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强制性产品认证实施规则

IMPLEMENTATION RULE OF COMPULSORY CERTIFICATION

汽车用制动器衬片

AUTOMOTIVE BRAKE LINING

发布

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Implement

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0 引言 Introduction

根据《国务院关于调整工业产品生产许可证管理目录加强事中事后监管的决定》(国发〔2019〕19号)相关要求,汽车用制动器衬片产品由生产许可证管理转为强制性产品认证管理。根据《中华人民共和国认证认可条例》、《强制性产品认证管理规定》等法律、行政法规的规定,制定本规则。

As required by relevant provisions of the *Decisions of the State Council on the Adjustment of the Catalogue of Industrial Product Production Certification Administration to Strengthen the On-going and Posterior Regulatory Supervision* (State-Announcement [2019] No. 19), the Production Certification Management on the brake linings for automobiles shall be transformed to compulsory product certification Management. These rules are formulated in accordance with the *Regulations of the People's Republic of China on Certification and Acceptance, the Regulations on the Administration of Compulsory Product Certification* and other related administrative laws and regulations.

本规则基于汽车用制动器衬片产品的安全风险和认证风险制定,规定了汽车用制动器衬片实施强制性产品认证的基本原则和要求。

These rules stipulate the basic principles and requirements of compulsory product certification on the brake linings of automobiles on a basis of safety and certification risks thereof.

本规则与认监委发布的《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》、《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》、《强制性产品认证实施规则工厂检查通用要求》等通用实施规则配套使用。

These rules shall be applied in conjunction with the implementation rules of compulsory product certification as issued by the CNCA, such as the *Implementation Rules for Compulsory Product Certification--Classification Management on Production Enterprises, and Selection and Determination of Certification Modes*, the *Implementation Rules for Compulsory Product Certification--Application of Testing Resources and Other Certification Results of Production Enterprises*, and the *Implementation Rules for Compulsory Product Certification--General Requirements on Factory Inspections*.

认证机构应依据通用实施规则和本规则要求编制认证实施细则，并配套通用实施规则和本规则共同实施。

The certification authorities shall, in accordance with the requirements of the general implementation rules and these rules herein, prepare the certification implementation rules and implement all together thereafter.

生产企业应确保生产的获证产品能够持续符合认证及适用标准要求。

The production enterprises shall ensure that all their certified products will continuously satisfy the requirements of their certification and applicable standards.

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**

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

认证机构应按照《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.

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 and O₂; 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。在生产企业分类管理的基础上, 认证机构可对分类管理级别较高的生产企业的单元划分适当放宽。

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. On the basis of classified management of production enterprises, the certification authorities may ease the unit classification control to the production enterprises with higher classification management levels.

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

认证委托人需以适当的方式向认证机构提出认证委托, 认证机构应对认证委托进行处理, 并按照认证实施细则中的时限要求反馈受理或不予受理的信息。

The certification applicants shall initiate the certification entrustment to the certification authorities in an appropriate manner, and the certification authorities shall deal with such entrusted certification with acceptance feedback or rejection decisions within the time limits as stipulated in the implementation rules of certification.

不符合国家法律法规及相关产业政策要求时, 认证机构不得受理相关认证委

托。

Any entrusted certification with any failure to satisfy the requirements of national laws, regulations or relevant industrial policies shall be rejected by the certification authorities.

5.2 申请资料 Documents for Applications

认证机构应根据法律法规、标准及认证实施的需要，在认证实施细则中明确认证委托资料，应至少包括认证申请书或合同、认证委托人和生产者、生产企业的注册证明、《汽车用制动器衬片产品描述》(附件 1)、《生产一致性控制计划》(按附件 2 编写)等。

The certification authorities shall specify the entrusted documents in the implementation rules of certification by laws, regulations, standards and the actual needs of certification implementation, which shall at least include the certification applications or contracts, the registration certificates of the certification applicants, the producers and the production enterprises, *the Product Description of Automotive Brake Lining* (See Annex 1), *the Production Conformity Control Plans* (to be prepared as Annex 2) and the like.

认证委托人应按认证实施细则中申请资料清单的要求提供所需资料。认证机构负责审核、管理、保存、保密有关资料，并将资料审核结果告知认证委托人。The certification applicants shall provide the required information according to the application lists as stipulated by these certification implementation rules. The certification authorities shall be responsible for the examinations, management, preservation and confidentiality of relevant materials and shall inform the certification applicants of the examination results

5.3 实施安排 Arrangements for Implementation

认证机构应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，按照本规则及认证实施细则的要求，确定认证实施的具体方案并告知认证委托人。

The certification authorities 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

认证机构应在进行资料审核后制定型式试验方案，并告知认证委托人。认证委托人可自行选择指定实验室。

The certification authorities shall formulate the schemes for type tests and inform the certification applicants after the document examinations, and the certification applicants may choose his/her designated laboratories thereafter.

型式试验方案包括型式试验的全部样品要求和数量、检测标准项目、实验室信息等。

The type test schemes shall detail all the requirements and quantities, test standard items, laboratory information and the like about the samples.

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

认证机构应在实施细则中明确认证产品送样的相关要求。通常，型式试验的样品由认证委托人按认证机构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，认证机构也可采取现场抽样/封样方式获得样品。

The certification authorities shall specify relevant requirements in the implementation rules for the sampling of certification products. Generally, the samples for type tests shall be submitted by the certification applicants to the laboratories as designated by the certification authorities according to the requirements of the certification authority in type test schemes, and if necessary, the certification authorities may also sample or seal the products on sites.

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。认证机构和/或实验室应对认证委托人提供样品的真实性进行审查。实验室对样品真实性有疑义的，应当向认证机构说明情况，并做出相应处理。

The certifying applicants shall ensure that the samples provided by him or her are consistent with the products as actually produced. The certification authorities and/or the laboratory shall review the samples for certification as provided by the

certification applicants. Where the laboratories has doubts about the samples for certification, explanations shall be made to the certification authorities with corresponding treatment.

认证机构应依据认监委发布的相关规定文件，在认证实施细则中明确产品所用关键零部件和原材料清单。

The certification authorities shall list the key parts and raw materials used in the products as specified by these implementation rules of certification in accordance with relevant regulatory documents as issued by CNCA.

6.1.3 型式试验项目 Items of Type Tests

型式试验项目为本规则第2条中相应标准适用的强制性条款。

Items of the type tests are the compulsory provisions applicable to corresponding standards in Clause 2 of these rules.

6.1.4 型式试验的实施 Implementation of the Type Tests

型式试验应在认监委指定的实验室完成。实验室对样品进行型式试验，并对检测全过程做出完整记录并归档留存，以保证检测过程和结果的记录具有可追溯性。

The type tests shall be done in the laboratories as designated by CNCA, which shall conduct the type tests on the samples, keep complete records of the entire test process and file to ensure the records traceability of the test process and results.

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认证机构，由认证机构重新确认试验方案。

Where the test items are disqualified, rectification shall be allowed after analyzing the causes of the disqualified products and the tests shall be carried out again after the rectification. In case of any re-test, the laboratories shall inform the certification authorities of the test status, and the certification authorities shall re-confirm the test plan thereafter.

6.1.5 型式试验报告 Reports of the Type Tests

认证机构应规定统一的型式试验报告格式。

The certification authorities shall specify the unified format for type test reports.

型式试验结束后，实验室应及时向认证机构、认证委托人出具型式试验报告。

认证委托人应确保在获证后监督时能够向认证机构和执法机构提供完整有效的型式试验报告。

Upon the completion of the type tests, the laboratories shall issue the type test reports to the certification authorities and the certification applicants timely, and the certification applicants shall ensure to furnish complete and valid type test reports to the certification and law enforcement agencies during the post-certification supervision.

6.2 初始工厂检查 Initial Factory Inspections (It is applicable to factories without industrial product manufacturing license)

初始工厂检查为认证机构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。

Initial factory inspections refers 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 COP control plans + on-site inspections of COP.

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(工厂)。

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

6.2.1 基本原则 Basic Principle

工厂应按照本规则附件 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认证要求。

The factory shall establish, implement and maintain its production consistency control system in accordance with the requirements in Annex 2 of these rules to ensure that the certified products will continuously satisfy the certification standards.

认证机构应对工厂的生产一致性控制体系进行符合性检查。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 certification authorities shall verify the conformity of the factories' production consistency control systems. Initial factory inspections shall be completed within one year after passing the type tests in principle, or the product type shall be re-tested again.

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

Control Plans

工厂应按附件2的要求制定生产一致性控制计划，并提交认证机构进行审查。认证机构应将审查结果告知工厂。

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

若生产一致性控制计划能够满足本规则附件 2 要求的，生产一致性控制计划的审查通过。若认证机构认为生产一致性控制计划不满足要求，工厂应进行整改并重新提交。认证机构重新审查后将审查结果告知工厂。

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

工厂制定的生产一致性控制计划审查通过后，认证机构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、场地及范围。

After the examinations and approvals to the production conformity control plans as formulated by the factories, the certification authorities shall prepare their on-site inspection schemes for the production conformity control according to the production conformity 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，进行生产一致性工厂现场检查。

Generally, the factory on-site inspections for the production consistency shall be carried out after passing the type tests and the examinations of the production consistency control plans.

认证机构应当委派具有国家注册资质的强制性产品认证检查员组成检查组，对生产企业进行现场检查。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。

The certification authorities shall appoint their inspectors with national registration

qualifications for compulsory product certifications to form inspection teams and conduct on-site inspections to the production enterprises. 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，工厂检查组应在生产线末端或仓库经检验合格的产品中，随机抽取认证产品进行包括但不限于下述内容的检查：

During the on-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:

a. 认证产品的结构及参数；

Verify the structure and parameters of the products;

b. 认证产品现场指定试验(从生产一致性控制计划中选取)。

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

工厂检查未发现不合格项，则检查结果为合格；

Where no unqualified items are discovered in the factory inspections, the inspection results shall be deemed as qualified;

工厂检查存在不合格项，可允许整改，认证机构采取适当方式对整改结果进行确认。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，检查结果不合格。

In case of any nonconforming item discovered in the factory inspections, rectification is allowed and the certification authorities shall take appropriate measures to confirm the rectification results thereafter. The rectification time given shall not exceed 3 months, and the inspection result shall be deemed as unqualified in the event of any failure to complete the rectifications before the deadlines or that the rectification results are disqualified.

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，检查结果不合格，终止本次检查。

Where it is discovered during the factory inspections that there is any serious deviation between the implementation of the production conformity control plans and

the production consistency control schemes, or there is any significant difference in terms of the consistency of the structure and parameters between the actual products and the tested samples, the inspection results shall be disqualified, and the inspection shall be terminated.

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

认证机构对型式试验结果、和有关资料/信息进行综合评价，评价通过，按单元颁发认证证书；评价不通过，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 for the Certification

认证机构应对认证各环节的时限做出明确规定，并确保相关工作按时限要求完成。认证委托人须对认证活动予以积极配合。一般情况下，自受理认证委托起 90 天内向认证委托人出具认证证书。

The certification authorities shall specify the time limits for each certification procedure and ensure relevant work to be completed within such time limits. The certification applicants shall actively cooperate with the certification activities, and the certificates shall be issued to the certification applicants within 90 days upon the receipts of the certification entrustment if qualified.

7 获证后监督 Post-Certification Supervision

获证后监督是指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。

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.

认证机构应结合生产企业分类管理和实际情况，在认证实施细则中明确获证后监督方式选择的具体要求。

The certification authorities shall specify specific requirements for the selections of the post-certifications supervision modes as listed in the implementation rules according to the classification management of the production enterprises and the actual situations.

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

认证机构应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 certification authorities 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，认证委托人应向认证机构提交相关生产计划，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

认证机构应在确保认证风险可控的原则下，按照附件 2 制定获证后跟踪检查要求的具体内容，并在认证实施细则中予以明确。

The certification authorities shall, on the premise of ensuring the certification risk to be controlled, formulate specific contents of the requirements for post-certification follow-up inspections in accordance with Annex 2 and specify the same in the

implementation rules of certification.

7.2 生产现场抽取样品检测或者检查 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

采取生产现场抽取样品检测或者检查方式实施获证后监督的，认证委托人、生产者(制造商)、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

认证机构应在认证实施细则中制定生产现场抽样检测或者检查的内容和要求。认证机构应根据企业分类原则和产品特点制定抽样检测方案，指定人员在企业生产的合格品中(包括生产线、仓库或口岸等)按抽样检测方案抽取样品。

The certification authorities shall, in the implementation rules for certification, formulate the content and requirements on the production site sampling for tests or inspections. The certification authorities shall, according to the enterprise classification principle and the product characteristics, formulate the sampling and testing schemes, and designate personnel to sample thereunder (including production line, warehouse or port, etc.) from the qualified products as produced by the enterprises.

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，认证机构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；如生产企业不具备上述检测条件，应将样品送指定实验室检测。认证机构应在认证实施细则中明确具体要求及程序。

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; where the manufacturer fails to satisfy the aforesaid test conditions, the samples shall be submitted to the designated laboratories for tests. The certification authorities shall specify specific requirements and procedures in the implementation rules of certification.

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

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。

Where the supervision is implemented by means of market sampling tests or inspections, the certification applicants, the producers (manufacturers) and the production enterprises shall cooperate and confirm the samples taken from the market.

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

认证机构应在认证实施细则中制定市场抽样检测或者检查的内容和要求。认证机构根据产品特点制定抽样检测方案，指定人员在市场销售的认证产品中按抽样检测方案抽取样品。

The certification authorities shall formulate the content and requirements on market sampling tests or inspections in the implementation rules for certification, and shall prepare the sampling test schemes according to the product characteristics, and designate personnel to sample according to such schemes from the certified products in the market.

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

认证机构应在生产企业分类管理的基础上，对不同类别的生产企业采用不同的获证后监督频次，合理确定监督时间。具体要求应在认证实施细则中予以明确。

The certification authorities shall, on the basis of the classification management of production enterprises, apply different post-certification supervision frequency to different types of production enterprises with reasonably determined supervision

duration, of which specific requirements shall be specified in the implementation rules of certification.

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

认证机构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

认证机构对跟踪检查的结论、抽取样品检测或检查的结论和有关资料/信息进行综合评价。评价通过的, 可继续保持认证证书、使用认证标志; 评价不通过的, 认证机构应当根据相应情形做出暂停或者撤销认证证书的处理, 并予以公布。

The certification authorities shall comprehensively evaluate the conclusions of the follow-up inspections, the conclusions of the sample tests or inspections and relevant data or information. Those who pass the evaluation may continue to maintain the certificates and use the certification mark, while those who fail to pass the evaluation, the certification authorities shall suspend or revoke corresponding certificates according to the circumstances with notice to the public.

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 the that of the certificates.

8.3 认证证书的变更 Modifications of the Certificates

获证后,如果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;或认证机构在认证实施细则中明确的其他事项发生变更时,认证委托人应向认证机构提出变更委托,经认证机构批准后,方可实施变更。

After the certification, in the event that the content of any certificate is changed; or there is any change in the product certified technologies indicated by the inspection results(designs, structural parameters, key components/raw materials and the like) affecting the compliance of relevant standards; or the factories introduce any change to production consistency control plans or production conditions which may affect the production consistency; or 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 certification authorities, and such change shall be held until the approval of the certification authorities.

认证机构应根据变更的内容,对提供的资料进行评价,确定是否可以批准变更。如需样品检测和/或工厂检查,应在检测和/或检查合格后方能批准变更。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。

The certification authorities 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。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长但不得超过五年。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.

认证机构应在认证实施细则中明确认证变更的具体要求，包括认证变更的范围和程序。

The certification authorities shall specify specific requirements on the certification changes in the implementation rules of the certification, including the scope and procedures of the 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》及认证机构的有关规定执行。认证机构应确定不符合认证要求的产品类别和范围，并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*.

The certification authorities 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。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。

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

认证机构应当对认证结论负责。

The certification authorities shall be responsible for their certification conclusions.

实验室应对检测结果和检测报告负责。

The laboratories shall be responsible for test results and reports.

认证机构及其委派的工厂检查员应对工厂检查结论负责。

The certification authorities 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.

12 认证实施细则 **Implementation Rules of the Certification**

认证机构应依据本实施规则的原则和要求，制定科学、合理、可操作的认证实施细则。认证实施细则应在向认监委备案后对外公布实施。认证实施细则应至少包括以下内容：

The certification authorities formulate scientific, reasonable and operational implementation rules of the certification in accordance with the principles and requirements of these rules. The implementation rules of the certification shall be announced and implemented upon the filing with CNCA. The implementation rules for certification shall at least include the following:

(1)认证流程及时限要求；

Certification process and time limits;

(2)认证模式的选择及相关要求；

Selection of certification modes and related requirements;

(3)生产企业分类管理要求；

Requirements for the classification management on production enterprises;

(4)认证委托资料及相关要求；

Entrustment documents and related requirements for the certification;

(5)样品检测要求(包括生产现场或市场抽样检查或检测要求)；

Sample testing requirements(Including production site or market sampling inspection or testing requirements);

(6)初始工厂检查要求；

Initial factory inspection requirements;

(7)获证后监督要求；

Requirements on the Post-Certification Supervision

(8) 利用生产企业资源实施检测的要求及其他认证结果的利用；

Utilize the resources of production enterprises to implement the requirements of testing and the use of other certification results

(9)认证变更 (含标准换版)的要求；

Requirements on the certification changes (including changes to the standard versions);

(10)关键零部件和原材料清单及相关要求；

Lists of key parts and raw materials and related requirements;

(11)收费依据及相关要求；

Charging basis and related requirements;

(12)与技术争议、申诉相关的流程及时限要求。

Procedures and time limits in relation to technical disputes and appeals.

附件 1 Annex 1

汽车用制动器衬片产品描述

Description of Brake Linings for Automobiles

(需进行电子化填报, 至少应包含以下内容):

(To fill in the form of soft copy and shall at least include the following contents):

1. 单元概况

Unit Details

1.1 产品型号: _____

Product Model: _____

(包括典型型号和覆盖型号。申请中若含有两个及以上型号, 需填写“单元内产品差异描述表” 如果型号名称中有*号或×等符号, 请说明其代表的含义, 需要声明其不影响对标准的符合性。)

(To including the typical and covered models. If there are two or more than two models to be applied, please complete the "Descriptions of the Product Differences within the Unit". If there are symbols such as * or × in the model names, please explain the meanings of such names and declare that they will not affect the compliance with the standards thereafter.)

1.2 配套车型及产品类型: Applicable Automobile Models and Product Types

1.2.1 配套的整车厂或制动器厂(如有, 请说明): _____

Application Automobile Models of the Products within the Units (to choose from the following two categories and click any model if applicable)

1.2.2 单元内产品的应用车型 (从以下两类中选取, 适用任何一种车型即勾选)

Type of Products within the Units (to choose from the following categories)

☐ M1、M2、N1、O1、O2

☐ M3、N2、N3、O3、O4

1.2.3 单元内产品的类型 (从以下类别中选取)

Type of Products within the Units (to choose from the following categories)

☐ 鼓式衬片: ☐ 粘结型树脂基 ☐ 粘结型橡胶基 ☐ 非粘结型

☐ Drum Brake Linings: ☐ Adhesive Resin Base ☐ Adhesive Rubber Base

☐ Non-Adhesive

☐ 盘式衬片: ☐ 粘结型树脂基 ☐ 非粘结型

☐ Disc Brake Linings: ☐ Adhesive Resin Base ☐ Non-Adhesive

1.3 产品结构

Product Components

1.3.1 典型产品的材质和构成:

Materials and Components of Typical Products:

1.3.2 典型产品的加工工艺:

Processing Technologies of Typical Products:

1.3.3 典型产品的基本尺寸(长×宽×厚)mm:

Basic Dimensions of Typical Products (length × width × thickness) in mm:

1.3.4 典型产品的摩擦系数值或摩擦系数级别代号:

Friction Coefficient Value or grade code for Typical Products:

1.3.5 典型产品的有效摩擦面积(mm²):

Effective Friction Area (mm²) of Typical Products:

2. 照片及产品图纸: 足以识别典型产品主要特征的照片及图纸, 至少包括衬片的剖切图及安装示意图。

Products Photos and Drawings: photographs and drawings that are sufficient to identify the major features of typical products, which at least includes the sectional drawings and installation diagrams of the linings.

3.单元内产品差异描述表

Descriptions of the Product Differences within the Unit

序号 No.	型号规格 Specifications	厚度 (mm) Thickness (mm)	摩擦系数值或摩擦系数级别代号与典型产品的差异 Differences in the friction coefficient values or friction coefficient grade codes from that of typical products	关键零部件/原材料等与典型产品的差异 Differences in key parts or raw materials from that of typical products	加工工艺与典型产品的差异 Differences in processing techniques from that of typical products	其他(如结构等差异) Others (such as structural differences)
1						
2						
3						
...						

4. 关键零部件和原材料清单

Lists of the Key Parts or Raw Materials

需至少提供以下零部件/原材料(如具备)的清单: 衬片、蹄铁、背板、纤维材料、粘结剂(树脂或橡胶)材料等。清单中至少要包括关键零部件/原材料的名称、型号、规格、供货单位和进厂检验项目等内容。

Please list at least the following parts/raw materials (if applicable): linings, shoe, backing plate, fiber, agglomerant (by resin or rubber) and the like. At least the names, models, specifications, suppliers and incoming inspection items of key parts or raw materials shall be listed.

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 要求的等到的评价标准。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到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和抽样检测。

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.

注：斜体字表述的内容引用自 GB/T18305-2003。

Note: The contents in italics are quoted from GB/T18305-2003.

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的要求；

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。控制计划中至少要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. 强制性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),IATF(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.