IMPLEMENTING ARRANGEMENT 1

OF

THE AGREEMENT BETWEEN

THE GOVERNMENT OF NEW ZEALAND

THE GOVERNMENT OF THE PEOPLE'S REPUBLIC OF CHINA ON CO-OPERATION IN THE FIELD OF CONFORMITY ASSESSMENT IN RELATION TO ELECTRICAL AND ELECTRONIC EQUIPMENT AND COMPONENTS

In accordance with Article 3 of the Agreement between the Government of New Zealand and the Government of the People's Republic of China on Co-operation in the field of Conformity Assessment in Relation to Electrical and Electronic Equipment and Components ("the Agreement") the Responsible Authorities hereby conclude the following Implementing Arrangement.

PART I GENERAL

Section 1 Terminology

Unless the context otherwise requires, the definitions in the Agreement apply to this Implementing Arrangement.

Section 2

Communication between

Responsible Authorities, Accreditation Agencies, Personnel Certification Body and Conformity Assessment Bodies

- 1. The Responsible Authorities, Accreditation Agencies, Personnel Certification Body and Conformity Assessment Bodies may, as appropriate, communicate directly with each other and their clients.
- 2. Where possible, information will be sent between Responsible Authorities, Accreditation Agencies, Personnel Certification Body and Conformity Assessment Bodies by secure electronic means.
- 3. Documents that are not able to be sent by secure electronic means will be sent between Responsible Authorities, Accreditation Agencies,

Personnel Certification Body and Conformity Assessment Bodies via airmail or an equivalent air courier service.

PART II RESPONSIBLE AUTHORITIES

Section 3 Preparation of Forms and Documents

- 1. Any new forms, other documents or procedures necessary to give effect to this Part of this Implementing Arrangement, and any amendments thereto, will be jointly decided after consultation between the Responsible Authorities.
- Unless the Responsible Authorities jointly decide otherwise in writing, the Responsible Authorities will send each other liaison forms, requests for information and information exchanges by secure electronic means.

Section 4 Responsible Authorities and Contact Points

1. The New Zealand Responsible Authority is:

Ministry of Economic Development 33 Bowen Street Wellington New Zealand

> Contact Point for electrical safety: Mr Peter Morfee Energy Safety

Contact Point for electro-magnetic compatibility: Mr Wayne Wedderspoon Energy Safety

2. The Chinese Responsible Authority is:

Certification and Accreditation Administration of the People's Republic of China
9 Madiandonglu
Haidian District
Beijing
People's Republic of China 100088

Contact Point: Ms Bo Yumin

Section 5 Mandatory Requirements for Specified Products

- The Specified Products, the applicable product related standards for Specified Products from China to New Zealand, and the applicable CCC Implementation Rules are set out in Schedule A.1 of this Implementing Arrangement.
- 2. The Specified Products, the applicable product related standards for Specified Products from New Zealand to China, and the applicable CCC Implementation Rules are set out in Schedule A.2 of this Implementing Arrangement.

PART III ACCREDITATION AGENCIES FOR TEST FACILITIES

Section 6 Accreditation Agencies for Test Facilities and Contact Points

1. The New Zealand Accreditation Agency for test facilities is:

International Accreditation New Zealand 626 Great South Road Greenlane Auckland New Zealand

Contact Point: Dr Llewellyn Richards

2. The Chinese Accreditation Agency for test facilities is:

China National Accreditation Service for Conformity Assessment A10 Chaowai Dajie Chaoyang District Beijing 100020 People's Republic of China

Contact Point: Mr Wei Hao

Section 7

Preparation of Forms and Documents for Accreditation of Test Facilities

1. Any new forms, other documents or procedures necessary to give effect to this Part of this Implementing Arrangement, and any amendments

- thereto, will be jointly decided after consultation between the Accreditation Agencies for Test Facilities.
- Unless the Accreditation Agencies for Test Facilities jointly decide otherwise in writing, the Accreditation Agencies will send each other liaison forms, requests for information and information exchanges by secure electronic means.

Section 8 Criteria for Recommending and Accepting or Designating Test Facilities

- 1. The basis for recommending and accepting or designating a Test Facility will be:
 - accreditation to ISO/IEC 17025, conducted in accordance with (a) ISO/IEC 17011 relevant International and Accreditation Co-operation quidance bv the Accreditation Agency of the demonstrated competence of that Test Facility to carry out conformity assessments in accordance with applicable CCC Implementation Rules to the relevant product standards specified in Schedule A.1 or A.2 of this Implementing Arrangement; and
 - (b) compliance with the other Mandatory Requirements for accepting or designating Test Facilities set out in Schedule B to this Implementing Arrangement.
- 2. For the purposes of ensuring that the accepted or designated Test Facilities maintain the necessary technical competence to demonstrate the conformity of a product with the standards and/or specifications to meet relevant Mandatory Requirements, the relevant Accreditation Agency for Test Facilities or the relevant Responsible Authority, as the case may be, will carry out assessments of accepted or designated Test Facilities annually.
- 3. The Accreditation Agencies for Test Facilities will encourage their accepted or designated Test Facilities to participate in secondment programmes, relevant proficiency-testing programmes and other comparative reviews so that confidence in their technical competence to carry out the required tests is developed and maintained.
- 4. The relevant Accreditation Agency for Test Facilities will recommend to

the relevant Responsible Authority the scope of Conformity Assessment Activities for which a Test Facility is to be accepted or designated. Any obligation to accept the results of Conformity Assessment Activities to the applicable Mandatory Requirements will be limited to results within the scope specified by the relevant Responsible Authority.

Section 9 Information Requirements for Acceptance of New Zealand Test Facilities

The New Zealand Responsible Authority, at the time of recommending a Test Facility, will provide the following details to the relevant Chinese contact points in respect of each Test Facility that is being recommended:

- (a) the name;
- (b) the postal address:
- (c) the facsimile (fax) number (if available);
- (d) an email address (if available);
- (e) the name and telephone number of a contact person in that Test Facility;
- (f) the name of the Accreditation Agency;
- (g) the scope of conformity assessment activities for which acceptance is being recommended, detailing the range of Specified Products, reference standards and deviations, methods of test, capability and any other relevant details; and
- (h) the date of recommendation.

PART IV ACCREDITATION AGENCIES FOR CERTIFICATION BODIES

Section 10 Accreditation Agencies for Certification Bodies and Contact Points

1. The New Zealand Accreditation Agency for Certification Bodies is:

Joint Accreditation System of Australia and New Zealand

(JAS-ANZ) Level 5 22 The Terrace Wellington New Zealand

Contact Point: James Galloway

2. The Chinese Accreditation Agency for Certification Bodies is:

China National Accreditation Service for Conformity Assessment A10 Chaowai Dajie Chaoyang District Beijing 100020 People's Republic of China

Contact Point: Mr Wei Hao

Section 11 Preparation of Forms and Documents for Accreditation of Certification Bodies

- 1. Any new forms, other documents or procedures necessary to give effect to this Part of this Implementing Arrangement, and any amendments thereto, will be jointly decided after consultation between the Accreditation Agencies for Certification Bodies.
- 2. Unless the Accreditation Agencies for Certification Bodies jointly decide otherwise in writing, the Accreditation Agencies for Certification Bodies will send each other liaison forms, requests for information and information exchanges by secure electronic means.

Section 12 Criteria for Recommending and Accepting or Designating Certification Bodies

- 1. The basis for recommending and accepting or designating a Certification Body will be:
 - (a) accreditation to ISO/IEC Guide 65, conducted in accordance with ISO/IEC 17011 and relevant International Accreditation Forum guidance by the relevant Accreditation Agency, of the demonstrated competence of that Certification Body to carry out conformity assessments in accordance with applicable CCC

Implementation Rules to the relevant product standards specified in Schedule A.1 or A.2 of Implementing Arrangement 1; and

- (b) compliance with the other Mandatory Requirements for accepting or designating Certification Bodies set out in Schedule C to this Implementing Arrangement.
- 2. For the purposes of ensuring that the accepted or designated Certification Bodies maintain the necessary technical competence to demonstrate the conformity of a product with the standards and / or specifications to meet relevant Mandatory Requirements, the relevant Accreditation Agency for Certification Bodies or the relevant Responsible Authority, as the case may be, will carry out assessments of accepted or designated Certification Bodies annually.
- 3. The Accreditation Agencies for Certification Bodies will encourage their accepted or designated Certification Bodies to participate in secondment programmes and comparative reviews so that confidence in their technical competence to carry out the required certification is developed and maintained.
- 4. The relevant Accreditation Agency for Certification Bodies will recommend to the relevant Responsible Authority the scope of Conformity Assessment Activities for which a Certification Body is to be accepted or designated. Any obligation to accept the results of Conformity Assessment Activities to the applicable Mandatory Requirements will be limited to results within the scope specified by the relevant Responsible Authority.

Section 13 Information Requirements for Acceptance of New Zealand Certification Bodies

The New Zealand Responsible Authority, at the time of recommending a Certification Body, will provide the following details to the relevant Chinese contact points in respect of each Certification Body that is being recommended:

- (a) the name:
- (b) the postal address:
- (c) the facsimile (fax) number (if available);

- (d) an email address (if available);
- (e) the name and telephone number of a contact person in that Certification Body;
- (f) the name of the Accreditation Agency;
- (g) the scope of conformity assessment activities for which acceptance is being recommended, detailing the range of Specified Products and referencing the relevant implementation rules and any other relevant details; and
- (h) the date of recommendation.

PART V PERSONNEL CERTIFICATION BODY

Section 14 Personnel Certification Body and Contact Point

The Personnel Certification Body is:

China Certification and Accreditation Association A10 Chaowai Dajie Chaoyang District Beijing 100020 People's Republic of China

Contact Point: Mr Li Qiang

Section 15

Preparation of Forms and Documents for Personnel Certification Body

- Any new forms, other documents or procedures necessary to give effect to this Part of this Implementing Arrangement, and any amendments thereto will be decided by the Personnel Certification Body.
- The Personnel Certification Body will notify in writing the relevant Accreditation Agency and the relevant Certification Body that has been accepted or has applied for acceptance of any new forms, other documents or procedures it has decided.
- 3. The Personnel Certification Body and the Certification Bodies will send each other liaison forms, requests for information and information

exchanges by secure electronic means, unless the Personnel Certification Body decides otherwise.

Section 16 Criteria for Recommending or Registering Inspectors

- 1. The basis and criteria for recommending or registering an Inspector, as the case may be, will be compliance with the Mandatory Requirements set out in Schedule D of this Implementing Arrangement.
- The Personnel Certification Body or the relevant Certification Bodies will specify or recommend the scope of the inspections for which an Inspector is to be registered, citing the reference numbers of the CCC Implementation Rules. Any obligation to register an Inspector under Article 10 of the Agreement will be limited to the scope of Conformity Assessment Activities so recommended.

Section 17 Information Requirements for Registration of New Zealand Inspectors

A relevant Certification Body, at the time of recommending an Inspector, will provide the information specified in Schedule D to the relevant Contact Point of the Personnel Certification Body in respect of each Inspector that is being recommended.

Section 18

Fees for Registration of New Zealand Inspectors recommended by accepted Certification Bodies

The fee payable to the Personnel Certification Body for registration of an Inspector recommended by an accepted Certification Body is set out in Schedule D.

PART VI

CERTIFICATION AND MARK APPROVAL

Section 19 Certification of Specified Products

An accepted Certification Body at the time of recommending a Specified Product for certification will provide the following details to the relevant designated Certification Body in respect of each Specified Product for which certification is being recommended:

- (a) name and address of the applicant;
- (b) name, type/model or name of the series that the product belongs to, relevant technical specifications and registered trademark or brand name if any;
- (c) names and addresses of the manufacturer and the factory or factories where the product is manufactured or assembled;
- (d) reference numbers of standards used for certification;
- (e) a copy of the complete valid certificate including its annexes if any issued by the recommending Certification Body;
- (f) the abbreviated name of the Certification Body that issues the certificate and makes the recommendation.

Section 20 Fees for Acceptance of New Zealand Certification

The fees payable to a Chinese Certification Body for acceptance of a New Zealand Certification are set out in Schedule C.

Section 21 CCC Mark Centre

The CCC Mark Centre is:

The CCC Mark Issuance & Management Centre A10 Chaowai Dajie Chaoyang District Beijing 100020 People's Republic of China

Section 22 Mark Approvals

- The rules for issuing a CCC Mark or granting approval to apply a CCC Mark, including the format of the relevant application forms for obtaining a CCC mark approval, are set out in Schedule E to this Implementing Arrangement.
- 2. Where certification has been carried out by a Chinese Certification Body to the Mandatory Requirements listed in Schedule A.1 of this

- Implementing Arrangement, the New Zealand Mark will be placed on the product in accordance with Schedule E.
- 3. The fees payable to the CCC Mark Approval Centre for mark approval for New Zealand Specified Products are contained in Schedule E.

PART VII MUTUAL UNDERSTANDINGS

Section 23 Co-operation

- 1. The Responsible Authorities, Accreditation Agencies, Personnel Certification Body and Conformity Assessment Bodies will co-operate with a view to the effective and efficient operation of the Agreement and this Implementing Arrangement.
- 2. The Responsible Authorities will implement any measures they jointly deem necessary and appropriate to improve the operation of the Agreement.

Section 24 Amendments

- 1. The Parties, through the Responsible Authorities, may amend this Implementing Arrangement at any time by joint decision in writing. Except as provided in paragraph 2, any such amendments will come into effect on the date of such decision.
- Any amendments to the Schedules to this Implementing Arrangement will come into effect on the date on which the Responsible Authorities have exchanged written notification of the completion of the domestic procedures necessary to give effect to them in their respective territories.
- 3. Where any changes notified under Article 15.1 of the Agreement require amendments to this Implementing Arrangement:
 - (a) in the case of amendments that are acceptable to the Responsible Authority receiving the notification, the Parties, through the Responsible Authorities, will take the necessary steps to amend this Implementing Arrangement as expeditiously as possible; and

- (b) in the case of amendments that are not acceptable to the Responsible Authority receiving the notification, the Parties will enter into technical consultations under Article 19 of the Agreement to resolve the matter.
- 4. In the case of changes notified under Article 15.1 of the Agreement to any legislative, regulatory or administrative requirements or documentation referred to, but not reproduced in this Implementing Arrangement or its Schedules, such changes will apply to this Implementing Arrangement and its Schedules unless the Responsible Authority receiving a notification under Article 15 of the Agreement advises the other Responsible Authority within 30 days of receiving the notification that the changes are not acceptable. In such a case the Parties will enter into technical consultations under Article 19 of the Agreement to resolve the matter.

Section 25 Entry into Effect and Termination

- 1. This Implementing Arrangement will come into effect on the date of entry into force of the Agreement.
- 2. In the event of termination of the Agreement, this Implementing Arrangement will terminate on the same date.

| SIGNED | in two | copies | at | 0 | n | the | day | of |
|--------|---------|------------|--------|--------------------|----|-----------------|------|------|
| | 2008 in | the Englis | sh and | Chinese languages, | bo | oth texts being | equa | ılly |
| valid. | _ | | | | | | | |

SCHEDULE B OF IMPLEMENTING ARRANGEMENT 1 MANDATORY REQUIREMENTS FOR ACCEPTING AND DESIGNATING TEST FACILITIES

- 1) To be accepted or designated, a Test Facility will:
 - a) have technical and management competence to carry out testing of Specified Products for compliance with the applicable Mandatory Requirements under the Agreement within the scope for which it is to be accepted or designated;
 - b) operate in accordance with ISO/IEC 17025, relevant requirements in the International Laboratory Accreditation Cooperation Mutual Recognition Arrangement and Asia Pacific Laboratory Accreditation Cooperation Mutual Recognition Arrangement and the relevant CCC Implementation Rules and be accredited to these requirements by the Accreditation Agency within its own territory;
 - c) be familiar with the products-related standards, including any deviations required, applicable CCC Implementation Rules and other Mandatory Requirements, within the scope that it is to be accepted or designated for, and it will establish mechanisms to implement the above-mentioned standards, rules and requirements and keep them updated;
 - d) meet any special accreditation requirements in particular areas, issued by the Chinese Accreditation Body and recorded with the Chinese Responsible Authority, and establish mechanisms to implement and keep updated on the above-mentioned accreditation requirements. The special accreditation requirements are as follows:
 - i) CNAS-CL11 Guidance on the Application of Laboratory Accreditation Criteria in the Field of Electrical Testing;
 - ii) CNAS-CL12 Guidance on the Application of Laboratory Accreditation Criteria in Medical Apparatus and Instrument Testing;
 - iii) CNAS-CL15 Guidance on the Application of Laboratory Accreditation Criteria in the Field of Electro-acoustic Testing; and
 - iv) CNAS-CL16 Guidance on the Application of Laboratory Accreditation Criteria in the Field of Electromagnetic Compatibility Tests;
 - e) establish management procedures to ensure traceability of the whole testing process, integrity and credibility of original records of testing,

and effective control of projects and to ensure that the original records of testing are retained for a period of not less 5 years after the product has ceased to be sold;

- f) have adequate experience in testing in general and will have experience for more than two years or have issued more than 20 test reports in the field or fields that relate to the scope that is to be accepted or designated for;
- g) meet any special requirements relating to experience in testing particular Specified Products if:
- the Responsible Authority of the Party that wishes to impose those special requirements has notified, in writing, the other Responsible Authority and the Accreditation Agencies for Test Facilities of the special requirements; and
- ii) the other Responsible Authority has notified the first Responsible Authority that it has no objections to those special requirements;
- be a third-party and independent test facility, whose organizational structure and structure of property ownership will not cause any commercial pressure on any conformity assessment activity for which it is accepted or designated under the Agreement; and
- participate in relevant proficiency testing and inter-laboratory comparative testing organized by their Responsible Authority or the relevant Accreditation Body to maintain and enhance confidence in their technical competence within the scope of their acceptance or designation.
- 2) Where possible, the Responsible Authorities will ensure that for each Specified Product scope, there are two or more accepted or designated Test Facilities within its own territory. In order to seek balance between the amount of resources and the actual need for those resources, and to maintain simplicity and convenience, the number of accepted or designated Test Facilities may be limited on the basis of actual need by the Responsible Authority making the recommendation or designation.

SCHEDULE C OF IMPLEMENTING ARRANGEMENT 1 MANDATORY REQUIREMENTS FOR ACCEPTING AND DESIGNATING CERTIFICATION BODIES

- 1) To be accepted or designated, a Certification Body will:
 - a) have technical and management competence to carry out certification for Specified Products for compliance with the applicable Mandatory Requirements under the Agreement within the scope for which it is to be accepted or designated;
 - operate in accordance with ISO/IEC Guide 65, related International Accreditation Forum guidance, and the appropriate CCC Implementation Rules, and be accredited to these requirements by the Accreditation Agency within its own territory;
 - ensure that the personnel involved in any part of the certification process are competent to carry out their assignments, and make technical judgments and conclusions in accordance with the Mandatory Requirements;
 - d) be familiar with the products-related standards, including any deviations required, applicable CCC Implementation Rules and other Mandatory Requirements, within the scope that it is to be accepted or designated for, and it will establish mechanisms to implement the above-mentioned standards, rules and requirements and keep them updated;
 - e) establish management procedures to ensure traceability of the whole certification process, integrity and credibility of original records of certification, and effective control of projects and to ensure that the original records of certification are retained for a period of not less than 5 years after the Specified Product has ceased to be sold:
 - make arrangements to cover liabilities arising from its operations under the Agreement, such as appropriate insurance that covers the scope for which it is to be accepted or designated or maintain minimal contingency reserves equivalent to six months of the Certification Body's operating costs;
 - g) have adequate experience in product certification in general and will have experience for more than two years or have issued more than 20 certificates in the field or fields that relate to the scope that is to be accepted or designated for;

- h) meet any special requirements relating to experience in certifying particular Specified Products if:
 - the Responsible Authority of the Party that wishes to impose those special requirements has advised, in writing, the other Responsible Authority and the Accreditation Agencies for Certification Bodies of the special requirements; and
 - ii) the other Responsible Authority has advised the first Responsible Authority that it has no objections to those special requirements;
- have direct control of or a contractual relationship with Test Facilities that are accepted or designated, or have applied for acceptance or designation, covering the same scope as that for which the Certification Body is to be accepted or designated;
- j) employ or have direct control of Inspectors who are registered, or have applied for registration, covering the same scope as that for which the Certification Body is to be accepted or designated, and ensure that they have a contractual obligation to carry out the inspections that are required in relation to any CCC certificate that is recommended or issued under the Agreement;
- k) be a third-party and independent certification body, whose organizational structure and structure of property ownership will not cause any commercial pressure on any conformity assessment activity for which it is accepted or designated under the Agreement.
- 2) Where possible, the Responsible Authorities will ensure that for each Specified Product scope, there are two or more accepted or designated Certification Bodies accepted or designated within its own territory. In order to seek balance between the amount of resources and the actual need for those resources, and to maintain simplicity and convenience, the number of accepted or designated Certification Bodies can be limited on the basis of actual need by the Responsible Authorities.
- 3) An accepted Certification Body will ensure that its inspection teams have the professional knowledge and abilities that relate to the Specified Products to be inspected.
- 4) A Certification Body that is accepted, or has applied to be accepted, will establish procedures to monitor and record all the CCC Marks that are issued or approved relating to the CCC Certification that it has recommended.

- 5) For the purposes of Article 12.4 of the Agreement, an accepted Certification Body will establish a specific contact point for communications with relevant designated Certification Bodies.
- 6) A Certification Body that is accepted or has applied for acceptance will establish procedures for the evaluation of the Inspectors that it intends to recommend for registration.
- 7) The fee payable to a designated Certification Body, by the accepted Certification Body, for each CCC Certificate issued on the recommendation of the accepted Certification Body, will be RMB 300.00 yuan, excluding postage. The fee will include:
 - a) the cost of making the certificate;
 - b) the cost of translation;
 - c) the cost of communicating information on the CCC Certification; and
 - d) the cost of managing CCC Certificates, including the fee for transferring information relating to the CCC Certificate to the Chinese Responsible Authority, suspension or withdrawal of the CCC Certification, and providing information for market surveillance.
- 8) The fee referred to in paragraph 7 may be adjusted as jointly decided, in writing, by the Responsible Authorities.

SCHEDULE D OF IMPLEMENTING ARRANGEMENT 1 MANDATORY REQUIREMENTS FOR THE REGISTRATION OF INSPECTORS

For China

 The criteria established by the Personnel Certification Body for the Certification of CCC Inspectors will apply for the registration of Chinese Inspectors. For the purposes of this Agreement, any references to a Chinese Standard will be replaced by the relevant standard and deviations specified in Schedule A.1 of this Implementing Arrangement.

For New Zealand

2. For New Zealand inspectors to be registered the following criteria will apply:

Criteria for Registration

- 3. To be registered as an Inspector, an applicant will:
- a) Be an individual in New Zealand or Australia who is a full-time or part-time employee, or under the direct control, of an accepted Certification Body;
- b) Possess the following personal attributes needed to perform inspections effectively:
 - i) Be fair, truthful, sincere, honest and discreet;
 - ii) Be willing to consider alternative ideas or points of view;
 - iii) Be tactful in dealing with people;
 - iv) Be actively aware of physical surroundings and activities;
 - v) Be perceptive, that is instinctively aware of and able to understand diverse situations:
 - vi) Be able to adjust readily to different situations;
 - vii) Be persistent and focused on achieving objectives;
 - viii)Be able to reach timely conclusions based on logical reasoning and analysis; and
 - ix) Be capable of acting and carrying out functions independently while interacting effectively with others;
- c) Possess the following professional knowledge and competencies:
 - i) A fundamental theoretical knowledge and practice experience in corresponding professional technology fields;
 - ii) A command of the laws, statutes, standards and regulations relating to this Agreement;
 - iii) Familiarity with relevant national industrial policies and trade policies
 - iv) Familiarity with the relevant product standards, technical

- specifications, testing standards and inspection methods;
- v) Familiarity with corresponding product design, production, installation and service process;
- vi) Familiarity with fundamental theories on quality management and requirements for enterprise quality assurance, and the ability to understand critical links related to the quality control of production;
- vii) An understanding of inspection standards and methods, and the ability to inspect enterprise assurance capability in conjunction with product characteristics;
- viii) A good understanding of the CCC System:
- d) Have obtained tertiary education qualifications that take at least three years to complete at a tertiary institution that is recognized in New Zealand:
- e) Have full-time work experience of at least 6 years if he or she does not have a university degree, or at least 4 years full-time work experience if he or she has a university degree. The work experience must have been obtained after obtaining the tertiary educational qualification from a technical, professional or management position involving the exercise of judgment, problem solving and communication;
- f) Have had a minimum of two years of professional experience in relevant product certification which may have taken place concurrently with his or her work experience;
- g) Have had training of at least 40 hours to qualify as a Inspector on:
 - i) the CCC system;
 - ii) the CCC Implementation Rules;
 - iii) relevant Mandatory Requirements;
 - iv) the Code of Conduct for Registered Inspector, referred to in paragraph 15;
 - v) the criteria for registration, re-registration, and maintain registration.
- 4. The training referred to in paragraph 3(g) will be given by an individual or individuals with a comprehensive knowledge of the requirements listed in paragraph 3(g).

Applications for Registration as an Inspector

- 5. Applications for registration as an Inspector will be submitted to the accepted Certification Body, or the Certification Body that has applied for acceptance, that employs, or will employ, the applicant under a contract of services or, a contract for services where that Certification Body has direct control of the applicant, to carry out inspections under this Agreement and will be in the appropriate form attached to this Schedule and accompanied by:
 - a) Evidence of tertiary educational credentials;

- b) Evidence of inspector training;
- c) A photograph of the applicant;
- d) Documentation to support work experience, professional experience and any other experience or qualifications declared in the application;
- e) A declaration by the applicant confirming the authenticity of his or her application and its compliance with the relevant Mandatory Requirements and promising to observe and follow the registration requirements and the Code of Conduct referred to in paragraph 15.
- 6. An applicant will be responsible for the authenticity of the contents of his or her application.

Evaluation for the application

- 7. For each application for registration as an Inspector that a Certification Body that is accepted, or has applied to be accepted, recommends, that Certification Body will:
 - a) Evaluate the applicant's personal attributes as described in paragraph 3(b);
 - b) Evaluate the applicant's ability to:
 - i) apply knowledge of production;
 - ii) conduct inspections in accordance with the relevant CCC Implementation Rules;
 - iii) meet the relevant Mandatory Requirements;
 - iv) plan inspections and make effective use of resources;
 - v) manage effectively inspections and lead an inspection team;
 - vi) communicate and coordinate with the organization to be inspected;
 - vii) control all inspection events and to react in emergencies;
 - viii) prepare inspection reports;
 - c) Check and confirm, in writing, the authenticity of the contents of the application for registration or re-registration as an Inspector completed by the applicant and that the application complies with the Mandatory Requirements for Registration;
 - d) Confirm an applicant's work experience, professional experience, his or her current work status, position and responsibility.
- 8. The relevant accepted Certification Body will evaluate an applicant's compliance with the registration requirements referred to in this Schedule either by desk-top evaluation, written examination, interview, onsite witnessing or a combination of those methods.
- Evaluations will be carried out by personnel who have no prejudice or conflict of interests and are able to perform the evaluation in a fair and objective manner, have adequate qualifications and received the necessary

training to enable them to make reasonable judgements of the compliance of the applicant's qualification and experience with the relevant Mandatory Requirements.

Recommendation for registration as an Inspector

- 10. An accepted Certification Body or a Certification Body that has applied for acceptance will provide to the Personnel Certification Body with its recommendation of an applicant:
 - a) A copy of the completed application in the form attached to this Schedule;
 - b) Confirmation that the applicant has passed any evaluation referred to in paragraph 7, 8 and 9 of this Schedule;
 - c) Confirmation of the applicant's personal attributes;
 - d) Confirmation by the Certification Body of the applicant's relevant experience:
 - e) Recommendation for the registered professional scope based on the applicant's professional ability;
 - f) Recommendation for registration of the applicant;
 - g) Maintain records of its assessments of the applicant, for a period of not less than five years after the applicant has ceased to be registered as an Inspector.
 - h) The Registration fee referred to in paragraph 21.
- 11. The relevant accepted Certification Body or the Certification Body that has applied for acceptance shall provide the Personnel Certification Body with written evidence of the evaluation.

Requirements for maintaining registration

- 12.A Registered Inspector will, during any registration period, complete in accordance with the Mandatory Requirements and confirmed by the relevant accepted Certification Body or Certification Bodies at least 2 inspections a year that cover the entire inspection course from the inspection preparation to the inspection report. A maximum of 18 months between inspections will be permitted.
- 13. A Registered Inspector will maintain an inspection log that records:
 - a) Inspection dates;
 - b) The relevant CCC Implementation Rules;
 - c) Inspection type (e.g. complete initial factory inspection or follow up factory inspection as required by the CCC System);
 - d) The name and contact information of the inspected organization (name, address, postal code, contact person, telephone and fax);

- e) The name and contact information of the Certification Body or Bodies (name, address, postal code, contact person, telephone and fax);
- f) The name and contact information of the inspection team leader;
- g) The role of that Registered Inspector in the inspection team as a member or lead; and details of the inspection undertaken by that Registered Inspector.

Continuing professional development

14. A Registered Inspector will:

- a) complete at least 8 hours of continuing professional development each year, that should be focused on this Agreement and on practice or methods for improving inspection skills and selected with regard to the Registered Inspector's personal strengths and weaknesses and in the areas that will assist in his or her personal improvement; and
- b) where the provider is not the accepted Certification Body, submit evidence of the professional development undertaken confirmed by the provider to the relevant accepted Certification Body or Bodies, describing the type of events, duration, and detailed information on the provider.
- 15. Inspectors will observe the following Code of Conduct. Failure to do so may result in suspension or withdrawal of registration;
 - a) Observe relevant legislation, and act professionally and ethically;
 - b) Strive to increase the competence and prestige of the inspection profession;
 - Assist those in their employ or under their supervision in developing management, professional and inspection skills;
 - d) Take due professional care and not undertake inspections they are not competent to perform;
 - e) Not represent conflicting or competing interests and disclose to any client or employer any relationships that may influence their judgement;
 - f) Not discuss or disclose any information relating to an inspection unless required by law or authorized in writing by the inspected organization and the organization conducting the inspection;
 - Not accept any inducement, commission, gift or any other benefit from inspected organizations, their employees or any interested party or knowingly allow colleagues to do so;
 - Make fair presentations of inspection findings based on verifiable inspection evidence and not intentionally communicate false or misleading information that may compromise the integrity of any inspection or the inspector registration process;
 - i) Not act in any way that would prejudice the reputation of the Personnel

- Certification Body or the inspector registration process and co-operate fully with an inquiry in the event of any alleged breach of this Code; and
- j) Not carry out both consulting and inspections of the same organization.

Requirements for Re-registration

- 16. Inspectors will be required to re-register with the Personnel Certification Body every 3 years.
- 17. Applications for re-registration as a Registered Inspector will be made to an accepted Certification Body, or the Certification Body that has applied for acceptance, that employs, or will employ, the applicant under a contract of services or, a contract for services where that Certification Body has direct control of the applicant, to carry out inspections under this Agreement and will be in the appropriate form set out below and accompanied by:
 - a) A photograph of the applicant;
 - b) The applicant's certificate of registration in duplicate;
 - c) Original inspection logs in duplicate;
 - d) A declaration by the applicant confirming the authenticity of his or her application and its compliance with the relevant Mandatory Requirements and promising to observe and follow the registration requirements and the Code of Conduct referred to in paragraph 15.
 - e) Records of continuing professional development.
- 18. The inspection log must be affixed with a seal or signed by the accepted Certification Body and the organization that is being inspected as well as, where applicable, at least one other member of the inspection team.
- 19. For each application for re-registration as an Inspector that a Certification Body that is accepted, or has applied to be accepted, recommends, that Certification Body will provide the Personnel Certification Body with:
 - a) A copy of the completed application form;
 - b) Confirmation by the accepted Certification Body of the applicant's inspection experience; and
 - c) Confirmation by the accepted Certification Body of the applicant's continuing professional development.
 - d) Confirmation by the accepted Certification Body of the applicant's continuing to meet all registration requirements;
 - e) Recommendation on the registered professional scope of the applicant based on his or her professional ability:
 - f) Recommendation for re-registration of the applicant:
 - g) The registration fee referred to in paragraph 21.

20. The relevant accepted Certification Body will maintain records of its assessments of the applicant, for a period of not less than five years after the applicant has ceased to be registered as an Inspector.

Fees

- 21. The fee payable to the Personnel Certification Body, by a Certification Body that is accepted or has applied for acceptance, for the registration or re-registration of an Inspector will be RMB 100.00 yuan, excluding postage. The fee will include:
 - a) the cost of making the registration certificate;
 - b) the cost of translation:
 - c) the cost of communicating information on the registration; and
 - d) the cost of managing the registration, including the fee for transferring information relating to the registration to the Chinese Responsible Authority, suspension or withdrawal of the registration, and providing information for market surveillance.
- 22. The fee referred to in paragraph 21 may be adjusted as jointly decided, in writing, by the Responsible Authorities.



Application Form for Registration as an Inspector under the Agreement between the Government of New Zealand and the Government of the People's Republic of China on Co-operation in the Field of Conformity Assessment in Relation to Electrical and Electronic Equipment and Components

| Applicant: | |
|----------------------------------|--|
| Recommending Certification Body: | |

CHINA CERTIFICATION AND ACCREDITATION ASSOCIATION

Application Form for Registration as an Inspector

PHOTO

under the Agreement between the Government of New Zealand and the Government of the People's Republic of China on Co-operation in the Field of Conformity Assessment in Relation to Electrical and Electronic Equipment and Components

(referred to below as "the Agreement")

| Date of applica | ation:// | □Initial regi | stration /□Re | e-registration |
|-----------------------------------|------------------------------|---------------|----------------|-----------------|
| Applicant | □Mr. / □Ms | | Date of Birth | |
| Nationality | | | | |
| Address | | | Telephone | |
| Email | | | Fax | |
| Relevant Certification Body | | | | |
| Address | | | Telephone | |
| Email | | | Fax | |
| | Educa | tion | | |
| Dates | Name of Tertiary Institution | Maj | or | Degree/ Diploma |
| | | | | |
| | | | | |
| | Experience of Traini | ng as an Insp | ector | |
| Dates | Name of Training Provider | Summa | ary of the Tra | ining Content |
| | | | | |
| | | | | |
| | Work Exp | erience | | |
| Dates | Organization served | Titl | e and Main F | unctions |

| • | | | | | | | |
|--|--|---------------------------------------|------------|--|--|--|--|
| | Professional Experience Relev | vant to Product Certification | | | | | |
| Dates | Organization served | Title and Main Job Assignr | ments | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Applicant's Statement | | | | | | | |
| I declare that t | I declare that the content of this application form and the materials appended are true. I | | | | | | |
| agree that the r | elevant Certification Body has th | ne right to verify the veracity and a | ccuracy of | | | | |
| the information | provided in this form (including the | hose appended materials). I agree | to comply | | | | |
| | | nent, including the Code of Conduc | , • | | | | |
| the Implementing Arrangement. I promise to keep the records of any complaints made | | | | | | | |
| | against me and to take measures to prevent their recurrence. | | | | | | |
| | Signature: Date: // | | | | | | |
| Commitment on the Use of Registration Certificate and Mark of the Personnel | | | | | | | |
| Certification Body | | | | | | | |

| I hereby commit: | | | | | |
|---|--|--|--|--|--|
| to comply with the Criteria for Registration as an Inspector under the Agreement; | | | | | |
| to conduct inspections only within the scope of my registration; | | | | | |
| not to use my registration in a manner that will compromise the reputation of the Personnel Certification Body, and not to make any comments regarding the registration that is not authorized by the Personnel Certification Body or may lead to a misunderstanding; | | | | | |
| to cease activities as a Registered Inspector and return to the Personnel Certification Body my registration certificate should my registration expire or be suspended or withdrawn; | | | | | |
| not to use my registration certificate in a manner that is misleading. | | | | | |
| I agree that my registration certificate remains the property of the Personnel Certification | | | | | |
| Body. | | | | | |
| Signature: Date: // | | | | | |
| | | | | | |

Recommendation of the relevant Certification Body

| I hereby declare on behalf of our | | |
|------------------------------------|-----------------------------------|--|
| | | for his or her personal attributes |
| and his or her ability to: | aduation. | |
| i) apply knowledge of pro | | nt CCC Implementation Bulgar |
| iii) meet the relevant Man | | nt CCC Implementation Rules; |
| · · | nake effective use of resource | cas. |
| | pections and lead an inspec | • |
| _ | dinate with the organization | • |
| vii) control all inspection ev | • | |
| viii) prepare inspection rep | • | • |
| b) Has checked to the bes | st of its ability and confirms | s, in writing, the authenticity of the |
| contents of the application fo | r registration or re-registration | on as an Inspector completed by the |
| applicant and that the ap | oplication complies with | the Mandatory Requirements for |
| Registration. | | |
| 8 | | nal experience, his or her is current |
| work status, position and res | ponsibility. | |
| Based on the criteria for Registr | ation as an Inspector under | r the Agreement and the applicant's |
| | | as met all the requirements for |
| | | e has applied, and recommends the |
| Registration of the applicant as a | in Inspector for the following | g CCC Implementation Rules: |
| | | CNCAC, |
| CNCAC, | CNCAC, | CNCAC, |
| | | |
| | Signature: | Date:// |
| | Title: | |
| Attached documents: | | |
| 1: application form | | |
| | | |

SCHEDULE E OF IMPLEMENTING ARRANGEMENT 1 MARK SPECIFICATIONS, FEES AND APPLICATION FORM

In accordance with Article 12 of the Agreement and Section 22 of this Implementing Arrangement the following provisions will apply to Marks for Specified Products:

General Provisions

- 1. An applicant for a CCC Mark, and where applicable, a New Zealand Mark, to be issued or approved must be in possession of a relevant CCC Certificate.
- 2. An application for a CCC Mark and where applicable, a New Zealand Mark, may be made after the application is made for certification under the Agreement and before the CCC certificate is issued.
- 3. The user of a CCC Mark, and where applicable, a New Zealand Mark, will comply with the applicable Mandatory Requirements during the period of using the CCC Mark, and where applicable, the New Zealand Mark.
- 4. The CCC Mark will be applied to the product for which it has been issued or approved before it is marketed, imported or used for any commercial purpose.
- 5. Any specific marking requirements for a Specified Product, including requirements for pattern, placement, method of application, are set out in this Schedule and the relevant CCC Implementation Rule.
- 6. A CCC Mark or a New Zealand Mark that is printed only by the printing house designated by the Chinese Responsibly Authority and that may be purchased from the CCC Mark Center is a "standard mark." A CCC Mark or a New Zealand Mark that is otherwise printed, moulded, screen-printed, painted, etched, carved, branded, sealed or stamped is a "non-standard mark."

The Design of the CCC Mark

- 7. For Specified Products where CCC certificates have been issued in accordance with Schedules A.1 or A.2 of this Implementing Arrangement, a CCC Mark will have the following characteristics:
 - (a) A basic pattern and an indicator of the relevant certification type, where:
 - i. The basic pattern is:

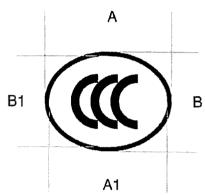


and;

ii. The indicators will be in capital letters and are: S for electrical safety, E for electromagnetic compatibility, S&E for electrical safety and electromagnetic compatibility, and will be indicated as below.



- (b) Comply with the following dimensions:
 - i. Of one of the following 5 sizes:



| Size Number | 1 | 2 | 3 | 4 | 5 |
|----------------|-------|--------|--------|--------|------|
| Α | 8 mm | 15mm | 30mm | 45mm | 60mm |
| A1 | 7.5mm | 14mm | 28mm | 42mm | 56mm |
| В | 6.3mm | 11.8mm | 23.5mm | 35.3mm | 47mm |
| B1 | 5.8mm | 10.8mm | 21.5mm | 32.3mm | 43mm |

- ii. Be of the same proportions as for standard CCC Marks, if a non-standard CCC Mark.
- (c) Conform with the following criteria with regard to colours:
 - For a standard CCC Mark, the printing will be in black on a white background;
 - ii. For a non-standard CCC Mark, the colour of its background and that of the basic pattern may be reasonably altered so as

to match the appearance of the product or the nameplate.

8. For products that are in the nature of wire or cable, the statutory CCC basic patterns will be applied to the wire or cable without the circle, and the factory code will be shown immediately beside the CCC Mark.

The New Zealand Mark

- 9. For Specified Products where CCC certificates have been issued in accordance with Schedule A.1 of this Implementing Arrangement, a further mark that has the following characteristics will be placed immediately below the centre of the CCC mark, except as provided in paragraph 11:
 - (a) A basic pattern that is:



- (b) In relation to CCC marks, the same dimensions as 'A' of the CCC Mark for the horizontal border, 'B' of the CCC Mark for the vertical border and the same border width as for the CCC Mark.
- 10. With regard to colours, a New Zealand Mark will be identical to the CCC Mark applied.
- 11. For products that are in the nature of wire or cable, the New Zealand basic pattern will be applied to the wire or cable without the border and will be placed immediately after the factory code.

The Use of the CCC Mark and the New Zealand Mark

- 12. The method of applying a CCC Mark will depend on the nature of the product, as specified below:
 - (a) The standard CCC Mark and, where applicable, the New Zealand Mark, purchased from the CCC Mark Centre will be affixed to the place on the outer body of the relevant product specified in the application form for which the Mark has been issued or approved;
 - (b) If the CCC Mark and, where applicable, the New Zealand Mark, are printed, pressed, screen-printed, painted, etched, carved, moulded, stamped or sealed on the product or the nameplate of the product, they will be applied on an exposed location on the outer body of the product or the nameplate of the product.
 - (c) If it is not appropriate for the CCC Mark and, where applicable, the New Zealand Mark, to be applied to the body of a product, they must be applied to the smallest packaging of the product and indicated in

- the attached documentation
- (d) For certified products to which paragraphs 8 and 11 apply, the special derivation of the CCC Mark and, where applicable, the New Zealand Mark must be printed, pressed, moulded, screen-printed, painted, etched, carved, stamped or sealed on the product or the nameplate of the product.
- 13. The CCC Mark and, where applicable, the New Zealand Mark may be applied to the packaging of products that have been certified.

The Production, Application and Grant of the CCC Mark and the New Zealand

Mark

For all Marks

- 14. To apply to use the CCC Mark and, where applicable, the New Zealand Mark:
 - (a) If the applicant applies in person or through correspondence or any other means of communication, the applicant must submit to the CCC Mark Centre or an accepted Certification Body a completed application form and a copy of the relevant CCC Certificate.
 - (b) If the applicant applies through another party or parties, the party or parties entrusted must submit to the CCC Mark Centre or an accepted Certification Body written authority from the applicant, a completed application form and a copy of the relevant CCC Certificate.
- 15. A new application will be required if there is any variation to the size, colour, pattern, method of application or placement of a CCC Mark and a New Zealand Mark, to the factory code, or the details of the applicant or the factory. No new application will be required if there is any variation to a trade mark or any adaptation of the model for sale within the same unit according to the relevant CCC Implementation Rule and based on the same model design, and the design of the CCC Mark and the New Zealand Mark that have been approved or the CCC Mark and the New Zealand Mark that have been purchased may be applied.
- 16. When notifying the CCC Mark Centre through the relevant designated Certification Body of its issuing or approval of the CCC Mark, an accepted Certification Body will include completed application forms.

For standard Marks

- 17. The printing will be specifically undertaken by a printing house designated by the Chinese Responsible Authority.
- 18. A CCC Mark and, where applicable, a New Zealand Mark, that has been approved may be applied to other CCC certified products from the same factory, of the same product type (that is, products for which CCC certificates have been issued with identical numbers from the 7th to the 10th digit), and that require the same mark pattern.

For non-standard Marks

- 19. The CCC Mark Center or an accepted Certification Body will verify and confirm that the design included in the application form complies with the applicable Mandatory Requirements, and in particular:
 - (a) for wires and cables, that the factory code is shown immediately beside the CCC Mark in the design included in the application form; and
 - (b) that the format and content of the nameplate included in the application form are the same as the sample of the nameplate submitted in the application for certification under the Agreement.
- 20. The CCC Mark Centre will notify the applicant of its approval of the application in writing. The notification will be valid for a period of one year from the date of issuance and may be extended on an annual basis by an application for renewal to the CCC Mark Centre.
- 21. An accepted Certification Body will notify the applicant of its approval of the application in writing, and the notification will be valid for a period of one year from the date of issuance and may be extended on an annual basis by an application for renewal to the accepted Certification Body. The accepted Certification Body will advise the CCC Mark Centre, through the relevant designated Certification Body of the renewal.
- 22. If a CCC Mark and, where applicable, a New Zealand Mark are printed, pressed, moulded, screen-printed, painted, etched, carved, stamped or sealed on the relevant product or on the nameplate of the product, as referred to in paragraph 12, the applicant will submit the design to the CCC Mark Centre or an accepted Certification Body and may only produce the mark with the final approval of the CCC Mark Centre or that accepted Certification Body.
- 23. An applicant will notify the CCC Mark Centre or the relevant accepted

Certification Body if renewal of the approval is not sought. An accepted Certification Body receiving such a notification, will inform the CCC Mark Centre through the relevant designated Certification Body.

Fees

- 24. The fees for CCC Marks, and where applicable New Zealand Marks, under the Agreement will be:
 - (a) For issuing a standard mark:
 - i) RMB 0.06 yuan for size number 1
 - ii) RMB 0.12 yuan for size number 2
 - iii) RMB 0.20 yuan for size number 3
 - iv) RMB 0.30 yuan for size number 4
 - v) RMB 0.40 yuan for size number 5
 - (b) For each design used for printing or otherwise producing the CCC Mark and, where applicable the New Zealand mark:
 - i) RMB 900 yuan for the first year; and
 - ii) RMB 600 yuan for each subsequent year.

Application Form

- 25. A single application form may cover marking on the product or the nameplate and marking on the package or other documents, provided that all the relevant designs are submitted with that form.
- 26. The application forms for issuing or approving a CCC mark, and where applicable a New Zealand Mark, are the following:

Application Form for Purchasing Mark

| Applicant (User of Mark) | | | | | , | | A | gent | | | 'ES NO |
|-----------------------------------|-----|------------------------------------|---|--|--------------------|----------------|------------------------|-------------------------------|----|----------|-----------|
| Name of Age | ent | | | | | | | | | | |
| Address / Pos code | tal | | | | | | | | | | |
| Contact Perso | on | | | | Tel Fax | | | | | | |
| Certificate N | 0. | | | | | | | | | | |
| Name of Fact | ory | | *************************************** | | | | | Country | | | |
| Name of Product | | | | | | | | | | | |
| Pattern of CC Mark | CC | □ \$ | | | S&E | New Zealand Ma | | lland Mark | | | YES NO |
| Size of Mark (pieces per pack) | | 8mm (5000piece s) | 15mm (4500piece s) | 30mm 45mr (1500piece (450pie s) s) | | | 60mm (450piec s) | e | | | |
| Quantity | | | | | | | | | | | |
| Payment | | □ Cash/Check | | | Delivery | | | □ Taken by Applicant Agent | | ant or | |
| , | | Bank telegrap | | ☐ Mail or express | | | | | | | |
| Name of Payer | | | | | ite of lication | | D | M | \\ | ' | |
| Sign | | of Company And of Authorized | • | | | | | | | | |

APPLICATION FORM FOR PRINTING/PRESSING MARK (FORM $\,$ I $\,$)

| Applicant | |
|---|--|
| Method of Applying Mark | □ printed □ pressed □ moulded □ screen-printed □ painted □ etched □ carved □ stamped □ sealed □ other methods (please name it) |
| Placement of Mark | □ A. on the nameplate□ B. on the product□ C. on the packaging |
| Name of Factory | |
| Factory Code (only for wires and cables) | |
| Certificate Number | |
| Name of Product | |
| Product Model | |
| Estimated Quantity of Mark to be Used in the First Year | |
| Postal Address of the Applicant | Post Code |
| | Tel |
| Contact Person | Fax |
| E-mail | |
| Application Date | / / |
| Seal of Company and Signature of Authorized Person | |

PRINTING/PRESSING CERTIFICATION MARK (Form II)

The CCC Mark, and the New Zealand Mark where appropriate, to be used, including dimensions

| including dimensions | |
|--------------------------|---|
| | |
| | |
| Colour of CCC mark | |
| Design of Nameplate with | Mark or Marks on it, or Picture of Product with Mark or Marks on it |
| | |
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| Certificate NO. | |
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