



Beijing Zhongjing Quality Certification Co., Ltd.

Certification Rules

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1. Purpose and applicable scope

Beijing Zhongjing Quality Certification Co., Ltd. (hereinafter referred to as the company or ZJQC) has understood the importance of impartiality in the implementation of management system certification activities. The company compiles this document in accordance with the applicable national regulations and The Joint Accreditation System of Australia and New Zealand (also known as Oceania Accreditation Association, hereafter referred to as JASANZ) accreditation requirements. It aims to clarify the requirements for applying, implementing and maintaining quality, environment, and occupational health and safety management system certification. This rule is the basic standard that companies, all certification applicants, and certified organizations should abide by.

2. Brief introduction

This document specifies the policies and procedures for certification applicants and certification organizations, including the rights and obligations of the company and applicants, certification organizations, certification implementation procedures, management regulations for certificate status, fees, certification certificates and logo use regulations, appeals and complaint handling regulations, etc., apply to the company's certification of certification applicants, certified organizations.

3. Document structure

This document consists of the following separate documents that form a written description of the company's certification system:

- a. ZJQC-OD01: Procedure for Certification Implementation of

Management System

b. ZJQC-OD02 : Rules for Granting, Rejecting, Maintaining, Renewing, Suspending, Restoring, Withdrawing Certification and Expanding or Reducing Certification Scope

c. ZJQC-OD03: Rules for Management of the Use of Certificates and Marks

d. ZJQC-OD04: Rights and Obligations of Applicants, Certified Organizations and ZJQC

e. ZJQC-OD05: Procedures for Appeals and Complaints Handling

f. ZJQC-OD06 : Procedures and Requirements for Reporting Management System Information of Certified Organization

g. ZJQC-OD07: Rules for Multi-site Audit

h. ZJQC-OD8: Rules for Management of Impartial policies

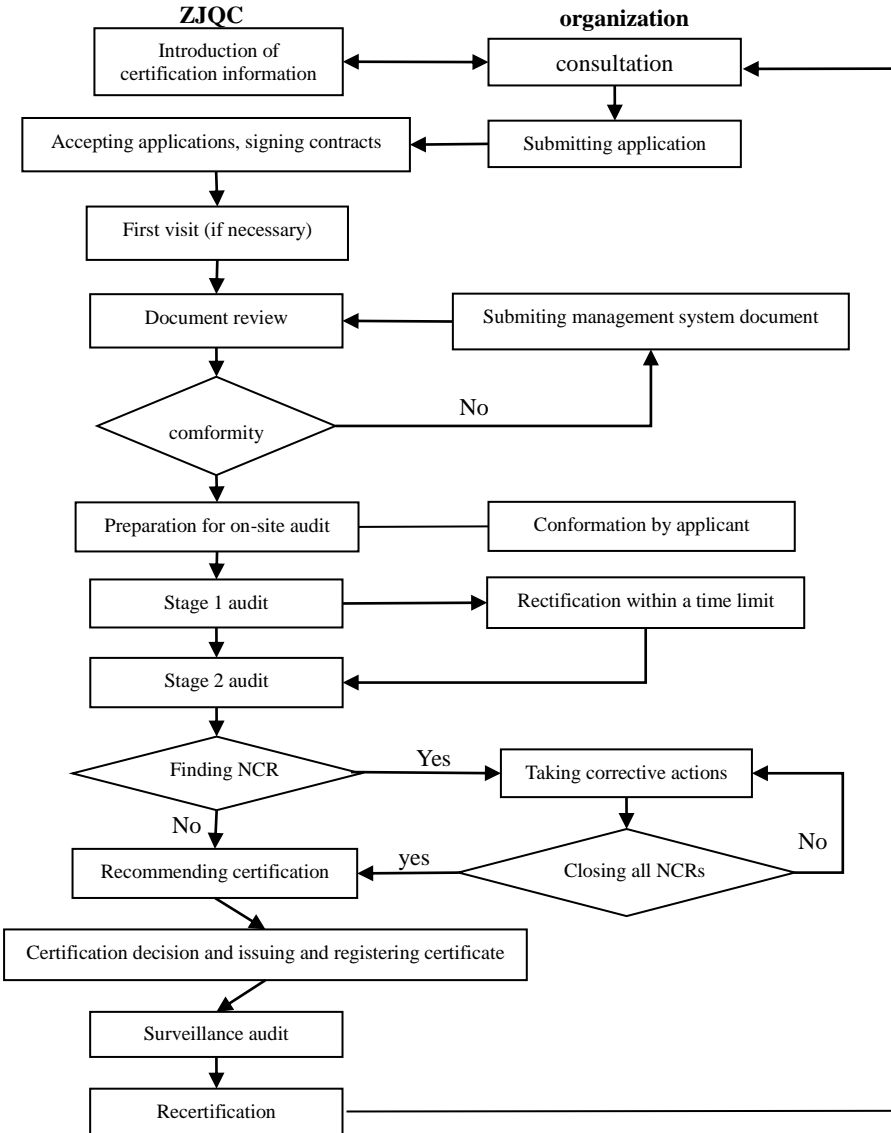
4. Distributing and replacing document

The latest version of "*Certification Rules*" is published on the ZJQC official website (www.zjqc.com) for free download by applicants and certified organizations.

When the certification requirements change, ZJQC amends the "Certification Rules" in time to publish the latest valid version on the official website (www.zjqc.com).

ZJQC-OD01 : Procedure for Certification Implementation of Management System

Flowchart for management system certification



1. Certification application and acceptance

(1) Requirements for applying management system certification:

- Legal status.
- If there are administrative license requirements in the employment conditions, corresponding qualifications shall be obtained and be within the validity period.
- Products and processes comply with relevant national statutes, regulations and standards.
- The documentation management system has been set up.
- There was no major accident related to the area to be applied for certification this year.
- The applicant was not ordered to suspend business for rectification or were not included in "Severe illegal enterprises list (blacklist)" in the national corporate credit information disclosure system or not included in "Joint Punishment Untrustworthy Enterprise Announcement List" or the "Blacklist of Seriously Untrustworthy Entities" by Credit China (www.creditchina.gov.cn).
- No major accidents related to the system have occurred, or they have not been administratively punished or ordered to suspend business for rectification, or are not subject to the enforcement period of the penalty;

Organization was withdrawn by ZJQC that meet the above conditions may apply for certification at any time. Its application for certification shall not be accepted unless the organization has

undergone a thorough rectification, which has caused the suspension or withdrawal of the certificate to be eliminated.

(2) The applicant should fill in the "Application for Management System Certification", and ZJQC will give a written response to the acceptance after receiving the application.

(3) After accepting the application, the two parties sign "Management System Certification Contract".

(4) If there is any information that needs to be confirmed by the applicant organization, or if the application for certification is not accepted, it will be sent to the application organization for confirmation through "Notice of Acceptable (unacceptable) Application".

(5) When any part of the auditee's certification scope is implemented by electronic means, or the place to be audited is a virtual place, or when remote audit conditions are available, you can apply for electronic audit or remote audit. Please provide information on production or service activities performed electronically, virtual locations, and technical resources for conducting electronic audits.

2. Preparation for audit

a. Before arranging an audit, the applicant should ensure that:

- The documentation management system has been set up.
- The management system has been in operation for more than three months.
- At least one internal audit and management review have been conducted which covered all products, process, locations and certification standard requirements.

b. The applicant shall provide the following materials to ZJQC

- Necessary management system documents, such as "Management Manual", "Procedure Documents", etc.
- Provide other corresponding documents in accordance with "Application for Management System Certification".

3. Stage 1 audit

The initial audit of the management system usually consists of two stage: stage 1 audit and stage 2 audit. Stage 1 audit can be divided into off-site audit or on-site audit. Generally, stage 1 audit is carried out in the form of an on-site audit, and based on factors such as the understanding of the auditee's system, stage 1 audit can also be carried out in remote audit. Stage 1 audit can include further confirmation of document audit.

a. The objectives of the stage 1 audit are to understand the organization's management system and control the status of the organization's preparation for audit and provide focus for planning the stage 2 of the audit by involving key activities, important environmental factors, major risks and their impacts, improving technology, policies and target planning conditions of the organization's management system.

b. Before stage 1 audit, the auditee's management system documents are first reviewed, a "Document Review Report" is issued, and the "Document Review Report" is fed back to the auditee. The compliance of the document modification can be confirmed during stage 1 audit. When necessary, the applicant shall make appropriate modifications to the management system documents and submit it to ZJQC for review again. An on-site audit can only be arranged when the document review confirms

that it does not affect the on-site audit.

c. The audit team leader shall notify the auditee in writing of “Audit Plan” in a timely manner and shall be confirmed by the auditee.

d. The first stage of the site audit usually includes the auditee's leadership, the main production department, the main system management department, and inspects the operation site.

The quality, environment, and occupational health and safety management systems focus on the following:

(1) Based on the on-site situation, confirming the consistency between the actual situation of the applicant organization and the description of the management system's written information, especially whether the products and services, department settings and responsibilities and authorities, production or service processes described in the system's written information are consistent with the actual situation of the applicant organization;

(2) Based on the on-site situation, auditing the relevant personnel of the application organization to understand and implement the standard requirements, evaluating whether the internal audit and management review have been implemented during the operation of the management system, and confirming whether the management system has been effectively operated and has exceeded 3 months;

(3) Confirming the content and scope of activities covered by the management system established by the applicant organization, the number of employees of the applicant organization, the process and place of activities, and compliance with relevant laws, regulations and technical

standards;

(4) Identifying the key points that have an important impact on the achievement of the goals in combination with the characteristics of the management system coverage activities, and scientifically determine the important audit points in combination with other factors;

(5) Discussing with the applicant organization to determine stage 2 audit arrangements.

During stage 1 audit, if it is found that the organization violates the audit basis, the audit team will point out issues in "Table on Audit Issues Summary" and will not issue a "non-conformity report". The stage 2 audit will not be conducted until the issues in "Table on Audit Issues Summary" have been effectively addressed.

Before the on-site audit is completed, the audit team will communicate with the auditee, report the conclusions of the stage 1 audit and issue "audit report" of stage 1 audit.

4. Stage 2 audit

(1) Confirming that the issues in the document review and "Table on Stage 1 Audit Issues Summary" are corrected or need to enter the on-site verification without affecting stage 2 audit, and then the second-stage audit can be carried out; during the on-site audit, the product production or service activities covered by the certification scope should be in normal operation; The interval between stage 1 and 2 audits should not exceed 6 months. If it has exceeded the period, ZJQC will adjust the audit plan.

(2) The audit involves all products, processes, and functions within the scope of the auditee's application, and covers all provisions of the

standard. As for multi sites, the audit site is determined based on the sampling principle. The stage 2 audit covers at least the following:

a) Adequacy and effectiveness of monitoring, measuring, reporting and reviewing records of important audit points identified during stage 1 audit.

b) Management responsibilities for the policy; Whether the goals at each level established to achieve the overall goal are specific, targeted, measurable and achievable.

c) The competence of an applicant organization's management system and its performance in compliance with applicable legal and regulatory requirements and contractual requirements

d) Management and control of processes and activities covered by the management system.

e) Whether the actual work records of the applicant organization are true.

f) Whether the internal audit and management review of the applicant organization are effective.

(3) The audit team uses sampling methods to collect evidence of the operation of the auditee's management system by talking, reading documents and records, and checking the site. If the organization is found to have violated the audit basis, the audit team will issue a "non-conformity report" according to the severity of the problem and its impact, and the non-conformity severity is classified as minor or major. The maximum closure period of non-conformity shall not exceed 90 working days. If the corrective and corrective actions for serious

nonconformities are not verified within 6 months after the end of the stage 2, their certification registration should be rejected or stage 2 audit re-implemented.

(4) Before the last meeting of the audit, the audit team will communicate with the person in charge of the auditee. At the closing meeting, confirm the nonconformities, announce the audit conclusions, and clarify the requirements for the implementation of corrective actions for nonconformities.

(5) The conclusion of the on-site audit includes three types: "agreeing with the recommended certification registration", "delaying the recommended certification registration" or "rejecting the recommended certification registration". For the non-conformities found in the audit, the auditee shall take corrective actions and verify them by the audit team. There are two verification methods: written verification and on-site verification. After passing the verification, the audit team can submit "Audit Report" and related data to ZJQC and submit it to the technical committee for review. If the corrective action is not completed within the prescribed period due to the auditee, the audit team leader may modify the audit conclusion.

5. Certification decision and certificate registration

(1) After reviewing "Audit Report" and related materials, ZJQC makes a decision on whether to grant certification registration and notifies the auditee in writing.

(2) The organization who has passed the registration, ZJQC issues certification certificates and publishes them on electronic media or related

publications.

(3) The unapproved auditee will explain the reasons in the "Notification of Approval of Certification Registration".

6. Surveillance after issuing certificate

(1) The purpose of surveillance is to verify whether the management system of the certified organization continues to meet the requirements of certification standards. Surveillance audits are divided into scheduled surveillance audits and unscheduled surveillance audits.

(2) The validity period of the certification certificate of the certified organization is usually three years. In principle, during the validity period, ZJQC regularly conducts two surveillance audits on the certified organization. The first surveillance audit is performed within 8-12 months from the end date of stage 2 of the initial certification / end date of the recertification audit; The first surveillance audit after the initial certification shall be carried out within 12 months from the date of the certification decision at the latest; Under special circumstances, the interval between two surveillance audits can be extended, but not more than 15 months (the interval between two surveillance audits of the energy management system cannot exceed 12 months). Surveillance audits should be conducted at least once every calendar year (except for the year in which recertification should be conducted). The basic procedures are performed with reference to the initial on-site audit. During the surveillance on-site audit, the production or service activities of the

products covered by the certification shall be in normal operation. Due to market, product seasonality, etc., it is difficult to cover all products at each surveillance audit. The surveillance audit within the validity period shall cover all products within the scope of certification, otherwise the scope of corresponding certification will be reduced. Based on the results of the surveillance audit, ZJQC makes the decision to maintain, suspend, restore the certification and reduce the scope of certification. If necessary, they also need to undergo inspections and confirmation audits carried out by CNCA, and audits by certification supervision departments.

(3) The contents of each surveillance and audit usually include:

a) Since the last audit, the activities covered by the management system and important changes affecting the system, and whether the resources of the operating system have changed;

b) Whether the key points of system operation are operating normally and effectively according to the requirements of the management system;

c) Whether the corrections and corrective actions taken for the non-conformities identified in the previous audit continue to be effective;

d) Whether the activities covered by the management system involve statutes and regulations continue to comply with relevant regulations;

e) Achievement of the general objectives of the certified organization, the objectives of each level and the expected results of each management system. If not, whether the certified organization investigates, analyzes the reasons in a timely manner and adopts improvement actions;

f) Whether the certification organization's use of certification marks

or references to certification qualifications meets relevant regulations;

g) Whether internal audits and management reviews are standardized and effective;

h) Whether to accept and handle complaints in a timely manner;

i) Regarding issues found during the audit or complaints, whether effective continuous improvement has been formulated and implemented in a timely manner.

(4) During the validity period of the certificate, the legal representative of the certified organization, the organizational structure, the management system documents and the covered products, activities or sites etc., or any accidents related to the system, should be notified to ZJQC in a timely manner. Please see "Procedures and requirements for notification of changes in the management system of the certified organization "(ZJQC -OD08).

(5) During the validity period of the certification certificate, if the certified organization has a quality, environmental, occupational health and safety accident or a serious complaint from the user, or is investigated by the competent authority due to the above reasons, or exposed by the media, ZJQC will make a suspension or withdrawal of the certification certificate as appropriate. When the products of the certified enterprise are found to be unqualified during the national supervision and random inspection of product quality, our body shall conduct surveillance audit of the enterprise.

(6) Under the following circumstances, ZJQC will conduct an unscheduled audit of the certified organization with a short notice advance

or without notice:

- a) When Certification and Accreditation Administration of China (CNCA) and accredited bodies make corresponding requirements on the company;
- b) Receiving complaints against certified organizations;
- c) Major accidents and major changes in the management system and process of the certified organization may affect the normal operation of the system;
- d) Track the organization suspended due to nonconformity with the management system operation;
- e) Based on the collected organization information, the company considers it necessary.

Unscheduled audits do not require audited organizations to pay audit fees. ZJQC will make a decision to maintain, suspend, withdraw the certification certificate or reduce the scope of certification as appropriate.

7. Recertification

(1) The purpose of recertification audit is to confirm the continuous compliance and effectiveness of the management system as a whole, and the continuous suitability of the scope of certification.

(2) Before the expiry of the certification certificate, "certification renewal conditions" of ZJQC-OD02 *"Rules for Granting, Rejecting, Maintaining, Renewing, Suspending, Restoring, withdrawing Certification, and Expanding or Reducing Certification Scope"* must be met, at least 3 months in advance submit a recertification application to ZJQC. After ZJQC accepts the application, recertification audit will be prepared and

implemented. Before the certification certificate expires, all procedures for recertification audits shall be completed and a certification decision shall be made, so that the new certification cycle will take effect at the end of the previous certification cycle. If a certification decision is not made at the end of the previous certification period due to the certification organization, the certification certificate will naturally expire.

(3) In order to unify the certification cycle of different fields, the certified organization can apply for re-certification in a certain field in advance, but the field shall be accepted at least one surveillance audit.

(4) The recertification process is consistent with stage 2 audit process of the initial certification. When there are no major changes in the internal and external environment of the management system and the certified organization, the re-certification audit may not require stage 1 audit. When there are major changes in the management system, the operating system (such as changes in the statutes) of, the certified organization or the management system, the re-certification audit needs to arrange stage 1 audit. All recertification activities should be completed before the expiration of the current certification certificate so that ZJQC can replace the certification and issue a new certification certificate in time before the certification expires. If the certified organization fails to complete the recertification audit or the corrections and corrective actions implemented for major nonconformities before the expiration date of the current certification certificate, it will not be conducted recertification and the current certification certificate will expire. After the expiration of the current certification certificate, certification can be resumed if the certified

organization is able to complete the outstanding recertification activities within 6 months, otherwise at least a stage 2 audit should be conducted to restore certification, and the effective date of the resumed certification certificate should be no earlier than the recertification decision date, and the termination date is based on the previous certification cycle.

(5) When the certified organization applies for recertification audit to expand the scope of certification, ZJQC will review the application for expanding the scope of certification, and make a decision on whether to expand it after passing the site audit.

(6) Under very special circumstances (such as natural disasters), if ZJQC is unable to conduct recertification and renew a certification certificate to a certified organization in time due to force majeure, it can properly extend the validity period of its certification certificate.

(7) As for the recertification project, the corresponding certification scope of the recertification shall have a production or service site. During the on-site audit, due to market, product seasonality, and other reasons, there is no production or service site for the certification scope, the decision of reducing the corresponding certification scope shall be made.

(8) After the re-certification is approved, the old version of the certificate will be withdrawn and invalid from the date of issue of the new certificate. During the re-certification period, please consider the risks of using the old version of the certificate.

8. Terminating the audit

The audit team will terminate the audit when:

(1) The auditee does not cooperate with the audit activity and the

audit activity cannot be performed;

(2) The auditee's management system has major defects that do not meet the requirements of the standard;

(3) Finding that there are major problems in the operation of the auditee system or other serious violations of statutes and regulations;

(4) The actual situation of the auditee is inconsistent with the application materials;

(5) Other circumstances that prevented the audit process from being completed.

ZJQC-OD02: Rules for Granting, Rejecting, Maintaining, Renewing, Suspending, Restoring, Withdrawing Certification and Expanding or Reducing the Scope of Certification

1. General

ZJQC makes decisions related to certification in an objective, independent and impartial manner without being subject to commercial, financial and other pressures that may affect certification conclusions.

2. Certification basis

- 1) Management system certification standard;
- 2) Management system documents of the auditee or certified organization;
- 3) Statutes, regulations and standards applicable for the auditee or certified organization.

3. Certification decision

ZJQC makes certification decisions based on certification audit information and other information related to the operation of the auditee system.

4. Requirements for granting certification

- a) The applicant has effectively implemented internal audits and management reviews;

b) The management system meets the requirements of certification standards and is effective in operation. No non-conformity was found during the audit, or the management system basically met the requirements of the certification standards. Existing non-conformity can be closed within the prescribed time limit, and corrective actions and / or corrections for non-conformities can be accepted by the audit team.

c) The products, services or activities covered by the certification scope meet the requirements of laws and regulations;

d) The applicant organization has performed relevant obligations in accordance with the provisions of the certification contract;

e) The audit report should meet the requirements. The audit report and other information provided by the audit team can meet the requirements of the information needed to make a certification decision.

Major nonconformity:

Nonconformities that affect the competence of the management system to achieve the desired results. The absence or failure to implement and maintain one or more of the requirements of the management system standard may indicate a systematic failure or, based on objective evidence obtained, audit findings that are sufficient to doubt the credibility of the organization's management system performance or process control.

Minor nonconformity:

Nonconformity that does not affect the management system to achieve the expected results, but may develop into audit findings of major non-conformities, such as:

1) Missing or failing to implement or maintain a requirement in a management system standard individually or in isolation, but its consequences have not yet seriously affected the organization's management system;

2) Failure to implement or deviate from the requirements of the management system standard in implementation, but its consequences have not yet seriously affected the management of the organization;

3) Violation of the relevant documentation requirements of the organization, and thus fail to meet the requirements of a clause in the management system standard.

5. Requirements for rejecting certification

When the certification organization fails to meet the certification requirements, it constitutes a rejection condition, including but not limited to:

a) For non-conforming items, they are not closed effectively within the deadline;

b) Providing false certification information;

c) The impartial problems existing of certification activities;

d) The administrative license certificate is invalid;

e) Failure to perform certification contract obligations, etc.;

f) The auditee's management system has major deficiencies and does not meet the requirements of certification standards;

h) It is found that the auditee has major quality and safety issues or other serious violations related to the quality of products and services.

6. Maintaining certification status when the following requirements are met:

a) Before each surveillance audit, the organization has implemented internal audits and management reviews as required;

b) During the validity period of the certification certificate, the organization has accepted surveillance on schedule, and its management system meets the requirements of the certification standard, or during the validity period of the certification certificate, the organization has accepted surveillance on schedule. Corrective actions and corrections can be accepted by the audit team, and can be effectively completed within the prescribed time;

c) The certified organization make a declaration of conformity of the management system with respect to the certified scope only, and ensure that the certification certificate, mark or any part of the "Audit Report" is not used in a misleading manner. The promotion of the certification is in compliance with relevant requirements of “Rules for Management of the Use of Certificates and Marks” and do not damage the reputation of ZJQC;

d) The certified organization shall provide ZJQC with information and materials on major changes in the management system in a timely manner, provide timely information on major accidents, and the information provided is true and valid;

e) The certified organization shall comply with the relevant regulation

of “Certification Rules”, including payment of certification fees on time;

f) The products, services or activities covered by the certification meet the requirements of statutes and regulations.

7. Update the conditions for certification

1. Having undergone routine surveillance audit in the previous cycle of the certification certificate

2. Meeting the conditions for granting certification.

8. Expanding the scope of certification

1) The conditions are equal to the initial certification conditions.

For the application and acceptance conditions of the management system, please refer to “Procedure for Certification Implementation of Management System ”(ZJQC-OD01).

2) After the on-site audit of the part involving the expansion, the technical committee re-examined that the approval conditions and procedures are equivalent to the certification conditions and procedures.

9. Reducing the scope of certification

1) When part of the organization's certification scope fails to continuously meet the requirements of certification standards or the organization's management system changes, it constitutes a condition for reducing the scope of certification. A reduction of the scope of certification can be applied by a certified organization or recommend by the audit team.

2) During the on-site audit, the audit team shall confirm the proposed scope to be reduced with the certified organization, and reduce the scope of certification after review.

3) If the certified organization fails to resolve the suspension issue within the time limit set by the certification body, its corresponding certification scope may be reduced.

10. Suspension of certification when one of the following conditions occurs

a) The administrative license certificate, qualification certificate and mandatory certification certificate held expired and the re-submission application has been accepted but the certificate has not been replaced;

b) The same type of major non-conformities repeatedly occurred in the previous and second certification audits;

c) As for the non-conformities raised in the certification audit or other links found that the organization has affected the normal and effective operation of the management system, it is failure to complete corrective actions and / or corrections within the time specified by ZJQC;

d) The certification supervision department or industry authorities finds that there is a problem in the operation of the system or it is complained, and that there is a problem in the operation of the system after investigation, but it has not constituted the withdrawal of certification;

e) Quality, environment, occupational healthy and safety accidents related to the products and activities of the certified organization were confirmed to be caused by the certified organization;

f) Being ordered to suspend business for rectification or to suspend product production or service provision qualification by relevant law

enforcement and supervision departments;

g) The information provided by the certified organization to ZJQC related to the certification-related organization or the relevant evidence is seriously false;

h) The certified organization fails to pay the certification fee on schedule according to the provisions of "Certification Service Contract";

i) The certified organization cannot accept the surveillance audit or recertification audit within the prescribed time limit;

j) The major accidents, major complaints, administrative penalties and related changes that have impacted the system have not been reported to the ZJQC in a timely manner;

k) Use of international mutual recognition marks, incorrect use of certification certificates, certification marks and / or accreditation marks;

l) The certified organization does not accept ZJQC unscheduled surveillance audit and / or certification industry management department supervision and inspection;

m) The certified organization has requested a suspension;

n) For other certifications that should be suspended.

The suspension period is from 1 month to 6 months. But if it belongs to the first case above, the suspension period can be until the date when the relevant unit makes a decision on the license, which involves all or part of the certification scope of the certified organization. ZJQC will issue a "Notification of Suspending of the Certification

Registration Qualification" to the certified organization, and will report relevant information to the industry management department and make an announcement to the society. The certified organization shall implement the relevant requirements specified in the notice. During the suspension period, the certification of the management system of the certified organization is temporarily invalid.

11. Qualifications can be restored when the following conditions are met:

When the certified organization has taken effective corrections and / or corrective actions for the reasons for the suspension of certification, it has been verified by ZJQC, and verified on-site if necessary, and it can resume its certification registered qualifications.

12. Withdrawal of certification registration in one of the following circumstances

- a) Within the period of suspension of certification qualifications, no effective corrective measures have been taken for existing problems (including certificates of administrative licenses, qualification certificates, mandatory certification certificates that have expired but the application has not been approved);
- b) Complaint against the certified organization, where there are serious problems after investigation, which constitute the withdrawal of certification qualification;
- c) In case of major accidents and incidents related to the management

system, the law enforcement supervision department confirmed that they were caused by violation of regulations by the certified organization;

- d) The certified organization's legal status certification documents have been cancelled or withdrawn, or the product production or service provision qualification have been withdrawn by relevant administrative departments for, or certified organization's conducts have seriously violated statutes and regulations;
- e) When serious problems are found in ZJQC's non-scheduled surveillance audit and the supervision and inspection of the certification industry management department, which constitutes withdrawal of certification qualification; or refuse to cooperate with the supervision and inspection carried out by ZJQC and the certification industry management department, or provide false materials or information for the inquiries and investigations on related matters; or the certified organization falsely reporting or concealing the information required for certification;
- f) Failure to properly quote and promote the certification information obtained in accordance with relevant regulations, causing serious impact or consequences, or the certification body has requested that it be corrected but has not corrected for more than 2 months;
- g) The certified organization has not run the corresponding management system or has no operating conditions;

- h) listed on the list of the untrustworthy in serious violations by industry management departments, or determined by law enforcement regulatory departments for having serious illegal and untrustworthy conduct;
- i) Refusing to accept the national product quality supervision and random inspection;
- j) For special reasons, the certificated organization has obtained the same scope of certificate as the original certification's, and when issuing a new certificate, the original valid certificate is revoked;
- k) Any other certificate that should be withdrawn.

When part of the certification scope of the certified organization fails to meet the specified requirements, part of the certification scope may be withdrawn. When the entire certification scope of the certified organization fails to meet the specified requirements, the entire certification scope is revoked. ZJQC issues a "Notification of withdrawing Certification Registrstion Qualification" to the certified organization and announces it in the form of an announcement. The organization shall return the certification certificate. The information of the withdrawal of certification certificate will be reported to Reporting by industry management department and JASANZ in a timely manner. The list of withdrawn organizations will be published simultaneously in the "withdrawal and Cancellation" column of the ZJQC website.

13. Replacing the certificate when one of the following conditions

occurs

1) During the validity period of the certification certificate, if one of the following situations occurs, the certificate shall be replaced in accordance with relevant regulations:

- Transition of management system certification standards;
- ZJQC name and certification mark, etc. has changed;
- The certification mark and the international mutual recognition mark has been changed from scratch or has changed;
- The scope of organization certification has changed;
- The certification information of the organization name, address, and postal code has changed.

2) In the case of changes in the management system certification standards, an audit shall be arranged. After the audit and certification decisions are passed, the certification certificate shall be replaced. The audit may be conducted in conjunction with annual surveillance or recertification.

3) When the certification scope of the certified organization system changes, the certified organization shall promptly notify ZJQC. If the change has a serious impact on the system, it will need to be re-audited, and the certification certificate will be replaced after the audit and certification decisions are passed.

ZJQC-OD03: Rules for Management of the Use of Certificates and Marks

i. Certification certificates and marks

1. Certification certificate: A set of official documents issued by ZJQC to certified organizations, indicating that the identified scope has been certified, including evidence and related attachments of compliance with specific certification standards. Generally, the original set of certification certificates contains Chinese, English or other language certificates. When there is any ambiguity in the information marked in different language certification certificates, the information in the Chinese certification certificate shall prevail.

2. ZJQC Logo: Graphic symbol representing ZJQC itself.

3. Registration Number: ZJQC's unique code granted to a certified organization.

4. Mark: A graphic symbol that indicates a certain state. Marks include certification marks, accreditation marks and international mutual recognition marks.

5. Certification mark: A graphical symbol issued by ZJQC for use by certified organizations to indicate their certification qualifications. ZJQC logo and the organization's registered number form the certification mark together as shown below.



中经认证

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6. Accreditation mark: A graphic issued by JASANZ for use by an accredited management system certification body to indicate its accreditation status, consisting of the JASANZ logo. The URL for the JASANZ (www.JASANZ.org/register) must be displayed directly beneath the symbol. If the accreditation symbol is used more than once in the same document, the URL need only appear in the first instance.

Note: The JASANZ accreditation mark cannot be used by ZJQC without obtaining JASANZ accreditation qualification or the business scope of JASANZ accreditation.



7. IAF-MLA International Mutual recognition Mark: International Accreditation Forum (IAF) indicates that the accreditation system implemented by the accreditation body of the relevant country (or economy) has officially signed a multilateral mutual accreditation agreement.



8. Joint mark of IAF-MLA / JASANZ international mutual accreditation: Graphical symbol consists of IAF-MLA international

mutual recognition mark and accreditation mark. Such as,

Note: The JASANZ accreditation mark cannot be used by ZJQC without obtaining JASANZ accreditation qualification or the business scope of JASANZ accreditation.



ii. Use of certification certificates and certification marks

1. The certified organization shall manage the use of certification certificates and certification marks.

2. The correct use of the certification certificate is to display the certification certificate in propaganda, bidding and other activities, and also to photocopy the certification certificate on documents, letterheads, advertisements and related promotional materials. The use of certificates must be complete and must not be deformed.

3. The user of the certification certificate / mark must be the certification organization (i.e. the name of the certification organization listed in the certificate and its attachments) as specified in the certification certificate (especially in the case of the main / sub-certificate and attachments). No other organization shall use this certification certificate/ mark. Organizations that have the right to use certification certificates / marks shall use them within the scope specified in the certification

certificates such as "audit address", "product or service" and their processes, and must not exceed their respective scopes defined in the certification certificate. All legal liabilities arising from the wrong use of the certification certificate / mark by the party concerned shall be borne by the user.

(Example 1: If only the headquarters of the group company is separately certified, the branches / subsidiary of the group company is not entitled to use the certificate (including publicity, bidding and other activities); Similarly, the headquarters of the group company and the branches / subsidiary A of the group company are certified , neither the branch/ subsidiary B of the group company nor other branches / subsidiaries have the right to use the certificate (including publicity, bidding and other activities); when the certification scope of the group company headquarters and the branch / subsidiary A of the group company are not consistent, group headquarters and branch / subsidiary A shall only use it within their respective scopes as defined by the certification.)

4. The certified organization shall not alter, transfer or even illegally buy or sell certification certificates, nor shall it allow other people or organizations to use the certification certificates of the organization to forge, alter or fraudulently obtain certification certificates.

5. The certified organization shall not use the management system certification certificate and related words and symbols to mislead the public into thinking that its products and services have passed the certification. When there is a major change in the management system of a certified organization, it shall apply to ZJQC for changes. If no change is

made or it is found that ZJQC investigation does not meet the certification requirements, it shall not continue to use the certification certificate.

6. ZJQC has the ownership of the certification mark and authorizes the certified organization to use the certification mark in accordance with the provisions of this document within the scope and validity of the certification. The certified organization has the right to use the certification mark, and must receive permission and get recorded from ZJQC before use. Without the permission of ZJQC, the right to use the certification mark cannot be transferred.

7. The certification organization shall not use the certification mark on the product or product packaging, or use it in any other way that can be interpreted as indicating product compliance.

8. The certification mark can be used on websites, promotional items, magazines, books, advertising, promotional materials, bids and other materials. It is not allowed to use the certification marks for reports or certificates of testing, calibration or inspection. The way of printing, graphics and seals can be used

9. The certified organization may use the certification mark in printing, graphics, stamps, etc., and shall ensure the integrity of the certification mark, which may be enlarged or reduced in proportion, but the color of the certification mark shall be consistent with the color of the certification body and clearly legible. When using symbols or logos, the certified client should pay attention to avoid damaging the reputation of the certification body in promoting the results of certification.

10. When the certification scope of the certified organization is

reduced, the certified organization shall modify all promotional materials.

11. For the certified organizations that the certification qualification is withdrawn or recertification activities are not completed in time with invalid certificate, it must immediately stop any propaganda related to ZJQC certification, and must immediately stop using the certification marks on the webpage, promotional items, magazines, books, advertising, promotional materials, business cards, tenders and other materials.

12. ZJQC shall be notified in a timely manner when the certified organization causes legal actions due to the certification mark.

13. ZJQC will consult with certified organization to formulate other requirements for the use of the certification mark when necessary, which shall be documented.

14. The certified organization may declare on the product packaging, accompanying information and other materials that the organization's management system is certified, but the statement should not imply that the product, process or service has been certified. The statement shall contain the following information and references, including: the marks of the certified clients, such as the brand or name; the type of management system (such as quality, environment, occupational health and safety) and applicable standards; the certification body that issued the certificate.

Note 1: A clear statement could be "*** Co., Ltd. has passed Beijing Zhongjing Quality Certification Co., Ltd. based on GB / T19001-2015 / ISO9001: 2015 quality management system certification".

Note 2: The judgement criterion for product packaging is that it can be removed from the product and will not cause the product to break down,

chip or damage. The type label or nameplate is considered part of the product.

Note 3: The judgement criterion for the additional information is that it can be obtained separately or easily separated, such as product qualification certificate, operation instruction for products, etc.;

Note 4: Other materials include websites, promotional items, magazines, books, advertisements, promotional materials, business cards, tenders, etc.

15. ZJQC has the right to monitor the use of certification certificates and certification marks by the certified organizations. Once it finds that the certification organizations have used the certification certificates and certification marks by mistake, they can be instructed to take corrective measures and, depending on the severity of the situation, measures may be taken to suspend or withdraw the certification certificate, or it may be reported to the CNCA for processing.

iii. Use of the accreditation mark

1. The certified organization can use the accreditation mark only under the authorization by ZJQC. The accreditation mark should be used in parallel with the certification mark of the certification body. The correct use is as follows:



044××Q (E, S··) ×××××

04××Q (E, S··) ×××××

2. The certified organization shall not use the accreditation mark on products, product packaging, and additional information. It can be used on web pages, propaganda items, magazines, books, advertisements, promotional materials, business cards, bids and other materials only after signing an agreement with ZJQC on the use of the accreditation mark.

iv. Use of IAF-MLA international mutual recognition mark

The quality and environment management system can issue certification certificates with IAF-MLA international mutual recognition mark within the scope of obtaining recognized certification business. At present, in the field of occupational health and safety management system, the International Accreditation Forum (IAF) does not have a mutual recognition system. Accordingly, the occupational health and safety management system certification does not have the IAF-MLA international mutual recognition mark.

Under no circumstances shall the management system certified organization use the IAF-MLA international mutual recognition mark.

ZJQC-OD04: Rights and Obligations of Applicants, Certified Organizations and ZJQC

i. Rights of applicants and certified organization

1. Right to decide for themselves whether to submit an application for management system certification and freely choose a certification body;

2. Learning from ZJQC about the certification procedures and requirements, including obtaining the "Public Documents" (including the "Certification Rules");

3. Negotiating with ZJQC to determine the standards and audit time for certification;

4. Raising objections to those who are unsuitable to participate in their own audit;

5. The certified organization has the right to use the certification certificate, certification mark and accreditation mark correctly to prove that it has the quality, environmental, occupational health and safety management competence indicated in the certificate, or notify the user and / or potential customers of the details of the certification; Advertising qualifications, showing certification certificates, certification marks and recognition marks can be promoted in advertisements;

6. The right to appeals and complaints, please refer to the "Rules for Handling Appeals, Complaints and Requests for Information" (ZJQC-OD06);

7. During the validity period of the certification, due to product changes, regional or standard changes, the certified organization has the right to apply for expansion, reduction, and withdrawal of certification;

8. During the validity period of the certification certificate, ZJQC's remedial measures are free of charge for those who have affected the certification organization's use of the certification due to ZJQC reasons such as the invalidation of the audit or the suspension of ZJQC, the withdrawal of the recognition certificate, etc .;

9. Ask ZJQC for valid reasons for determining effective numbers of person.

ii. Obligations for applicant and certified organization

1. Should always comply with the relevant provisions of this "Certification Rules";

2. In order to conduct certification audits, surveillance audits, re-certifications and resolve complaints and appeals, the applicant shall make necessary arrangements, including providing documents, allowing ZJQC-related personnel to enter necessary areas, accessing necessary records (including internal audit reports, related party complaints records) and interviewing with relevant personnel;

3. The certified organization should ensure that it does not use misleading methods to use the certification documents, marks and part of the "Audit Report", and cannot use certification to imply that its products or services have been approved by ZJQC. For the use of certificates and marks, see "Rules for using certification Certificates and marks" (ZJQC-OD03);

4. The certified organizations shall not damage the reputation of ZJQC when promoting the certification results, and are not allowed to make statements that ZJQC considers misleading or unauthorized;

5. The certificated organization may receive the notice of suspension or withdrawal of certification. When a suspension occurs, advertisements involving certification content shall be stopped immediately during the suspension period, and the use of certification certificates, certification marks, accreditation marks (including certification plaques) or claims of having obtain certification qualifications shall be suspended; In the event of withdrawal / conceallation, it shall immediately stop advertising related to certification content, and submit certification certificates to ZJQC actively in accordance with the requirements of ZJQC, stop using certification certificates, certification marks, and recognition marks, and do not use any excuse to delay or retain certification certificate for no reason.

6. The certificated organization needs to replace the certificate due to expansion, reduction, or change of enterprise information, and it shall return the original certificate at the same time as the new certificate is issued;

7. When the management system changes or major problems occur in the certified organization (such as quality accidents, environmental accidents, occupational health and safety accidents or complaints from customers (related parties), investigations by competent authorities, media exposure, etc.) due to the above reasons, they shall immediately notify ZJQC, and report results, the proposed measures and the results of the implementation of the measures to the ZJQC in writing within a prescribed period, and implement the "Procedure and Requirements for Information Reporting of the Management System of the Certified

Organization" (ZJQC-OD06)

8. Comply with relevant statutes and regulations related to certification and accreditation, and accept witness assessment and validation assessment by accreditation body, ZJQC's unscheduled surveillance audit and / or cooperate with the supervision and inspection of the certification industry management department, truthfully provide relevant materials and information to relevant inquiries and investigations;

9. The top management of the applicant organization and the person in charge of the functional departments related to the management system shall participate in the opening and closing meeting of the on-site audit. The organization shall also require personnel responsible for monitoring the health of employees and OHS employee representatives to participate in the closing meeting for the OHSMS field. In the absence of such persons, the reasons shall be stated in writing.

iii. ZJQC's right

1. Formulate "Certification Rules", implement certification and make certification decisions within the scope of the planned management system certification;

2. Ask applicants, auditees and certified organizations to provide the necessary information about certification audit, surveillance and recertification;

3. Require certified organizations to provide information on management system changes and report major accidents; and require certified organizations to provide their system-related accident reports and information on actions taken within a specified period; for those that

cannot provide it within the time limit, ZJQC will implement unscheduled surveillance or suspend or withdraw the certification according to the relevant documents of certification and accreditation;

4. Scheduled surveillance audit or unscheduled surveillance audit shall be conducted for the operation of the certified organization's management system. For those who do not accept or cooperate with the surveillance inspection (or confirmation audit, inspection), ZJQC will suspend and withdraw the certificate according to the relevant documents of certification and accreditation.

5. ZJQC will have the right to suspend and withdraw the certification certificate of the certified organization for the wrong use of certification certificates and marks or unauthorized use of accreditation marks without authorization of ZJQC.

6. ZJQC will have the right to suspend and withdraw the certification certificate if the certified organization does not return the original certificate due to a change of certificate or the certificate is invalid.

7. Handling complaints and / or appeals from the applicant, the auditee, the certified organization or other relevant parties to ZJQC.

8. Access records of customer complaints and actions taken by certified organizations;

9. Collect the certification fee from the applicant and the certified organization according to the certification contract.

iv. **ZJQC's obligation**

1. Manage conflicts of interest in the certification process to ensure

the impartiality of certification activities;

2. When the certification requirements change, modify the “Certification Rules” in a timely manner and notify the applicant and the certified organization;

3. Evaluate sufficient objective evidence and make certification decisions based on it;

4. Keep confidentiality of information and materials provided by applicants, auditees and certified organizations;

5. In addition to the organizations whose policies and regulations require confidentiality, the company's official website (www.zjqc.com) shall publish the list of certified organizations, including the name, address, date of certification, validity period of the certificate, certificate number and certification scope and announce the status of the certificate of the certified organization;

6. According to the policies, regulations and accreditation requirements, ZJQC shall report the certified organization information to CNAS, local certification authorities, accreditation organizations and CCAA. When the above units need to read the certified organization information, ZJQC shall notify the certified organization of the information to be provided in advance;

7. ZJQC shall answer the doubts raised by the applicant, the auditee and the certified organization on the certification of the management system, and the information provided should be accurate and not misleading;

When appeals or complaints indicate errors, negligence or

unreasonable behavior in the certification process, ZJQC shall take necessary measures and notify the (compliant) appeal organization (personnel);

8. ZJQC shall provide the client organization with the timing of the audit and its justification.

v. Processing of requested information

Certified clients and related parties can view ZJQC's public information through the ZJQC website (www.zjqc.com), or through the "Certificate Inquiry" section of the ZJQC website (www.zjqc.com), or the website of CNCA (www.cnca.gov.cn), "Public inquiry of management system certification certificate", and the accreditation body website by filling in the name or certificate number of the certified client to query related request information.

The certified client and related parties can contact ZJQC customer service personnel to submit a written application for information inquiry, when needed. ZJQC will provide written certification or discloses relevant information according to the needs of the certified client and related parties.

Note: "Requested information" includes the geographic area involved in the operation of the certification body, the status of the certification certificate of a particular certified client, the name, relevant regulatory documents, the scope and geographical location of the certification, and the information necessary to transit a accreditation and certification certificate.

Under special circumstances, ZJQC shall limit the degree of

disclosure of certain information at the request of the customer (for example, for security reasons).

ZJQC-OD05: Rules for Handling Appeals and Complainants

In order to ensure the impartiality and quality of the management system certification, and to safeguard the rights and interests of the audited party, the certified organization, related parties and ZJQC, the auditee, the certified organization and related parties have the right to appeal and complain.

i. Appeals and complainants

1. "Appeals" in this article refers to the written statement of reconsideration from the applicant organization or the certified organization of unfavorable decisions related to the expected certification status made by ZJQC.

Note: Unfavorable decisions include: refusal to accept applications, termination of audit, issued non-conformity reports, requirements for correction or corrective action, reduction of the scope of certification, no certification granted \ maintenance \ renewal, suspension or withdrawal of certification certificates, restrictions on use of certification certificates \ audit report \ marks, and other measures.

2. Complaint refers to a written expression of dissatisfaction with the activities of ZJQC and its certification personnel or a certified organization that any organization or individual has expressed to ZJQC in addition to the appeal and wishes to receive a response.

ii. Handling process of appeals and complainants

1. Handling complaints

The organization may file a written or verbal complaint to ZJQC

(complaint telephone: 010-68316828). The written complaint shall be marked with the word "complaint" on the envelope.

As with the complaint of the certified organization, ZJQC will inform the certified organization of the complaint and ask it to cooperate with the investigation.

Within 30 working days, ZJQC completed the investigation and handling of the complaint, and notified the complainant of the results of the investigation and handling. If the organization is not satisfied with the result of the complaint handling, it can lodge a complaint with the accreditation body.

ZJQC should work with the certified organization and the complainant to decide whether the complaint should be made public, and when deciding to make public, they shall jointly determine the degree of publicity.

2. Handling appeals

If the appellant disagrees with ZJQC's decision on not making certification, suspending or withdrawing its certification qualifications, expanding or reducing its certification scope, etc., it can appeal within three months of ZJQC's decision. All appeals must be formally filed in the form of an "appeal letter", and the word "appeal" should be marked on the envelope of the appeal materials.

The general manager/ management representative of the company should organize responsible department to coordinate and resolve the appeal within 10 working days after receiving the appeal letter. The general manager/management representative authorizes to set up an appeal

team which should ensure that the personnel involved in the appeal handling process have not implemented the audit involved in the appeal and have not made the certification decision related to the appeal.

The filing, investigation and decision of the complaint should not result in any discriminatory action against the complainant.

The appeals working group makes the results within 60 days, notifies the results to the appellant, and makes it clear that if they are not satisfied with the results of the appeals, they can lodge a complaint with the accreditation body. If the appellant believes that the certification body has not complied with the relevant laws and regulations of certification or this rule and has caused serious violations of its own legal rights and interests, it may directly complain to the local certification supervision department or CNCA.

JASANZ website complaints column
(<https://www.JASANZ.org/complaints>).

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

The losing party bears all costs in the appeal / complaint process.

ZJQC-OD06: Procedures and Requirements for Management Organization Information Reporting

i. General

The certified organization shall notify ZJQC of the relevant information and changes of the management system or major accidents occurred in the organization in a timely manner, so that the company can respond to changes in the management system of the certified organization in a timely manner to ensure the effectiveness of certification management.

Major Accidents: Accidents related to quality, environmental, occupational health and safety, etc., which have been defined by the certified organization as major (larger) or higher in their corresponding industry regulations, and / or have caused the media and society's attention.

ii. Contents of reporting management system information

1. Changes in the legal status, operating status, organizational status or ownership of the organization;
2. Changes in key decision, management or technical personnel such as legal representative, top management, and system leader;
3. Changes in acquired administrative license qualifications, compulsory certifications or other qualification certificates;
4. Changes in management system documents;
5. Changes in the scope of activities covered by the management system;

6. Major changes in the management system and important processes, facilities and equipment, and environment;

7. Workplaces for production operations or services, including changes in sub-sites;

8. Changes in related organizations (such as branches related to certification certificate, etc.);

9. Other changes (such as the number of persons covered by the system, contact information, etc.);

10. Other important information affecting the operation of the management system;

11. The products produced or sold by the organization or the services provided by the organization were deemed unqualified by the quality or market supervision department or unqualified identified during the inspection by industry administrative department. Major quality environmental, occupational health and safety accidents occurred. Major complaints related to product quality, environmental, occupational health and safety management systems, and penalties from relevant authorities.

iii. Notification procedure

1. If the certified organization has made 1-10 related changes in the above management system information notification, it is required to report to ZJQC in writing within 10 working days and submit the corresponding certification documents. ZJQC will make a decision on whether to arrange for increased frequency of surveillance audit or recertification according to the actual situation of the change.

2. If the certified organization has a major accident, major complaint

or punishment in item 10 of the management system information report, it is required to report the relevant situation to ZJQC in writing within 5 working days. ZJQC will deal with it according to the actual situation of major accidents or complaints and relevant regulations of certification and accreditation.


3. ZJQC will also actively collect and classify the information of the above-mentioned certified organizations involved in changes or major accidents. ZJQC will analyze and propose information that may affect the maintenance of certification and registration qualifications:

- In response to existing problems, ZJQC will increasing the frequency of surveillance audit or re-certification to confirm whether the accident is directly related to the operation of the management system and to determine whether the certification qualification needs to be suspended / withdrawn;
- Suspending / withdrawing certification qualifications directly;
- Special reminder: for the certified organization that fails to actively report major accidents, major complaints and related changes, ZJQC will strictly deal with the organization's certification qualifications in accordance with the certification and accreditation regulations.

4. Since the date of the accident, ZJQC is responsible for reporting the accident situation and the actions taken / planned to the accreditation body within 10 days.

5. The opinions / suggestions on suspension / withdrawal of certification qualifications are decided by ZJQC technical committee.

6. The certified organization shall establish procedures to make arrangements for changes to the management system of the organization and to notify the certification body, including designating the person responsible for implementing this document and communicating with ZJQC.

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Information Form of Certified Organization	Page 1

Organization name:

Please confirm whether the following information has changed. If there are changes, please fill in the following and report to the ZJQC certification company in a timely manner (fax: 010-88388948):

1. Changes in the legal status, operating status, organizational status or ownership of the organization;; No Yes
2. Changes in key decision, management or technical personnel such as legal representative, top management, and system leader; No Yes
3. Changes in acquired administrative license qualifications, compulsory certifications or other qualification certificates; No Yes
4. Changes in management system documents; No Yes
5. Changes in the scope of activities covered by the management system; No Yes
6. Major changes in the management system and important processes, facilities and equipment; No Yes
7. Workplaces for production operations or services, including changes in sub-sites; No Yes
8. Changes in related organizations (such as branches related to certification certificate, etc.); No Yes
9. Other changes (such as the number of persons covered by the system, contact information, etc.); No Yes
10. The products produced or sold by the organization or the services provided by the organization were deemed unqualified by the quality or market supervision department. Major quality environmental, occupational health and safety accidents occurred. Major complaints related to product quality, environmental, occupational health and safety management systems, and penalties from relevant authorities. No Yes

Note:

- 1、 If the certified organization has made 1-10 related changes in the above management system information notification, it is required to report to ZJQC in writing within 10 working days and submit the corresponding certification documents. ZJQC will make a decision on whether to arrange for increased frequency of surveillance audit or recertification according to the actual situation of the change.
- 2、 If the certified organization has a major accident, major complaint or punishment in item 10 of the management system information report, it is required to report the relevant situation to ZJQC in writing within 5 working days. ZJQC will deal with it according to the actual situation of major accidents or complaints and relevant regulations of certification and accreditation.

Things to explain:

ZJQC-OD07: Rules for Multi-site Audit

i. Objectives

It is formulated to specify the management requirements of the multi-site organization management system to ensure the effectiveness of certification audits.

ii. Scope

This document applies to organizations with multiple locations

iii. Definition

1. Multi-site Organization: An organization covered by a single management system comprising an identified central function (not necessarily the headquarters of the organization) at which certain processes/activities are planned and controlled, and a number of sites at which such processes/activities are fully or partially carried out.

The multi-site includes permanent site and temporary site.

iv. Basic requirements

For organizations with multiple locations, Audits can be accepted by ZJQC only if the following basic requirements are met:

- a) The organization should have a single management system;
- b) The organization should identify its central functions. Central functions are part of the organization and should not be subcontracted to external organizations. The central function shall be authorized by the organization to prescribe, establish and maintain this single management system;
- c) The organization's single management system should be under a ce

centrally controlled and managed plan and subject to centralized management review.

d) The organization's internal audit program should include all sites, and all sites were audited internally in accordance with the organization's audit plan prior to the certification audit;

e) The central function shall be responsible for ensuring that data from all premises is collected and analysed and should be able to demonstrate its authority and ability to initiate changes in the organization when required, including, but not limited to, the following:

- System documents and system changes;
- Management review;
- complaints;
- evaluation of corrective actions;
- Planning of internal audits and evaluation of results;
- Legal and regulatory requirements related to applicable standards.

v. Handling sampling audits and nonconformity

1. ZJQC's audit of multi-site organizations is usually carried out by sampling. However, not all sites are suitable for sampling.

2. For the organization, regardless of the initial audit, surveillance audit or recertification audit, the headquarters must be audited every time, and the branches can be audited by sampling. During the validity period of the certificate, the surveillance audit shall cover all fixed sites.

3. When nonconformities are found at any individual site, either through the organization's internal auditing or from auditing by the Certification Body, investigation shall take place to determine whether the

other sites may be affected. The corrective action shall be performed both at the headquarters and at the individual affected sites.

4. It shall not be admissible that, to overcome the certification obstacle raised by the existence of a nonconformity at a single site, the organization seeks to exclude from the scope the "problematic" site during the certification process.

vi. Certification certificate

1. Under normal circumstances, ZJQC issues the main certification certificate to the organization, which indicates the name, address and certification scope of its headquarters, and the list of all temporary sites related to certification is published on the certificate attachment.

2. A sub-certification certificate may be issued to each temporary location of the certification organization if necessary, which indicates the name, address and certification scope of the location. The relationship between the sub-certificate and the main certificate is indicated by the certificate number, which is invalid when used alone. If a branch and / or subsidiary applies for a sub-certificate, the organization name of the sub-certificate shall be "parent company + subsidiary or branch name", and the certification scope shall be the respective certification scope of the subsidiary and the branch. The sub-certificate shall not include a statement that the legal entity, place, process, or activity complies with the regulatory documents.

Note: Because the processes and activities covered by multiple sites are only a part of the entire system and not a complete management system, if a certified organization applies to issue sub-certificates to

multiple sites, the sub-certificates cannot declare that the certification scope of multiple sites is in compliance with regulatory documents, such as ISO 9001, ISO 14001, etc. Based on this situation, the sub-certificates issued must not be found on the websites such as the company website, government websites (such as CNCA) etc. The certified organization shall pay attention to it.

3. If the organization's headquarters or any location does not meet the necessary conditions for maintaining the certification, the certification certificate will be withdrawn in its entirety.

4. The organization shall promptly notify ZJQC of the closure of any location. Failure to provide this information will be considered by ZJQC as a misuse of the certification certificate. ZJQC will take corresponding actions in accordance with "Rules for the Use of Certification Certificates and Marks" (ZJQC-OD04).

5. A new permanent site which is applied by an organization and passes surveillance / recertification by ZJQC can be added to the existing certificate.

6. Temporary site is established by the organization to perform specific tasks, such as construction sites. The purpose of any sampling of activities in such locations is to confirm the activities of the permanent department of the management system to be certified, not to issue certificates to these temporary locations.

ZJQC-OD08: Rules for Management of Impartiality Policies

i. Objectives

This document is formulated to ensure the impartiality in the work of ZJQC certification and implement control of factors that affect the impartiality of certification.

ii. Scope

This procedure is applicable to control all factors that may affect the impartiality of certification in all organizations, activities and personnel involved in ZJQC certification activities

iii. Definition

Impartiality: the existence of objectivity

Note 1: Objectivity means that conflicts of interest do not exist or have been resolved and will not adversely affect the follow-up activities of the certification body;

Note 2: Other terms that can be used to express impartiality are: independence, no conflict of interest, no prejudice, no bias, neutrality, fairness, open-mindedness, impartiality, unaffected by others, and balance.

iv. Basic requirements

1. Organizations, activities and people involved in certification

1) organization

Organizations involved in certification include, but are not limited to:

- the certification body itself (ZJQC) and its branches;
- ZJQC's outsourcing unit;
- ZJQC related institutions;

- certification applicant;
- the auditee;
- certified organization;
- consulting agencies;
- government regulatory agencies in the certification industry
(CNCA)
- accreditation bodies (JASANZ)
- China Certification and Accreditation Association (CCAA);
- other government departments;
- industry associations;
- non-governmental organizations;
- consumer organizations.

2) Activities

a) Direct activities involved in certification include:

- application for certification;
- audit preparation;
- audit activities;
- certification decision;
- surveillance and recertification.

b) Certification-related activities include, but are not limited to:

- internal management of certification bodies other than "certification-related activities", such as auditor management, business scope management, etc.
- management system consultation for applicant;

- management consulting;
- internal auditor training;
- seminars related to certification
- second party audit.

3) Personnel

The people involved in certification include:

- ZJQC management personnel (including management committee members, technical committee members and branch personnel);
- ZJQC auditors (including full-time and part-time);
- ZJQC's outsourcing staff;
- consultants;
- certification project introducer;
- internal auditor training teachers;
- certified clients;
- personnel of other organizations involved in certification except for certification bodies, outsourcing units and consulting agencies.

2. Possibility of conflict of interest

Threats to impartiality include, but are not limited to:

- Self-interest: Such threats originate from individuals or bodies acting in their own interests, such as temptation of the financial affairs of the body or individual.
- self-assessment: This type of threat originates from individuals or organizations assessing their work, such as certification decision personnel

reviewing files audited by them, and wholly-owned subsidiaries of certification bodies applying for their certification;

- familiarity (or trust): This type of threat originates from an individual or bodies being too familiar with or trusting another person, without looking for objective evidence, such as certification bodies to auditors, auditors to auditees, and certification body's consultation to certified clients, etc.;

- coercion: This type of threat originates from an individual or organization's perception of blatant or implicit coercion, such as threats to be replaced by others or reported to the supervisor.

3. Unacceptable threat

Unacceptable threats include:

- threats to the company's or its personnel's own interests;
- threat of self-assessment by the company or its personnel;
- marketing or quotation of company activities is related to the activities of the management system consulting agency;
- the company outsources the audit to a management system consulting agency.

4. Controls to unacceptable threat

1) Threats to the company or its personnel's own interests

a) The company's top management is committed to ensuring the impartiality of the company's management system certification activities; the company makes certification decisions based on objective evidence of conformity (or non-conformity) and are not affected by

other interests or other parties.

b) The relevant institutions of the company is: Beijing Zhongjing Guorun Technology Development Co., Ltd., the above bodies:

- do not provide services provided by company certified objects;
- do not provide services for the design, implementation or maintenance of management systems (including internal audits) to obtain or maintain certification;
- do not promote its business activities with certification at the same time.

c) If the company provides an internal audit of a management system, the management system should not be certified within two years after the internal audit.

d) The company does not accept any form of financial sponsorship from all parties in the society. Its financial income comes from certification audits and training fees. The company implements independent accounting for its finances. It has a stable financial status and a good financial supervision mechanism.

e) When the company audit team performs certification audit tasks, it does not accept gifts, gift money, securities, etc. from the organization, nor does it participate in entertainment activities and banquets arranged by the organization.

f) The company is open to all applicants without any additional conditions.

g) The company's expatriate organization complies with its commitment to impartiality.

h) The company requires auditors not to engage in certification consulting activities.

i) If the client accepts a management system consultation with an organization that has a relationship with the company, the company should not certify the management system for at least two years after the consultation.

2) Threat of self-assessment by the company or its personnel

a) The company does not accept certification applications from its wholly-owned subsidiaries or holding companies.

b) The company requires the auditors (including outsourcers) to promise that their organization and the audited organization are now or in the past, and may cause conflicts of interest, they must not participate in the certification activities of the organization; in order to ensure that there is no conflict of interest, Personnel who consult with the client management system shall not perform certification activities on the client within two years after the consultation.

c) Companies require internal staff and outsourced personnel to inform the company of any situation they know that could put them or their certification body in a conflict of interest. The company will use this information to identify threats to impartiality caused by their or their company's activities. The company requires internal staff and outsourced personnel to sign "*Confidentiality and Impartiality Commitment*" with the company and use them after it proves that they have no conflict of interest.

d) The certification decision personnel shall be those under the

company's management and control. The company prohibits the certification decision personnel from reviewing certification projects that they have participated in auditing and planning.

e) The company prohibits persons who have conflicts of interest with the appealed project or the complainant from participating in handling the appeal or complaint.

f) At the beginning and end of the on-site audit, the audit team leader shall clarify the impartiality requirements to the members of the audit team, and all members of the audit team shall sign “Guarantee of Impartiality in Certification Audit”.

3) Relationship between marketing or quotation of company’s activities and activities of management system consulting agencies

a) The company independently signs the certification contract and does not negotiate with any consulting agency to sign the general contract of certification consulting.

b) The company and its certification personnel shall not promote consulting services or provide consulting quotes during the certification process, nor shall they explicitly or imply that certification will be easier, simpler, faster or cheaper if the consultation is conducted.

c) If it is informed that any consulting agency link or statement claims or implies that choosing ZJQC will make certification simpler, easier, faster, or cheaper, the company should take steps to correct such misrepresentation.

d) The company has no relationship with the consulting fees of any consulting agency / person.

4) The company does not outsource audits to consulting agencies for management system.

5. Control for other threats

1) When providing training to the organization, the company only provides information that is generally available in public.

2) The company does not give rebates to certification applicants or their representatives in any name, and does not give intermediary introduction fees.

3) The certification fee shall follow the "*Certification Fee Standard*" published by ZJQC, and shall not adopt high fees or low-price competition by various means.

4) The management system certification fee is not totally or partially exempted without proper reasons, which is indeed a special case, and must be approved by the general manager.

5) The company shall not link the applicant organization's certification with the remuneration of auditors and other personnel participating in certification audits.

6) The company does not certify the quality management system of another certification body.

6. Identification, analysis, evaluation and disposal of certification impartiality

1) Management representative organizes relevant departments to analyze and identify possible conflicts of interest.

2) The company checks the impartiality management through daily system inspection and internal audit.

3) The management committee conducts an independent assessment for the company's certification impartiality management and operation every year.

4) Top management should assess the risks of any residual impartiality management and decide whether it is at an acceptable level. For unacceptable risks, the company does not provide related activities or services.