No.: CNCA - 05C - 0##: 200#

Implementation Rule for Compulsory Certification of Agricultural Mechanical Products

Tractors

Small or Medium Type Wheeled Tractors

Promulgated on 2006-##-## Enforced on ####-##-##

Promulgated by the Certification and Accreditation Administration of the People's Republic of China (CNCA)

Contents

1 Scope of Application

The products to which this Rule applies are wheeled tractors[1)] which use a single-tank diesel engine for power driving, or a multiple-tank diesel engine with power of no more than 18.04kII (25 horsepower) for power driving.

2 Mode of Certification

Type Testing + Initial Factory Examination + Supervision after Acquisition of Certificate

3 Basic Requirements for Implementation of Certification

3.1 Application for Certification

3.1.1 Division of Certification Units

3.1.1.1 The certification units within a single factory[2)] are divided up according to the types of product structure, the power of the starting engine and the equivalent safety performance principles. Details are given in Appendix 1. Products produced at different factories cannot be categorised as the same certification unit.

3.1.1.2 When a factory applies for certification, the application must be based on the certification unit. If different factories owned by the same manufacturer apply for certification, the application for certification should be based on each certification unit of each factory.

3.1.2 Application Documents

When applying for certification, the certification authoriser should submit the following information: application form, product instructions, photograph of product, schematic diagram of product structure, specifications of the product and key items; quality handbook, Industrial and Commercial Registration Certificate (photocopy), Trademark Registration Certificate (if a request is made for the accredited certificate to indicate the trademark of the product, please provide a photocopy) and other information.

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1) For a definition of wheeled tractors, please refer to GB/T 6960 Tractor Terms.

2) 'Factory' refers to the site where final manufacturing, assembling and/or testing are conducted, and which applies the certification mark to the products for certification.

If the certification authoriser is a seller or an importer, a photocopy of the agreement of certification signed by a representative of the factory should also be provided.

If authorisation is given to someone to apply for certification, a Letter of Authorisation and a photocopy of the agreement of certification signed by the authorised person should also be provided.

3.2 Type Testing

3.2.1 Submission of Sample

3.2.1.1 Selection Principles for Sample Tractors

The certification body shall designate a representative product (meaning that the inspection result is representative of the whole certification unit of the product) on which type testing for each certification unit will be carried out.

3.2.1.2 Requirements for Submission of Samples

The certification authoriser is responsible for submitting the sample tractor for type testing according to the requirements of the certification body. The certification authoriser is responsible for completing the assembly of the sample tractor for type testing, and is responsible for the submitted sample tractor. The number of submitted samples is one tractor. If necessary, the certification authoriser can at the same time submit another backup sample tractor, which can be used if normal inspection cannot be carried out on the sample due to non-quality-related problems.

3.2.1.3 Handling of the Type Testing of Sample Tractors and Related Information

After the type testing, the testing body should appropriately handle the sample tractor and/or the related information.

3.2.2 Standard, Inspection Items and Methods for Type Testing

3.2.2.1 The standard for type testing is:

GB 18447.1 Agricultural Wheeled and Caterpillar Tractors – Safety Requirements

3.2.2.2 The inspection items for type testing shall cover all the applicable items specified in GB 18447.1.

3.2.2.3 The type testing shall be carried out according to the testing standards and requirements stipulated in GB 18447.1.

3.2.2.4 During the type testing, the testing body should check the main technical specifications of the sample tractor for type testing as well as the related contents.

3.2.3 Testing Body

Type testing shall be implemented by the testing body designated by the country.

3.3 Initial Factory Examination

3.3.1 Contents of Examination

3.3.1.1 Examination of the Quality Assurance Capacity of the Factory

The "Requirements in terms of the Quality Assurance Capacity of Factories Implementing Compulsory Product Certification" (please refer to Appendix 3) are the basic requirements for initial examination of the quality assurance capacity of factories covered by this Rule.

3.3.1.2 Inspection of Product Consistency

During factory inspections, at least one product sample of one specification model for each certification unit should be randomly taken from the production site to undergo an inspection for consistency. The following main contents shall be verified:

1) Consistency of the label, mark and model of the product for certification with the sample tractor for type testing;
2) Consistency of the main structure and parameters of the product for certification with the sample tractor for type testing;
3) Consistency of the key safety items of the product for certification with the sample tractor for type testing.

Please also refer to Appendix 2, Consistency Inspection List of Key Product Safety Items.

Should there be any query regarding the above contents, the examiner can carry out on-the-spot testing on the product for certification. If necessary, the examiner should take one random sample from the conforming products produced in the factory and submit it to the testing body designated by the country for testing. The testing items shall be determined by the certification body according to the situation.

3.3.1.3 All factories applying for certification of their products must undergo examination of the quality assurance capacity of the factory and an inspection of product consistency.

3.3.2 Time of Examination

In general circumstances, after type testing is passed, the initial factory examination shall be carried out. In special circumstances, type testing and factory examination can be carried out at the same time.

The number of person-days of factory examination shall be equivalent to the number of certification units of the product that the certification authoriser is applying for. Before deciding the number, the production size of the factory should be appropriately considered. In general, the number of person-days for each factory is 3 to 8.

3.4 Evaluation and Approval of Certification Results

3.4.1 Evaluation of Type Test results

When all the test results completely meet the requirements of the standards, the type testing is passed;
When single non-conforming items which can be corrected easily are found in the test results, correction is allowed. After correction is made and the re-testing is passed, the type testing is passed;
When many non-conforming items are found in the test results or ones which cannot be corrected easily, the type testing is failed and certification is terminated.

3.4.2 Evaluation of Initial Factory Examination

When no non-conforming item is found in the examination results, the factory examination is passed;
When non-conforming items which will not seriously endanger the safety of the product are found in the examination results, correction is allowed. The time allowed for correction shall not exceed 3 months. After a re-examination is made and passed, the factory examination is passed;
When non-conforming items which will seriously endanger the safety of the product are

found in the examination results, the factory examination is failed.

3.4.3 Evaluation and Approval

The certification body carries out a summary evaluation of the results of the type testing and factory examination. The type testing and factory examination must be passed. After the results are verified by the certification body, an accredited certificate shall be issued (one accredited certificate is issued to each applying unit). The use of the accredited certificate should meet the requirements of the "Compulsory Product Certification Management Regulations".

3.4.4 Time Limit of Certification

The time limit of certification refers to the working days actually elapsed from the date of signing the agreement of certification to the date of issue of the accredited certificate, mainly covering the time required for type testing, factory examination, assessing and approving the conclusions of the certification, and the time for producing an accredited certificate.

The type testing generally lasts for 30 days (excluding the time required for enterprises to correct the failed test items and undergo retesting), calculated as from the receipt of the sample product and the testing fee.

The time required for submission of a report after factory examination is 10 days, calculated from the date on which the examiner completed the on-the-spot examination, and received an effective report on the corrective measures taken to remedy the non-conformance, submitted by the factory.

The time for assessing and approving the conclusions of certification and the time for producing the accredited certificate generally do not exceed 5 days.

3.5 Supervision after Acquisition of Certificate

3.5.1 Frequency of Supervision

3.5.1.1 Under general circumstances, as from the 12^{th} month after acquisition of the certificate, supervision shall be carried out at least once every year. The interval of supervision shall generally be around 12 months.

3.5.1.2 Under any one of the following circumstances, the frequency of supervision can be increased:

1) A serious quality problem arises in the certified product, or a complaint is received from a user and is considered, on checking, to be the responsibility of the certificate-holder;
2) When the certification body has sufficient reason to query the conformance of the certified product with the standard safety requirements;
3) There is sufficient information to indicate that changes to the factory, such as changes to its organisational structure, production conditions, quality management system, etc, may affect the conformance or consistency of products.

3.5.2 Methods and Contents of Supervision

3.5.2.1 Methods of Supervision

The methods of supervision after certification are: Supervision and Examination of Factory + On-the-Spot Inspection of Product / Sampling and Testing of Product

3.5.2.2 Supervision and Examination of Factory

After the certificate is acquired, part of the contents of Appendix 3, "Requirements in terms of the Quality Assurance Capacity of the Factory", are used for the supervision and examination of the factory every year. The necessary inspection items include sections and subsections 3, 4.1, 4.3, 4.5, 5 and 9. The re-inspection to be made every 4 years should cover all the contents of the "Requirements in terms of the Quality Assurance Capacity of the Factory".

In the 5th year after acquisition of the certificate, a full examination shall be made of the factory according to the "Requirements in terms of the Quality Assurance Capacity of the Factory". The contents of the examination and the time of examination shall be the same as those of the initial factory examination.

The time of each re-inspection of each factory shall generally be 1 to 4 person-days.

3.5.2.3 On-the-Spot Inspection of Product

A minimum of one random sample product of one specification model for each certification unit should be taken away from the production site to undergo a consistency inspection according to subsection 3.3.1.2.

A minimum of one random sample product of one specification model for each certification unit should be taken away from the production site to undergo a product conformance inspection according to subsection 3.2.2.1. The number of inspection items should not be less than 1/4 of the number of type testing items. Basically, all the inspection items should be covered within 4 years.

3.5.2.4 Sampling and Testing of Certified Product

The cycle of sampling and testing of the certified product is generally 5 years.

After the certificate has been acquired, sampling and testing should be implemented on the certified products once every 5 years. An example of one model of a product shall be taken away to undergo testing.

The number of random samples of the product, as well as the standards, items and methods of product sampling and testing shall be the same as those for type testing.

The sampling staff shall be appointed by the certification body.

The sample of the product to be tested shall be taken at random from the qualified products recently produced (generally within 6 months) in the factory (including the random samples taken from the production line, in the warehouse and on the market).

The testing of the random sample shall be implemented by the testing body designated by the country.

3.5.3 Evaluation of Supervision Results

After the supervision is passed, the certification qualifications can be continuously retained and the certification mark can be used. If the supervision is failed, corrections should be made within 3 months. If no correction is made within 3 months, the certification qualifications shall be cancelled. Use of the certification mark shall be banned, and this ban shall be announced to the public.

4 Retaining and Change of Accredited Certificate

4.1 Retaining of Accredited Certificate

This rule covers the accredited certificate of the product. But in principle, its expiry date shall not be specified. The accredited certificate shall remain valid by relying on the regular supervision of the certification body.

4.2 Change of Accredited Certificate

4.2.1 Extension of the Scope of Certified Products

4.2.1.1 If the scope of the certified product needs to be expanded, the holder of the accredited certificate should submit the application form and the related application information to the certification body (in this application, the effective information already submitted in the

original application does not need to be re-submitted).

4.2.1.2 When the scope of the certified product needs to be expanded within the scope of the certified certification unit, the certification body should check the consistency between the product as changed and the original certified product, confirm the effectiveness of the original certification results if the product is changed, and carry out supplementary product testing or factory examination focusing on the difference.

4.2.1.3 When the scope of the certified product needs to be expanded beyond the scope of the certified certification unit, the certification procedures shall be the same as those for initial certification. The factory examination exemption shall be the same as for the contents of the system of the certified products.

4.2.1.4 After these requirements are met, an independent accredited certificate or a renewed accredited certificate shall be issued according to the requests of the holder of the accredited certificate.

4.2.2 Narrowing of the Scope of Certified Products

4.2.2.1 Through the channel of supervision, etc after the acquisition of the certificate, if part of the scope of the certified product is proved not to meet the certification requirements, the certification body should withdraw the certification qualifications of the product, and narrow the scope of the certified product.

4.2.2.2 When the certified enterprise intentionally applies for cancellation of part of the scope of the certified product, the certification body shall narrow the scope accordingly.

4.2.2.3 After the scope of the certified product is narrowed, the certification body shall re-issue an accredited certificate.

4.2.3 Change of Names, Address or Other Contents of Accredited Certificate

If the name, address or other contents of the accredited certificate need to be changed, the holder of the accredited certificate should submit the application documents to the certification body. According to the contents to be changed, the certification body makes written confirmation, carries out an additional examination of the factory, type testing, etc. After the change is found to have met the requirements, a renewed accredited certificate shall be issued.

4.3 Temporary Suspension, Cancellation and Withdrawal of Accredited Certificate

The temporary suspension, cancellation and withdrawal of an accredited certificate shall be implemented according to the “Compulsory Product Certification Management Regulations”.

5 Requirements for the Use of the Certification Mark

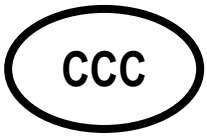
The holder of the accredited certificate must comply with the requirements of the "Management Methods of the Compulsory Product Certification Mark."

5.1 Use of the Certification Mark in a Non-Standard Form

This rule covers any non-standard form of the certification mark, which may not be added to product.

5.2 Approved Mark Pattern for Use

The certification mark is:



5.3 Methods of Application

The unified standard and specifications of the certification mark can be printed. Alternatively the method of mould pressing or printing of a label can be adopted.

5.4 Position of Application

If the unified standard and specifications of the certification mark are to be printed, the certification mark should be affixed in a position near the label of the product. The size of a certification mark is 30 x 45 mm. If mould pressing or label printing is adopted, the mark can only be added in the approved positions.

6 Requirements for Collection of Fees

The certification fee shall be collected by the certification body according to the relevant regulations of the country in question.

Appendix 1: Division Table for Certification Units in a Single Factory

<table>
<tr><td>Product to be certified</td><td>Serial No. of Unit</td><td colspan="2">Unit of product to be certified</td></tr>
<tr><td rowspan="4">Wheeled tractor using single-tank diesel engine for driving power</td><td>1</td><td rowspan="2">Caterpillar driven</td><td>Power ≤ 14.71kW (20 horsepower)</td></tr>
<tr><td>2</td><td>Power > 14.71kW (20 horsepower)</td></tr>
<tr><td>3</td><td rowspan="2">Directly driven</td><td>Power ≤ 14.71kW (20 horsepower)</td></tr>
<tr><td>4</td><td>Power > 14.71kW (20 horsepower)</td></tr>
<tr><td>Wheeled tractor using single-tank diesel engine for driving power</td><td>5</td><td colspan="2">Power ≤ 18.40kW (25 horsepower)</td></tr>
</table>

Appendix 2: Inspection List for Consistency of Key Product Safety Items for Wheeled Tractors

Serial No.	Name		Contents of Consistency Inspection
1	Whole Machine		Label and mark, structural type, main technical specifications
2	Key Safety Items	Starter	Structural type, model number and specifications, main technical specifications
3		Clutch Assembly	Structural type
4		Gearbox Assembly	Structural type, main technical specifications
5		Brake Assembly	Structural type, main technical specifications
6		Steer Assembly	Structural type
7		Silencer	Main technical specifications
8		Wheel Assembly	Structural type, main technical specifications

Appendix 3: Requirements in terms of the Quality Assurance Capacity of Factories Implementing Compulsory Product Certification

In order to guarantee the consistency of the batched product to be certified with the sample which has passed the type testing, the factory should meet the requirements in terms of product quality assurance capacity specified herein.

1. Duties and Resources

1.1 Duties

The factory should specify the duties of different staff involved in quality activities as well as their mutual relationships. The factory should also designate a person from the organisation to be in charge of quality. Apart from his/her duties in other areas, this staff member should have the following duties and authorities:

a) Be responsible for building a quality system that meets the requirements specified herein, and ensure its implementation and maintenance;
b) Ensure that the product with the compulsory certification mark affixed meets the requirements of the certification standards;
c) Establish the documentation procedures and ensure that the certification marks are kept properly and used;
d) Establish the documentation procedures and ensure that the non-conforming product and the changed certified product shall not have the certification mark affixed before confirmation by the certification body.

The person responsible for quality should be sufficiently competent to fulfil the duties of this post.

1.2 Resources

The factory should be equipped with the production equipment and inspection equipment needed to satisfy the conditions for stable production and meet the compulsory certification standards of the product. The related human resources should be allocated. Make sure that the staff who are doing the work which affects product quality possess the necessary

ability. An environment for appropriate production, inspection, testing, storage, etc of products should be maintained.

2. Documents and Records

2.1 The factory should establish and maintain the quality plan or the similar documents of the documented product for certification, and the documents required for effective operation and control in the related product quality assurance process. The quality plan should include the goals of product design, the implementation process, testing and the related stipulations in terms of resources, changes (standards, techniques, key articles, etc) of the certified product, management of the use of the mark, etc.

The standards or norms of product design should form the content of a quality plan, whose requirements should not be lower than the related national standard product requirements.

2.2 The factory should establish and maintain the documentation procedures so as to have effective control over the documents and information required in relation thereto. These types of control should ensure that:

a) before a document is dispatched and if a document is changed, it is approved by the authoriser so as to ensure its appropriateness;
b) changes to a document and its revision status are visible so as to prevent void documents from being used inappropriately;
c) effective versions of the corresponding documents can be acquired at the place that uses them.

2.3 The factory should establish and maintain the documentation procedures for the labelling, storage, maintenance and handling of the quality records. The quality records should be clear and complete so that they can serve as evidence that the product meets the stipulated requirements.

The quality records should bear an indication of a suitable time limit for storage.

3. Inspection of Purchase and Merchandising

3.1 Control over Suppliers

The factory shall formulate the procedures of selection, assessment and daily management of the suppliers that supply key articles and materials so as to ensure that the suppliers are

capable of guaranteeing that the key articles and materials of the product meet the requirements.

The factory should keep the evaluation records of the selected suppliers and the daily management records.

3.2 Inspection/Verification of Key Articles and Materials

The factory should establish and keep records of the inspection or verification procedures for key articles and materials provided by the suppliers, and confirm the inspection procedures regularly, so as to ensure that the key articles and materials meet the certification requirements.

The inspection of key articles and materials can be carried out by the factory, or completed by the suppliers. When they are inspected by the suppliers, the factory should provide the suppliers with clear inspection requirements.

The factory should keep the inspection or verification records of key articles, and confirm the inspection records as well as the passed certificates and the related inspection data, etc, provided by the suppliers.

4. Control of the Production Procedures and Process Inspection

4.1 The factory should identify the key working procedures of production. The operators of key production procedures should possess the relevant abilities. If the working procedures are not specified in documents and product quality thus cannot be guaranteed, a suitable technical operation guidebook should be drawn up in order to maintain control of the production process.

4.2 In the product production process, if there are requirements regulating the environmental conditions, the factory should guarantee that the working environment meets the requirements.

4.3 If workable, the factory should supervise the suitable process parameters and the product characteristics.

4.4 The factory should establish and maintain the production equipment maintenance system.

4.5 The factory should inspect the product at the appropriate production stage, so as to ensure that the product and its parts are consistent with the sample to be certified.

5. Routine Inspection and Confirmation of Inspection

The factory should formulate and keep records of the documented routine inspection, and confirm the inspection procedures so as to verify whether the products meet the requirements. The inspection procedures should include the inspection items, contents, methods, result, etc. The inspection records should be kept properly.

Routine inspection is a 100% inspection of the products on the production line at the final stage of production. Normally, after inspection, apart from packaging and attachment of a label, no further processing shall be done.

The inspection is confirmed by carrying out inspection of the random sample of the certified product so as to verify that the product continuously meets the requirements of the Standard.

6. Inspection and Testing Instruments and Equipment

The equipment used for inspection and testing should be regularly calibrated and inspected, and should satisfy the inspection and testing capacities.

There should be regulated operating procedures for the inspection and testing instruments. The inspectors should be able to use the instruments and equipment accurately according to the requirements of operating procedures.

6.1 Calibration and Checking

The inspection and testing instruments and equipment for confirming the produced products' conformance with the requirements should be periodically calibrated or checked according to the requirements. The calibration or checking should be traced back to the appropriate national or international standards. In terms of autonomous calibration, the calibration methods, acceptance criteria after inspection and the calibration cycle should be clearly specified. The status of calibration of equipment should be available for use and identifiable to the management staff.

The calibration records of equipment should be kept properly.

6.2 Inspection of Functioning

Regarding the equipment for routine inspection and confirmation of inspection, apart from the daily inspection of its operation, an inspection of its functioning should also be made. When the inspection results of its functioning are found not to meet the requirements, the tested products should be traced. If necessary, these products should be re-tested. The operator should be strictly requested to take steps if any equipment functions are not operational.

The results of inspections of functioning and the adjustment measures taken should be recorded.

7. Control of Non-Conforming Products

The factory should establish procedures for controlling non-conforming products, which should include the identification, separation and handling methods of non-conforming products, and the corrective and preventive measures to be taken. The repaired and remade products should be re-tested. For important parts or components which are repaired, corresponding records should be kept. Records of the handling of non-conforming products should also be kept.

8. Internal Quality Examination

The factory should establish documented internal quality examination procedures, to ensure the effectiveness of the quality system and its consistency with the products to be certified.

Records of complaints against the factory, especially complaints about the products' non-conformance with the standard requirements, should be kept. These records should detail information on the internal quality examination.

If problems are found in the examination process, corrective and preventive measures should be taken, and records should be made.

9. Consistency of Certified Products

The factory should control consistency between the batched products and the products which have passed the type testing so that the certified products meet the stipulated requirements

continuously.

The factory should establish procedures for control of changes to factors such as key items in terms of the product and materials, structure, etc, which may affect the products' conformance with the stipulated requirements. Before implementation of any change to certified products (which may affect conformance with the related standards or consistency with the sample tractor for type testing), the change has to be applied and reported to the certification body, and approved by the body.

10. Packaging, Transportation and Storage

Any packaging and transportation operation performed by the factory as well as the storage environment shall not affect the products' conformance with the stipulated standard requirements.