,O ₄		
	●M ₁ 、M ₂ 、N ₁ 、O ₁ 、O ₂ 类车辆用盘式制动器衬片 Disc brake pads for M ₁ ,M ₂ ,N ₁ ,O ₁ ,O ₂		
	●M ₃ 、N ₂ 、N ₃ 、O ₃ 、O ₄ 类车辆用盘式制动器衬片 Disc brake pads for M ₃ ,N ₂ ,N ₃ ,O ₃ ,O ₄		
产品型号 Product Model	见附件1.2（Details refer to Annex 1.2.）		
配套车型 Supporting vehicle model	配套的整车厂或制动器厂(如有) Supporting Automotive Manufacturer Or Brake Linings Manufacturer (if any)	1、	
		2、	
		3、	
		4、	
		5、	
		6、	
产品其他信息 (Other information of products)	典型产品的基本尺寸 (长×宽×厚)mm Basic Size of Typical Products (Length×Width×Thickness)mm		
	典型产品的设定摩擦系数值 或摩擦系数级别代号 Designed friction coefficient value or grade code of typical product		

	典型产品的有效摩擦面积 (mm ²) Effective Friction Area of Typical Products (mm ²)	
	典型产品的照片或图纸 Pictures or drawings for Typical Products (至少包括衬片的剖切图及安装示意图) (Including profile map and installation schematic diagram at least)	

注 (Notes) :

1、每个单元填写一张表格，表格不够可复制；

Each unit requires filling one form and the form can be duplicated if it's insufficient.

2、每张表“单元名称”的第二列只能勾选其中之一；第三列可单选或多选，根据单元内产品的实际情况选择；

For each form, only one of the items in the second column of the “unit name” can be ticked. Single choice or multiple choices can be made in the third column, depending on the actual condition of the product inside.

3、若每个单元含有两个及以上产品型号，需填写附件1.2“产品系列及型号清单”。
If each unit contains two or more product types, the annex 1.2 “Product series and List of Models” should be filled in.

附件1.2 Annex 1.2

单元产品系列及型号清单

Unit Product Series and Model List

(Each unit requires filling one form and the form can be duplicated if it's insufficient.)

序号 No.	产品系列 Product Series	产品型号 Product Model	扩展符说明 Illustration of extended character
1			
2			
3			

注：(Notes:)

1、“产品型号”或“产品系列”须与产品或包装上的型号一致，或能覆盖产品或包装上的型号；

The “Product Model” or “Product Series” shall be in accordance with the model displayed in the product or package, or can cover the model on the product or package;

2、“产品型号”可以带有“*”或“×”等扩展符。如带扩展符，须说明其代表的含义且不影响与典型产品的差异描述；

The “Product model” may contain extended character such as an “*” or “×”. If an extended character appears, the meaning of the character must be stated without affecting the differential description from the typical product;

3、一个“产品系列”可包括多个“产品型号”，但同一系列的“产品型号”应与典型产品的差异描述相同；

One "Product Series" may include multiple "Product Models", provided that the "Product Model" of the same series shall be identical with the differential descriptions of the typical products;

4、企业没有划分产品系列时，上表第2列可删除。

On condition that the enterprise does not divide up the product series, column 2 of the above form can be deleted.

附件1.3 Annex 1.3

单元内产品差异描述表

Description of Product Differences Within the Unit Form

序号 No.	系列或型号 Specification	厚度 (mm) Thickness (mm)	设定摩擦系数 值或摩擦系数 级别代号与典 型产品是否一 致 Whether the friction coefficient value or friction coefficient level is consistent with typical products	关键零部件/原材 料等与典型产品 的差异 Differences between critical components/raw materials and typical products	加工工艺与典 型产品的差异 Differences between processing techniques and typical products	其他 (如结构 等差异) Others (such as structure difference)
1						
2						
3						
...						

注 (Notes) :

1、在第一行内填写典型产品，其它行的“系列或型号”可填写附件1.2的“产品系列”，没有划分产品系列时，需填写每一个具体型号；

Fill typical products in the first row and the “product series ” in the annex 1.2 can be filled in other rows of “series or types”. In case of no product series, the specific type should be filled in.

2、与典型产品的加工工艺差异通常是指：与典型产品在混料、喷胶(涂胶)、压制、热处理、表面烧蚀等加工环节的工艺参数的差异；

Difference from the processing technology of typical products often mean difference of processing parameters of mixing, spraying (gluing), compacting, thermal treatment and surface ablation.

3、必要时提供产品照片和图纸；
Provide pictures and drawings of products if necessary.

4. 无差异时在空格内填写“/”；
Fill in the blank when there is no difference.

附件1.4 Annex 1.4

应与企业提交的《生产一致性控制计划》中确定的关键零部件/原材料一致。
关键零部

件/原材料通常是指：衬片、蹄铁、背板、纤维材料、粘结剂等(适用时)。清单中至少要

包括关键零部件/原材料的名称、型号/规格和供货单位等内容，见下表

The critical components/raw materials should be consistent with the COP Control Plan submitted by the company. Critical components/raw materials: linings, shoe, backing plate, fibber, agglomerant (if applicable) and the like. At least the names, models, specifications, suppliers of critical parts or raw materials shall be listed.

关键零部件/原材料清单

List for Critical Components/Raw Materials

序号 No.	关键零部件/原材料名称 Critical Components/Raw Materials	型号/规格 Specification	供货单位 Supplier
1			
2			
3			
...			

附件 2 Annex 2

生产一致性要求

Requirements about Production Conformity

工厂应确保批量生产的认证产品持续符合本规则和相关法律法规、标准的要求。

The factories shall ensure that the certified mass-produced products will continuously comply with the requirements of these rules as well as relevant laws, regulations and standards.

注：本实施规则中的工厂涉及认证委托人、生产者(制造商)、生产企业。

Note: The factories referred to in these rules means the certification applicants, producers (manufacturers) and production enterprises.

1 生产一致性检查是通过生产一致性控制计划审查和工厂现场检查(初始和监督), 确认批量生产的认证产品和型式试验样品的一致性, 以及与认证标准的符合性。

Production conformity inspection aims to confirm the consistency of certified mass-produced products with tested samples and their compliance with certification standards through production conformity control plans examinations and factory on-site inspections (Primary and supervision).

2 生产一致性控制计划是工厂为保证批量生产的认证产品的生产一致性而形成的文件化的规定。应包括:

The production conformity control plans refers to the documented regulations of the factories for the production consistency of the certified products in mass production. It shall include:

2.1 工厂应建立文件化的规定, 确保批量生产的认证产品与型式试验样品的一致; 确保认证标志的妥善保管和使用。

Documented regulations to be prepared by the factories to ensure the consistency of the certified mass-produced products with the tested samples with proper storage and certification marks;

2.2 工厂按照实施规则制定认证产品必要的试验或相关检查的内容、方法、频次、偏差范围、结果分析、记录及保存的文件化的规定。以及按照认证标准识别关键零部件、原材料和关键制造过程、装配过程、检验过程并确定其控制要求。

对于不在工厂现场进行的必要的试验或相关检查以及控制的关键零部件、原材料和关键制造过程、装配过程、检验过程，应在计划中特别列出，并说明控制的实际部门和所在地点。认证标准中对生产一致性控制有规定的项目，工厂的控制规定不得低于标准的要求。

Documented regulations of content, methods, frequencies, ranges of deviation, analysis of results, records and preservation to be prepared by the factories which is necessary for the tests of certification or related inspections; and key parts, raw materials and key manufacturing processes, assembly process and inspection to be identified in accordance with the certification standards processes, as well as the control requirements to be determined. For key parts, raw materials and key manufacturing processes, assembly process and inspection process that are not conducted in the factory as necessary for the tests or related inspections and controls, the actual departments and locations of the control shall be specified in the plans. The factories' control provisions shall not be lower than the requirements of the standards for items specified in the certification standards for the production consistency control.

2.3 工厂对于 2.2 涉及的产品试验或相关检查的设备和人员的规定和要求。

Factory regulations and requirements on the equipment and personnel involved in the product tests or related inspections in 2.2.

2.4 工厂对于生产一致性控制计划变更、申报与执行的相关规定。

Factory regulations on the changes, declarations and implementation of production conformity control plans.

2.5 工厂在发现产品存在不一致情况时，如何落实在认证机构的监督下采取一切必要措施，以尽快恢复生产的一致性的相关规定。

In the event of any inconsistency, the factories shall take all necessary measures under the supervision of the certification authorities to restore the production consistency as soon as possible.

2.6 工厂在发现产品存在不一致情况时，所采取的追溯和处理措施的规定。Regulations on the traceability and disposal measures to be taken by the factory in case of non-conformance.

2.7 工厂质量保证体系应根据工厂实际情况，并参考本附件附录 1 的要

求制定。

The factory quality assurance systems shall fit to the actual situation of the factories and refer to the requirements in Annex 1 of this Appendix.

可接受工厂的符合 ISO 9001(GB/T19001),IATF(ISO/TS)16949(GB/T18305)等标准的证书(其中的范围应覆盖委托认证的产品)或其他满足本附件附录 1 要求的等同的评价标准。认证委托人须提供符合附录 1 中的相关内容,将其作为质量保证能力控制计划提交,并承诺在发生影响其有效性或应用范围的变化时通知认证机构。未获得 ISO 9001, IATF (ISO/TS) 16949 等标准的证书或其他等同的评价标准证书的工厂,可参考附录 1 的规定建立质量保证体系,同时工厂应接受认证机构对其质量体系符合性的检查。

Factory acceptable evaluation criterion which are qualified with the certificates conforming to ISO 9001 (GB/T19001), IATF (ISO/TS) 16949 (GB/T18305) or other equivalents satisfying the requirements of Annex 1 of this Appendix. The certification applicants shall provide relevant content in Appendix 1, submit as their plans of quality assurance capability control and undertake to notify the certification authorities of any changes that affect the certification effectiveness or scope of the application. Factories fails to be certified by ISO 9001, IATF (ISO/TS) 16949 or other certification for equivalent evaluation standards may refer to Annex 1 to establish their quality assurance systems, and shall be subject to the conformity inspections on their quality systems by the certification authorities.

生产一致性控制计划的基本要求见本附件的附录 2。

Basic requirements on the production conformity control plans are shown in appendix 2 of this annex.

3 生产一致性现场检查

On-site Production Consistency Inspections

第一次获证后监督(适用于许可证转 CCC 的工厂)或初始工厂是对工厂提出并经认证机构审查确认的生产一致性控制计划的执行情况的审查。

The first post-certification supervision (applicable to the factories whose certificates are transferred to CCC or the initial factories) is the examination on the implementation of the production consistency control plans as formulated by the factories and examined by the certification authorities.

4 生产一致性控制计划执行报告

Implementation Reports of the Production Conformity Control Plans

生产一致性控制计划执行报告是工厂每年对其生产一致性控制计划执行情况的文件说明。报告应对照计划逐项说明生产一致性控制所进行的工作和重要变更，对于发生的生产不一致情况应重点说明其原因、处理及追溯结果、采取的纠正和预防措施。

The implementation reports of the production conformity control plans is the factories' annual document descriptions on their implementation of the production consistency control plans. The reports shall detail the work carried out and material changes in the production consistency control item by item against the plans, with emphasis on the causes, treatment and traceability of the production inconsistencies, and corrective and preventive actions taken.

5 生产一致性监督检查

Supervision and Inspections on the Production Conformity

工厂检查组应按照认证机构的要求，到生产一致性控制的现场对生产一致性控制计划执行报告和执行情况进行审查。

The factory inspection teams shall visit the production conformity control sites to examine the implementation reports and implementation of the production consistency control plans as required by the certification authorities.

5.1 在监督检查中工厂应保证：

During the supervision and inspections, the factory shall ensure that:

5.1.1 每次监督检查时，检查人员应能获得试验或检查记录和生产记录。

The inspectors are provided with accesses to test or inspect documents and production records during each supervision and inspection.

5.1.2 如试验条件适当，检查人员可随机选取样品，在工厂的实验室进行试验。实验项目和最少样品数可按工厂自检要求确定。

Where the test conditions are applicable, inspectors may randomly sample and test in the factories' laboratories. Items and minimum number of the samples to be tested may be determined according to the factory self-inspection requirements.

5.1.3 若检查发现生产不一致情况，认证机构应采取一切必要的步骤督促工厂尽快恢复生产一致性。

In the event of any inconsistency discovered in the production, the certification authorities shall take all necessary measures to urge the plant to restore the production

consistency as soon as possible.

6 工厂生产一致性控制计划发生变化时，应向认证机构提交生产一致性控制计划变更说明，认证机构应根据变更对生产一致性影响的程度判定是否需要立即进行现场检查。

Where there is any change in the production conformity control plans of the factories, description for such change shall be submitted to the certification authorities, which shall determine whether to conduct on-site inspections immediately according to the extent of influence of such change on the production consistency.

附录 1 Appendix 1

工厂质量保证能力要求

Requirements on Factory Quality Assurance Capabilities

工厂是产品质量的责任主体，其质量保证能力应持续符合认证要求，生产的产品应符合标准要求，并保证认证产品与型式试验样品一致。工厂应接受并配合认证机构依据本实施规则及相关产品认证实施规则/细则所实施的各类工厂现场检查 and 抽样检测。

The factories are the main parties of responsibilities for the product quality, of which the quality assurance capabilities shall continuously satisfy the certification requirements, and the products produced shall satisfy the standard requirements to ensure that the certified products are consistent with the tested samples. The factories shall accept and cooperate with all the site inspections and sampling tests as conducted by the certification authorities in accordance with these rules and relevant product certification rules or regulations.

1 职责和资源

Responsibilities and Resources

1.1 职责

Responsibilities

工厂应规定与认证要求有关的各类人员职责、权限及相互关系，并在本组织管理层中指定质量负责人，无论该成员在其它方面的职责如何，应使其具有以下方面的职责和权限：

The plant shall specify the responsibilities, authorities and interrelationships of the various personnel in relation to the certification requirements and shall designate the quality managers in their own management of organizations with the following responsibilities and authorities, regardless of the other responsibilities of the member:

(a) 确保本文件的要求在工厂得到有效地建立、实施和保持；

To ensure that the requirements of this document are effectively established, implemented and maintained in the factories;

(b)确保产品一致性以及产品与标准的符合性;

To ensuring the product consistency and conformity with standards;

(c)正确使用 CCC 证书和标志, 确保加施 CCC 标志产品的证书状态持续有效。

To proper apply the CCC certificates and marks to ensure that the valid certificate status of products with CCC marks.

质量负责人应具有充分的能力胜任本职工作, 质量负责人可同时担任认证技术负责人。

The persons in charge of quality shall be qualified with sufficient abilities to be competent for the positions, who may also be the person in charge of certified technologies.

所有班次的生产操作, 应指定确保产品质量的人员。

Personnel for all shifts of production operations shall be designated to ensure the product quality.

负责产品质量的人员, 为了纠正质量问题, 应有权停止生产。

The persons responsible for product quality shall be entitled to suspend the production for quality problem settlements.

1.2 资源

Resources

工厂应配备必须的生产设备、检验试验仪器设备以满足稳定生产符合认证规则要求产品的需要; 应配备相应的人力资源, 确保从事对产品认证质量有影响的工作人员具备必要的能力; 应建立并保持适宜的产品生产、检验试验、储存等必备的环境和设施。

The factories shall be equipped with necessary production equipment, inspection and test instruments and equipment to satisfy the needs of products stable production in accordance with the requirements of the certification rules; have appropriate human resources to ensure that staff engaged in the activities with impacts on the quality of the product certification have the necessary capabilities; establish and maintain proper environment and facilities for the product production, inspections and tests, storage, and the like.

对于需以租赁方式使用的外部资源，工厂应确保外部资源的持续可获得性和正确使用；工厂应保存与外部资源相关的记录，如合同协议、使用记录等。

The factories shall ensure the continuous availability and correct applications to the external resources to be used by lease, and shall keep the in relation to the external resources, such as contract agreements, usage records and the like.

2 文件和记录

Documents and Records

2.1 工厂应建立并保持文件化的程序，确保对本文件要求的文件、必要的外来文件和记录进行有效控制。产品设计标准或规范应不低于该产品的认证规则要求。对可能影响产品一致性的主要内容，工厂应有必要的图纸、样板、关键件清单、工艺文件、作业指导书等设计文件，并确保文件的持续有效性。

The factories shall establish and maintain documented procedures to ensure the effective control over the documents as required by this document and the necessary external documents and records. The product design standards or specifications shall not be lower than the requirements of the product certification rules. For the main content that may hinder the product consistency, the factory shall have necessary design documents such as drawings, templates, lists of critical parts, process documents and work instructions and the like, and shall further ensure the continuous effectiveness of such documents.

2.2 工厂应确保文件的充分性、适宜性及使用文件的有效版本。

The factory shall ensure the adequacy, suitability and availability of these documents.

2.3 工厂应确保记录的清晰、完整、可追溯，以作为产品符合规定要求的证据。与质量相关的记录保存期应满足法律法规的要求，确保在本次检查中能够获得前次检查后的记录，且至少不低于24个月。

The factories shall ensure that the records are clear, complete and traceable and can served as the evidence of compliance with specified requirements. Quality-related records shall be kept for a period of not less than 24 months in accordance with the requirements of laws and regulations to ensure that the post-inspection records are available during current inspection.

2.4 工厂应识别并保存与产品认证相关的重要文件和质量信息，如型式试验报告、工厂检查结果、CCC 证书状态信息(有效、暂停、撤销、注销等)、认证变更批准信息、监督抽样检测报告、产品质量投诉及处理结果等。

The factory shall identify and keep important documents and quality information in relation to the product certification, such as type test reports, factory inspection results, CCC certificate status information (validity, suspension, cancellation, revocation, etc.), certification change approval information, supervision sampling test reports, product quality complaints, settlement results and the like.

3 采购与关键件控制

Procurement and Key Component Control

3.1 采购控制

Procurement Control

对于采购的关键件，工厂应识别并在采购文件中明确其技术要求，该技术要求还应确保最终产品满足认证要求。采购文件中还应包括对关键零部件或材料供应商实行产品和制造过程批准的要求。

For Key parts purchased, the factory shall identify and specify relevant technical requirements in the procurement documents, and shall further ensure that the final products satisfy the certification requirements. Procurement documents shall also include the requirements on product and manufacturing process approvals to the key parts or material suppliers.

工厂应建立、保持关键件合格生产者/生产企业名录并从中采购关键件，工厂应保存关键件采购、使用等记录，如进货单、出入库单、台帐等。

The factories shall establish and maintain the lists of qualified producers/manufacturers of key parts and purchase therefrom with procurement and application records, such as the purchase orders, delivery notes, sending notes, and ledgers.

3.2 关键件的质量控制

Quality Control of the Key Parts

3.2.1 工厂应建立并保持文件化的程序，程序中应包括检验项目、方法、

频次和判定准则，在进货(入厂)时完成对采购关键件的技术要求进行验证和/或检验并保存相关记录。

The factories shall establish and maintain documented procedures, including inspection items, methods, frequencies, *and criterion*, to complete the verification and/or inspection of the technical requirements on the key parts purchased and to keep relevant records upon delivery (sending).

3.2.2 对于采购关键件的质量特性，工厂应选择适当的控制方式以确保持续满足关键件的技术要求，以及最终产品满足认证要求，并保存相关记录。适当的控制方式可包括：

For the quality characteristics of key parts purchased, the factories shall choose appropriate control methods to ensure that the technical requirements of key parts are continuously satisfied and the final products satisfies the certification requirements with relevant records. The appropriate control methods herein may include:

(a)获得 CCC 证书或可为最终产品强制性认证承认的自愿性产品认证结果，工厂应确保其证书状态的有效。

The factories shall ensure the validity of the CCC certificate or the results of the voluntary product certification which may be recognized by the final product compulsory certification.

(b)没有获得相关证书的关键件，其定期确认检验应符合产品认证实施规则/细则的要求。

For key parts without relevant certificates, the periodic confirmation inspection shall satisfy the requirements of the implementation rules/regulations of product certification.

(c)工厂自身制定控制方案，其控制效果不低于 (a)或(b)的要求。

The factories itself shall develop their control schemes whose control effect shall not be less than that as required by (a) or (b).

3.2.3 当从经销商、贸易商采购关键件时，工厂应采取适当措施以确保采购关键件的一致性并持续满足其技术要求。

When purchasing the key parts from distributors and traders, the factories shall take appropriate measures to ensure the consistency of key parts purchased with

continuous sanctification to the technical requirements.

对于委托分包方生产的关键部件、组件、分总成、总成、半成品等，工厂应按采购关键件进行控制，以确保所分包的产品持续满足规定要求。

For the key parts, components, sub-assemblies, assemblies and semi-finished products as produced by the subcontractors, the factories shall control the procurement of the key parts to ensure that the subcontracted products will continuously satisfy the specified requirements.

对于自产的关键件，按 4 进行控制。

For the self-produced key parts, the control shall be carried out in accordance with Section 4.

4 生产过程控制

Process Control

4.1 过程准备

Process Preparation

4.1.1 工厂应对关键生产工序 (过程) 进行识别并确认；关键工序操作人员应具备相应的能力；如果该工序没有文件规定就不能保证产品质量时，则应制定相应的工艺作业指导书，使生产过程受控。

The factories shall identify and confirm the key production procedures (process), and the key process operators shall be qualified with corresponding capabilities. If the process cannot ensure the quality of the product without any documentation, corresponding process operation instructions shall prepared to control the production processes.

4.1.2 对关键的生产过程进行过程研究，以验证过程能力并为过程控制提供输入。

Process research shall be conducted on the key production process to verify their process capabilities and control the inputs for processes.

4.1.3 以适当方式进行作业准备验证。

Verification on the operation availability shall be conducted in an appropriate manner.

4.2 产品生产过程如对环境条件有要求，工厂应保证工作环境满足规定要求。

The factories shall ensure that the working environment satisfies the requirements of

the environmental conditions during the production process.

4.3 必要时，工厂应对适宜的过程参数进行监视、测量。

The factories shall monitor and measure the appropriate process parameters when necessary.

4.4 工厂应建立并实施生产工装管理系统和关键设备预防性维护系统，以确保设备的能力持续满足生产要求。

The factories shall establish and implement tooling management systems and critical equipment preventive maintenance systems to ensure that the equipment capability will continuously satisfies the production requirements.

4.5 必要时，工厂应按规定要求在生产的适当阶段对产品及其特性进行检查、监视、测量，以确保产品与标准的符合性及产品一致性。

The factories shall, if necessary, check, monitor and measure the products and the characteristics at the appropriate stage of the production as required to ensure the conformity of the products with the standards and product consistency.

4.6 工厂应建立并实施产品的可追溯系统。适当时，确定并应用统计技术。

The factories shall establish and implement their product traceability systems. Statistical techniques shall be Identified and applied where appropriate.

5 检验试验仪器设备

Inspection and Test Equipment and Instrument

5.1 基本要求

Basic Requirements

工厂应配备足够的检验试验仪器设备，确保在采购、生产制造、最终检验试验等环节中使用的仪器设备能力满足认证产品批量生产时的检验试验要求。

The factories shall be equipped with adequate inspection and testing instruments and equipment to ensure that the instruments used in procurement, manufacturing, final tests and other links satisfy the test and inspect requirements of certified products in mass production.

检验试验人员应能正确使用仪器设备，掌握检验试验要求并有效实施。

The inspecting and testing personnel shall be able to use the instruments and equipment correctly, and master the inspection and testing requirements with effective

implementation.

5.2 校准、检定

Calibration and Verification

用于确定所生产的认证产品符合规定要求的检验试验仪器设备应按规定的周期进行校准或检定，校准或检定周期可按仪器设备的使用频率、前次校准情况等设定；对内部校准的，工厂应规定校准方法、验收准则和校准周期等；校准或检定应溯源至国家或国际基准。仪器设备的校准或检定状态应能被使用及管理人员方便识别。工厂应保存仪器设备的校准或检定记录。

The inspection and test instruments and equipment used to determine the conformity of the certified products produced with the specified requirements shall be calibrated or verified according to the specified intervals, which may be set according to the application frequency of the instruments, the previous calibration and the like. For internal calibration, the factories shall specify the calibration methods, acceptance criterion, calibration intervals and the like. All the calibration or verification shall be traceable to the national or international standards. The calibration or verification status of the instruments and equipment shall be made available for the easy identification of the management and application personnel. The factories shall keep the calibration or verification records of the equipment.

对于委托外部机构进行的校准或检定活动，工厂应确保外部机构的能力满足校准或检定要求，并保存相关能力评价结果。

For all the calibration or verification activities commissioned to external agencies, the factories shall ensure that the capabilities of external agencies satisfy the requirements of calibration or verification, with relevant capability evaluation results.

注：对于生产过程控制中的关键监视测量装置，工厂应根据产品认证实施规则/细则的要求进行管理。

Note: For the key monitoring and measuring devices in the production process control, the factories shall manage as per the requirements of the product certification implementation rules or regulations.

5.3 实验室管理

Laboratory Management

工厂应定义内部实验室实验范围，包括进行检验、试验或校准服务的能力。

The factories shall define the scopes of internal laboratory experiments, including the abilities to perform inspection, testing, or calibration services.

为工厂提供检验、试验或校准服务的外部/商业/独立实验室应有定义的范围，包括有能力进行的检验、试验或校准服务。

An external or commercial or independent laboratory providing inspection, testing or calibration services to the plant *shall have a defined scope, including the inspection, testing or calibration services within its capability.*

6 不合格品的控制

Control of Nonconforming Products

6.1 对于采购、生产制造、检验等环节中发现的不合格品，工厂应采取标识、隔离、处置等措施，避免不合格品的非预期使用或交付。

For nonconforming products discovered in the procurement, manufacturing, inspection and other links, the factories shall take measures such as identification, isolation and disposal to avoid any unexpected use or delivery of such nonconforming products.

工厂应制定返工、返修作业指导书，内容应包括经返修、返工后的产品需重新检测。对重要部件或组件的返修应作相应的记录。

The factories shall formulate the instructions for reworks and repairs, which shall include the retesting of the products thereafter. Repair of key parts or components shall be recorded accordingly.

未经确定或可疑状态的产品，应列为不合格品。

Products suspected or to be determined shall be classified as non-conforming products.

废旧产品必须以对待不合格品的类似方法进行控制。

Waste products must be controlled in a similar way to that of non-conforming products.

应保存对不合格品的处置记录。

Disposition records of the nonconforming products shall be maintained.

6.2 对于召回、国家级和省级监督抽查、产品召回、顾客投诉及抱怨等来自外部的认证产品不合格信息，工厂应分析不合格产生的原因，并采取适当的纠正措施。工厂应保存认证产品的不合格信息、原因分析、处置及纠正措施等记录。
For the non-conformity information of the products from outside like recalls, national and provincial supervision and spot inspection, product recalls, customer complaints and claims, the factories shall analyse the causes of the non-conformance and take appropriate corrective measures. The factories shall keep records of nonconformity information, causes analysis, disposals and corrective actions on the certified products.

6.3 工厂获知其认证产品存在重大质量问题时(如召回、国家级和省级监督抽查不合格等)，应及时通知认证机构。
The factories shall notify the certification authorities promptly when it becomes aware of any material quality problem with its certified products (e.g. recall and disqualification by national and provincial).

7 内部质量审核

Internal Quality Audits

工厂应建立文件化的内部质量审核程序，确保工厂质量保证能力的持续符合性、产品一致性以及产品与标准的符合性。
The factories shall establish documented internal quality audit procedures to ensure continuous compliance of their quality assurance capabilities, product consistency and product conformance with standards.

对工厂的投诉尤其是对产品不符合认证规则及标准要求的投诉，应保存记录，并应作为内部质量管理体系审核的信息输入。
The complaints to the factories, especially complaints about the products failed to satisfy the requirements of the certification rules and standards, shall be recorded and filed as the audit information for the internal quality management system.

工厂应以适宜的频率审核每个制造过程，以决定其有效性。

The factories shall audit each manufacturing process at an appropriate frequency to determine its effectiveness.

工厂应以适宜的频率，在生产的适当阶段对其产品进行审核，以验证符合所有规定的要求。对审核中发现的问题，工厂应采取适当的纠正措施、预防措施。工厂应保存内部质量审核结果。

The factories shall audit their products at appropriate stages and frequency of the production to verify the compliance with all specified requirements. The factories shall take appropriate corrective and preventive measures for the problems discovered in the audits. Records of the internal quality audits shall be kept by the factories.

8 产品防护与交付

Product Protections and Deliveries

工厂在采购、生产制造、检验等环节所进行的产品防护，如标识、搬运、包装、贮存、保护等应符合规定要求。必要时，工厂应按规定要求对产品的交付过程进行控制。

The factories shall comply with the specified requirements for product protections in their procurement, manufacturing and inspection, such as marking, handling, packaging, storage and protections. The factory shall control the product delivery process as required when necessary.

工厂应按适当策划的时间间隔检查库存品状况，以便及时发现变质情况。

The factories shall inspect the stock status at properly planned intervals to detect any deterioration timely.

9 CCC 证书和标志

CCC Certificates and Marks

工厂对 CCC 证书和标志的管理及使用应符合《强制性产品认证管理规定》、《强制性产品认证标志管理办法》等规定。对于统一印制的标准规格 CCC 标志或采用印刷、模压等方式加施的 CCC 标志，工厂应保存使用记录。对于下列产品，不得加施 CCC 标志或放行：

The management and applications of CCC certificates and marks of the factories shall comply with the Regulations on the Administration of Compulsory Product Certification and the Regulations on the Administration of Compulsory Product Certification Marks. The factories shall keep a record of the CCC marks as printed in standard specifications uniformly or CCC marks as added by printing, moulding and

the like. The following products shall not be marked with CCC marks or released:

(a)未获认证的强制性产品认证目录内产品;

Products in the list of non-certified compulsory certification products;

(b)获证后的变更需经认证机构确认, 但未经确认的产品;

Products with post-certification changes to be confirmed by the certification authorities but has not been confirmed;

(c)超过认证有效期的产品;

Products exceeding the validity of the certification;

(d)已暂停、撤销、注销的证书所列产品;

Products which are listed in the certificates that have been suspended, revoked or canceled;

(e)不合格产品。

Nonconforming products.

附录 2 Appendix 2

生产一致性控制计划的要求

Requirements about Control Plan of Production Conformity

生产一致性控制的目的是为了确保批量生产的认证产品与获得批准的认证产品的一致性。工厂应按照实施规则附件2的要求对认证产品编制生产一致性控制计划。生产一致性(CoP)控制计划中应至少包括以下内容。

The purpose of the production consistency control is to ensure the consistency of the certified products in mass production with the approved and certified products. The factories shall prepare the production consistency control plans for the certified products according to the requirements in Annex 2 of these implementation rules. The consistency of production (CoP) shall at least include the followings

1. 生产一致性检测(检验、试验或检查)控制计划

Control plans of Production Conformance Testing (Inspections, Tests or Examinations)

工厂按照认证标准制定认证产品必要的检验、试验或检查计划。对于汽车用制动器衬片产品，工厂控制计划的检验项目和频次不得低于 GB 5763 标准第6条的要求。

The factories shall prepare the necessary inspection, test or examination plans for certified products according to the certification standards. For the brake linings of automobiles, the inspection items and frequency of the factory control plans shall not be less than the requirements of clause 6 of GB 5763 standard.

获证后监督的抽样检测也可以作为生产一致性检测的结果。生产一致性检测控制计划应至少包括下述项目：

Sampling test results under the post-certification supervision may also be referred to as the results of production conformance tests. The production conformance test control plans shall at least include the following items:

(1)检测的范围和职责，需明确检测能力或检测实验室要求；

The scopes and responsibilities of tests to be clarified, and the testing capabilities or requirements of testing laboratories to be clarified;

(2)检测项目，包括下线检测项目和认证标准中的项目；

Test items, including offline test items and items stipulated in the certification standards;

(3)检测的流程；

Examination procedures;

(4)检测频次；

Examination frequencies

(5)检测抽样和样品要求；

Test Sampling and Sample Requirements;

(6)检测结果的判定条件（合格或不合格时应分别判定）；

Conditions for the determination of test results (to be determined as qualified or unqualified separately);

(7)检测结果的分析、记录和保存要求；

Requirements for analysis, recording and preservation of test results;

(8)当检测结果不合格时的纠正、预防和不一致控制的措施。

Corrective, preventive and inconsistent control measures in case of any unqualified test result.

如工厂已制定有单独的质量控制程序、作业指导书或控制计划(类似于GB/T18305 附录A 的文件)来对生产一致性检测进行要求，在生产一致性控制计划中也可直接引用相应的文件或条款。

In the event that the factories have independent quality control procedures, work instructions or control plans (which are similar to the documents in Appendix A of GB/T18305) to regulate the production conformance tests, corresponding documents or clauses may also be directly referred to in the production conformance control plans.

2. 关键零部件或原材料的控制计划

Control Plans for Key Parts or Raw Materials

工厂应根据认证产品的生产工艺，对可能会影响生产一致性的关键零部件或原材料进行控制。当上述零部件由工厂自制时，也可对其相应的原材料进行控制。

控制计划中至少应包括关键零部件或原材料的名称，型号/规格，供货单位，进货检验的项目和频次等内容。

The factories shall control the key parts or raw materials that may affect the production consistency according to the production process of the certified products. Corresponding raw materials may also be controlled when the aforesaid parts are self-manufactured by the factories. The control plans shall include at least the names, models/specifications, suppliers, incoming inspection items and frequency of the key components or raw materials.

生产一致性控制计划中可对上述零部件控制进行原则性要求，具体关键零部件或原材料清单随每个单元的产品描述提供。

The production consistency control plans may regulate the controls of the aforesaid parts in principle, with the list of specific key parts or raw materials to be provided with the product descriptions of each unit.

如工厂已制定有单独的质量控制程序、作业指导书来对关键零部件或原材料进行要求，在生产一致性控制计划中也可直接引用相应的文件或条款。

In the event that the factories have prepared independent quality control procedures and work instructions for the key parts or raw materials, corresponding documents or clauses may also be directly referred to in the production conformance control plans.

3. 产品认证证书和认证标志的控制

Certificates of Compulsory Certification and Control of the Certification Marks

如工厂已制定有单独的质量控制程序、作业指导书，在生产一致性控制计划中也可直接引用相应的文件。

In the event that the factories have prepared independent quality control procedures and work instructions, corresponding documents may also be directly referred to in the production conformance control plans.

4. 认证变更的控制

Changes to the Certification Control

如工厂已制定有单独的质量控制程序、作业指导书，在生产一致性控制计划中也可直接引用相应的文件。

In the event that the factories have prepared independent quality control procedures

and work instructions, corresponding documents may also be directly referred to in the production conformance control plans.

5. 出现生产不一致时的纠正、预防或召回措施

Corrective or Preventive actions or Recall upon Any Production Inconsistency

如工厂已制定有单独的质量控制程序、作业指导书，在生产一致性控制计划中也可直接引用相应的文件。

In the event that the factories have prepared independent quality control procedures and work instructions, corresponding documents may also be directly referred to in the production conformance control plans.

6. 认证标准和相关法律法规的更新

Update of Certification Standards and Relevant Laws and Regulations

如工厂已制定有单独的质量控制程序、作业指导书，在生产一致性控制计划中也可直接引用相应的文件。

In the event that the factories have prepared independent quality control procedures and work instructions, corresponding documents may also be directly referred to in the production conformance control plans.

7. 工厂质量保证能力要求

Requirements on Factory Quality Assurance Capabilities

如工厂和认证产品未取得符合相关要求的认证机构颁发的 ISO 9001(GB/T19001), ATF(ISO/TS)16949(GB/T18305)等标准的证书，或虽已取得相应证书，但不能完全满足实施 规则附件 2 的要求时，工厂制定的生产一致性控制计划中须有符合上述要求的文件化的规定。

In the event that the factories and the certified products fail to be certified by ISO 9001 (GB/T19001), IATF (ISO/TS) 16949 (GB/T18305) and other certification as issued by relevant certification authorities, or have obtained the corresponding certificate, but fail to fully satisfy the requirements of Annex 2 to these implementation rules, the production conformance control plans of such factories shall include the documented regulations that satisfy the aforesaid requirements.