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National Standard of the People's Republic of China

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Guideline of Conformity Evaluation for hazardous substances in electrical and electronic products

电子电气产品有害物质限制使用符合性评价通则

(English Translation)

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FOREWORD

The National Technical Committee for Environmental Standardization of Electrical and Electronic Products and Systems Test Methods(SAC/TC297/SC3) is in charge of this English translation. In case of any doubt about the contents of English translation , the Chinese original shall be considered authoritative.

This standard is drafted in accordance with the rules given in the GB/T 1.1-2009 *Directives for standardization--Part 1:Structure and drafting of standards.*

This standard was proposed by Ministry of Industry and Information Technology of People's Republic of China.

This standard was prepared by SAC/TC297/SC3(the National Technical Committee for Environmental Standardization of Electrical and Electronic Products and Systems Test Methods).

Introduction

The aim of this standard is to provide methodological guidance for industry to evaluate whether products meet the policies, regulations or customer requirements on the restriction of the use of certain hazardous substances in electrical and electronic products.

Guideline of Conformity Evaluation for hazardous substances in electrical and electronic products

1 Scope

This standard specifies the steps, contents and methods for the organization to evaluate the conformity of restricted use of hazardous substances in electrical and electronic products.

This standard is applicable to the organization's conformity evaluation of the restricted use of hazardous substances in electrical and electronic products.

Note: Organization refer to producers of electronic and electrical products.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

GB/T 26572 *Requirements of concentration limits for certain restricted substances in electrical and electronic products*

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

3.1

organization

person or group of people that has its own functions with responsibility, authority and relationships to achieve its objectives

Note1 to entry: The concept of organization in this standard includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, partnership, or part or combination thereof, whether incorporated or not, public or private

[SOURCE:ISO 9000:2015,3.2.1, modified]

3.2

producer

natural or legal person who manufactures a product or has a product designed or anufactured and markets that product under his name or trademark

[SOURCE:ISO 63000:2016,3.2]

3.3

electrical and electronic product

EEP

product which is dependent on electric currents or electromagnetic fields in order to work properly and equipment for the generation, transfer and measurement of such currents and fields and designed for use with a voltage rating not exceeding 1,000 volts for alternating current and 1,500 volts for direct current. It includes that product and its accessories, materials, components and parts

3.4

hazardous substances

substance in EEP which has the potential for adversely impacting human health and/or the environment

3.5

restricted substances

substance which is limited in its use in a product, sub-assembly, part or material

[SOURCE:ISO 63000:2016,3.1]

3.6

restricted substances exception

exemption

For certain restricted substances in EEP, if substitution is not possible from the scientific and technical point of view, their use in products should take this into account and therefore their use is not be restricted, or the restriction limits are relaxed for a certain period of time

4 总则 Overview

4.1 Conformity evaluation for the restriction of the use of certain hazardous substances in EEP includes the following four steps:

a) Risk evaluation for hazardous substances in EEP

b) According to the result of a), collect necessary information and technical documentation

c) Assess the information and documents with regard to its quality and trustworthiness, and implement the evaluation

d) Compile conformity declaration document

Figure 1 shows the schematic diagram to conformity evaluation:

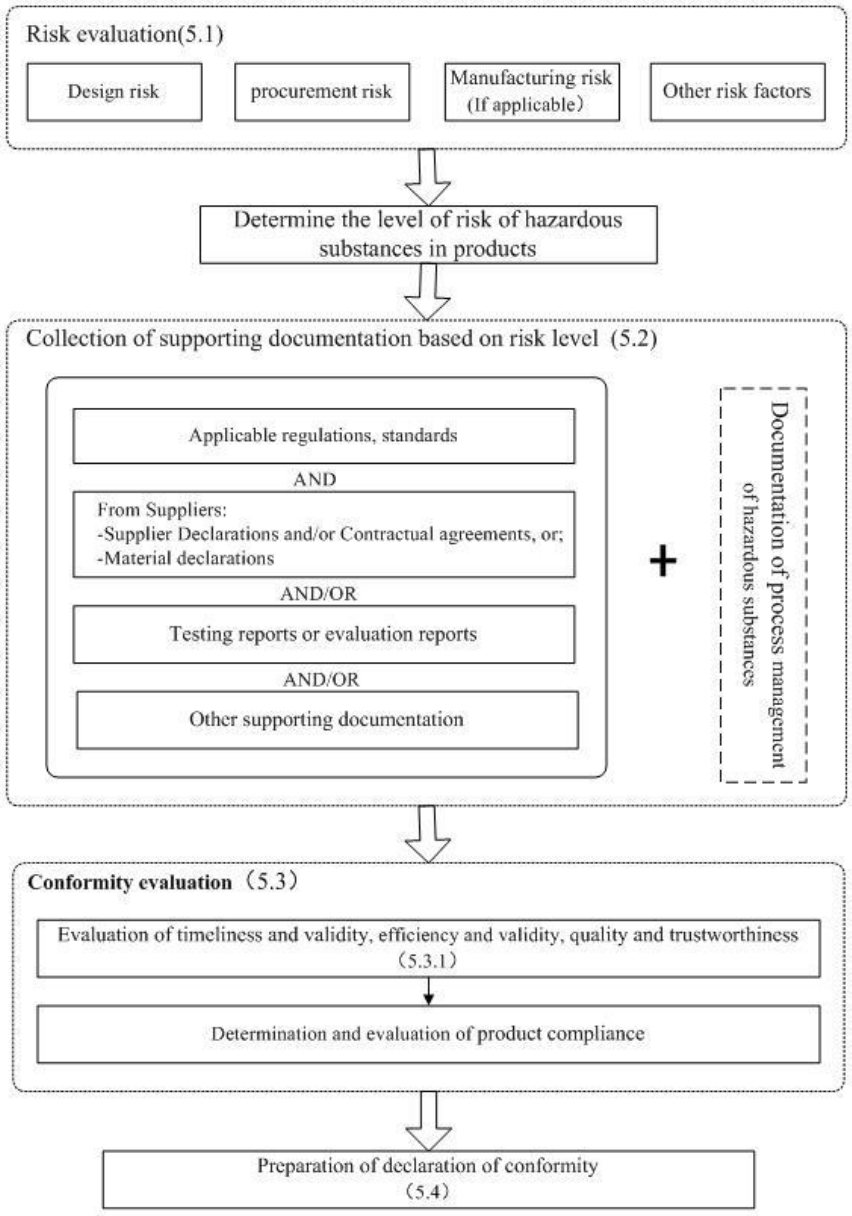

Figure 1-schematic diagram of evaluation of conformity evaluation

4.2 If evaluation is for a group of products of a similar type, the Clause 5 shall cover each individual product of the group.

5 Conformity evaluation for the restriction of the use of certain hazardous substances in EEP

5.1 risk evaluation for hazardous substances in EEP

The organization shall identify the risk factors that may contaminate /intermix hazardous substances in the whole life cycle of the product, especially at the stage of product design, procurement, manufacturing, and after that to evaluate the risk level.

Note: The risk identification and evaluation of hazardous substances in products see SJ/T 11467 or other standards/methods approved by industry.

5.2 Collection of supporting documentation for the conformity evaluation

5.2.1 According to the evaluation results given in 5.1, the organization shall collect supporting documentation and information related to product compliance, such as laws and regulations, standards, management documentation and technical documentation, as the basis for product conformity evaluation.

The supporting documents should include, but are not limited to:

a) Relevant laws and regulations, standards and their requirements

b) Declaration of conformity from suppliers with regard to their products complying with the limit requirements and applicable exemptions, and/or the relevant documents, contracts, agreements, etc. signed with suppliers, and/or:

c) Supplier's material declaration containing information on hazardous substances content and applicable exemptions, and / or;

d) Testing reports or evaluation reports (especially for the high risk materials, components or parts), and/or;

Note: Testing methods should be carried out tests given in GB/T 26125.

e) Other supporting documentation such as adopted or quoted technical specifications, etc.

Note: These supporting documents could also be relevant foreign standards or technical documents.

5.2.2 In addition to 5.2.1, the organization should collect documents and records related to the process management of hazardous substances.

Note: For the evaluation of the organization's hazardous substance management system, please see GB/T 31274 or relevant standards recognized by the industry or organization. Annex A gives the examples of the management documents.

5.2.3 The organization should establish procedures to review and maintain the validity of the supporting documentations and provide them in appropriate form when required.

5.2.4 The organization shall keep the supporting documents, and the retention time shall meet the requirements of the laws, regulations and/or standards, or customers, etc.

5.3 Conformity evaluation of products

5.3.1 The organization shall evaluate the supporting documents listed in 5.2:

a) Timeliness and validity, such as confirming whether the relevant technical indicators match the applicable current regulations and standards, as well as the validity period of the documents, etc.;

b) Whether those supporting documents cover at least the medium and high-risk factors identified in 5.1;

c) Quality and trustworthiness, such as source of the documents, the technical standards on which they are based, accuracy of data, etc.

Note: The evaluation process of some supporting documents could see SJ/T 11467. For example, the quality evaluation of test data, the trustworthiness evaluation of suppliers and the data they provide, etc.

5.3.2 The organization shall comprehensively determine product compliance in accordance with the requirements of concentration limits specified in GB/T 26572 and the evaluation results given in 5.3.1.

5.3.3 If necessary, the organization may supplement or require suppliers to supplement other relevant supporting documents and re-evaluate.

5.4 Preparation of Declaration of Conformity

5.4.1 The organization may compile a declaration of conformity as the conclusion of the evaluation.

Note: See Annex B, Example of a declaration of conformity.

5.4.2 In general, the declaration of conformity for the restricted use of hazardous substances in EEP could include, but not limited to, the following:

a) The name and contact address of the issuer of the declaration of conformity;

b) The identification of the object of the declaration of conformity, such as name, model number of a product, etc.;

c) A complete and clear list of relevant regulations and standards or other specified requirements, as well as the statement of conformity;

d) The issuer's commitment to the authenticity, integrity and consistency of the above declaration;

e) The date of issue of the declaration of conformity;

f) The official seal, or the signature (or equivalent sign of validation), name and title of the authorized person acting on behalf of the issuer;

5.4.3 If necessary, the issuer should establish a technical document containing the following information:

a) General description of the product;

b) Information showing the relationship between the supporting documents given in 5.2.1 b) to e) and the corresponding materials, parts and/or sub-assemblies in the product;

Example: List of the supporting documents for declaration of conformity of a product

No.	Parts	Supporting documents		Note
		Document ID	Document	
1	Case	1234	Suppler declarations	……
2	……	……	……	……

c) Description of implementation measures, or a list of documents regarding hazardous substance process management system

5.4.4 The declaration of conformity prepared by the issuer must be in simplified Chinese characters. Other languages could be added upon customer requirements. The organization shall retain the declaration of conformity in hard-copy, electronic media or any other suitable medium in accordance with applicable laws and/or customer requirements. A copy of the declaration of conformity maybe included in other documentation, such as user's instructions, website, etc. The organization shall ensure its accessibility.

6 Continuing validity of the declaration of conformity

6.1 The organization shall establish appropriate procedures to ensure that the product is consistent with its declaration of conformity.

6.2 The organization shall re-evaluate the validity of the declaration of conformity, and retain the records, in the event of:

a) Changes in laws, standards and/or customer requirements

b) Changes in adopted technical standards or specifications;

c) Impact on product compliance due to supply chain optimization or adjustment;

d) Changes in supplier's hazardous substance process management system;

e) Changes in technical parameters related to the restriction of hazardous substances in products, etc.

Annex A
(Informative)
Examples of documents with regard to hazardous substance process management

If necessary, the organization could refer to table A.1 to collect and examine the applicable internal standards or documentation as the additional supporting documentation for the evaluation of conformity of the product to hazardous substance use restrictions.

Table A.1 Examples of documents with regard to hazardous substance process management

No.	Content	Supporting documentation
1	Management system	1)Certification of Management System issued by a third party, or; 2)Related Management Documents: - policies and goals; -organizational structure and responsibilities; -management procedures, rules, etc.
2	Product design	Product design specifications involving substitution and/or minimization of hazardous substances
3	Procurement management	1)Internal restricted substance list or related standards; 2)Supplier management documents: -Supplier management and audit standards involving suppliers' hazardous material management capabilities; -Relevant contractual agreements signed with suppliers, or material declarations and related technical documents provided by suppliers; -Training programs and records for suppliers on the management of restricted substances, etc. .
4	Manufacturing process management	1)Specifications, documentation or SOP (Standard Operating Procedures) related to hazardous substance management in the Manufacturing process; 2)Compliance monitoring procedures, plans,

		records, SOP and other necessary documentation used in manufacturing; 3)nonconforming products control procedures, etc.

Annex B
(informative)
Example of declaration of Conformity for Restricted Use of Hazardous Substances in Electrical and electronic Products

Issuer’s name:

Issuer’s organization code:

Issuer’s contact including address, postcode, television, email):

Description of the object:

(Description of the object generally includes the information of name, model covered, etc. of the object)

Example 示例:

No.	Object	model covered	Note
1	Washing machine	Model1, model2...	……
2	……	……	……

The product objects described above comply to the requirements of GB/T 26572 “Requirement of concentration limits for certain restricted substances in electrical and electronic products” and applicable exemptions.

[The China exemption numbers or details can also be listed here.]

[Issuer] is responsible for the authenticity, efficiency and Consistency of the above-mentioned conclusions and declaration.

Signature

name and title of the authorized person acting on behalf of the issuer

Or

official seal of the issuer

Date

Bibliography

[1] GB/T 26125 Electrical and electronic products - Determination of six regulated substances (lead, mercury, cadmium, hexavalent chromium, polybrominated biphenyls, polybrominated diphenyl ethers),

[2] GB/T 27050.1—2006 Conformity assessment—Supplier's declaration of conformity—part 1: General requirements

[3] GB/T 27050.2—2006 Conformity assessment—Supplier's declaration of conformity—Part 2: Supporting documentation

[4] GB/T 31274-2014 Restricted substances management systems of electrical and electronic products-Requirements

[5] GB/T 36560-2018 Technical documentation for the assessment of electrical and electronic products with respect to the restriction of hazardous substances

[6] SJ/T 11467 Guide of risk assessment for hazardous substances in electrical and electronic products