



Zhongcheng Times Certification Center Co., Ltd

Certification Public Documents

Controlled status: (Controlled)

Document No.: CIT-GK-004-2023

Version No.: A/2

Release date: January 10, 2023

Revision Date: October 12, 2026

Effective Date: October 13, 2026



Change Control Page

version	Change Chapter	Major changes	Change Person	Date of change
A/0		First release		
A/1	4.11	Increase international mutual recognition marks and IAS joint marks	Yang Dongping	2023.08.07
A/1	1	Company address modification	Yang Dongping	2023.08.07
A/1		Company logo modification	Han Mingzhi	2024.11.06
A/1	5	Delete brand service certification standards	Han Mingzhi	2025.03.17
A/1	5	Increase energy management system certification standards	Han Mingzhi	2025.05.10
A/1	4.1.1	Added certification mark style and description	Han Mingzhi	2025.07.23
A/1	4.3	Modify surveillance audit interval, delete clause 4.3. 3	Han Mingzhi	2025.11.27
A/2		According to the QES issued by CNCA And the new version of EnMS certification rules require content optimization and integration	Han Mingzhi	2026.02.03
A/2	3.6.5	In accordance with the State Administration for Market Regulation's requirements for submitting certification information, the reasons for cancellation have increased by d.	Han Mingzhi	2026.10.12



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1 Foreword

Zhongcheng Times Certification Center Co., Ltd. (Chinese abbreviation: Zhongcheng Times Certification Center; English abbreviation: CIT), established in 2019, has independent legal personality and has been approved by the China National Certification and Accreditation surveillance Administration Committee (CNCA) (approval number CNCA-R-2019-543), mainly engaged in the approved scope of quality management system (ISO9001), environmental management system (ISO14001), occupational health and safety management system (ISO45001) certification, energy management system certification, engineering construction enterprise quality management standard certification, medical device quality management system certification, service certification, and has a good reputation in the industry and client.

Zhongcheng Times Certification Center Co., Ltd. (formerly known as Jiangsu Haniko Certification Co., Ltd.) is a certification body specializing in management system certification and service certification. When it was established, it was determined to rely on its high-quality personnel, solid and excellent skills, standardized, scientific, rigorous working attitude and dedicated service spirit to provide satisfactory certification services for the client and interests of all parties.

CIT will strictly abide by the requirements of relevant national laws, regulations and standards, operate in accordance with international practices, adhere to the service principles of objectivity, independence, fairness, openness, authority and credibility, and provide "standardized, pragmatic, efficient and economical" certification services for the majority of client.

Brand Image



Our Objective

Our goal is to be the most competitive and influential service organization in the certification industry. Constantly improve and innovate in the field of certification services, and strive for perfection. In the international integrated market competition environment, we should stably occupy and continuously expand the market share, so that more and more certified organization's management system can meet the international standards and be recognized by the whole world, and meet the increasing expectations and needs of society and customers to the maximum extent.

Our Values

Adhere to the service principles of objectivity, independence, fairness, openness, authority and credibility, and provide "standardized, pragmatic, efficient and economical" certification services for the majority of client.

While we continue to strive to achieve our goals, we are always filled with a corporate culture of passion, integrity



first, aggressive and innovative spirit. These values guide our behavior and are the cornerstone upon which our institution is built.

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1.1 Purpose

The purpose of preparing this document is to meet the Regulations of the People's Republic of China on Certification and Accreditation, the Measures for the Administration of Certification Bodies and the Requirements for Certification Bodies of the management system. It aims to elaborate the requirements for applying for Chinese certification, implementing management system certification and maintaining management system certification.

1.2 Scope of application

1.2. 1 This document is applicable to the basic basis for all types of management system rights carried out by CIT, and it is also the guidelines that CIT and all organizations that have obtained or are preparing to obtain CIT management system rights should abide by.

1.2.2 This document is applicable to:

1.2.2.1 management system's application;

1.2.2.2 Implementation of management system and maintenance of management system.

1.2.3 management system and service system applicable to this document:

1.2.3.1 Quality management system (QMS) GB/T 19001-2016/ISO 9001: 2015

1.2.3.2 Environmental management system (EMS) GB/T 24001-2016/ISO 14001:2015

1.2.3.3 Occupational health and safety management system (OHSMS) GB/T 45001-2020/ISO 45001: 2018

1.2.3.4 Enterprise Integrity management system (EIMS) GB/T 31950-2023

1.2.3.5 Social Responsibility management system (SRMS) GB/T 39604-2020

1.2.3.6 Quality Management Specification for Engineering Construction Enterprises GB/T 50430-2017

1.2.3.7 Energy management system (EnMS) GB/T 23331-2020/ISO 50001: 2018

1.2.3.8 management system certification of medical device quality GB/T 42061-2022/ISO 13485: 2016

1.2.3.9 Evaluation System for After-sales Service of Commodity GB/T 27922-2011

1.2.3.10 Property services GB/T 20647.9-2006



1.2.3.11 Senior Care Services RB/T 303-2016

1.3 authority rights and obligations of CIT

1.3.1 authority

1.3.1.1 Have the right to make audit and certification decisions within the scope of the proposed system certification according to the certification audit procedures and management regulations;

1.3.1.2 If Party A does not meet the certification requirements through audit proves, it has the right not to issue the certification certificate or not allow Party A to use the certification mark;

1.3.1.3 In case of major changes or abnormal circumstances in Party A's system, it has the right to increase the frequency of surveillance audit or suspend, revoke/cancel Party A's certification certificate;

1.3.1.4 Party A has the right to suspend, revoke/cancel Party A's certification certificate and require Party A to stop using it and return the relevant certification certificates and certification marks if it fails to pay surveillance fees on time, accept surveillance audit or re-certify audit on time after obtaining the certificate;

1.3.1.5 Have the right to publish the certification status of certified organization (approval, suspension, revocation/cancellation);

1.3.1.6 Have the right to charge certification fees as stipulated in the certification contract.

1.3.2

1.3.2.1 Strictly abide by relevant laws and regulations on certification and accreditation, and carry out certification work;

1.3.2.2 Organize and implement management system certification activities fairly, objectively and scientifically in accordance with the certification procedures, standards on which the certification is based and the agreement of this contract;

a) Make proper arrangements for each on-site audit personnel and time, and notify Party A in writing;

b) Implement the audit at the agreed time;

c) The certification certificate can only be issued after meeting the certification requirements of Party A through audit;

d) After Party A is certified, it will regularly implement surveillance audit and re-certification on schedule;

e) Provide inquiries about certification information related to certified organization through media such as the website of the certification body;

f) When making a decision to restore, suspend, revoke/cancel the certification certificate, notify Party A in writing and explain the reasons.

1.3.2.3 Strictly fulfill the confidentiality commitment, and shall not leak Party A's non-public information in



operation, technology, management, etc. to third parties in any way;

1.3.2.4 Answer and explain Party A's questions about management system certification requirements and certification procedures, and handle Party A's appeals, complaints and disputes related to certification audit rights;

1.3.2.5 When the management system certification requirements are changed, Party A shall be notified in time.

1.4 CIT's Statement of Impartiality and Commitment to Confidentiality

1.4.1 Declaration of impartiality

Zhongcheng Times Certification Center Co., Ltd. (CIT for short) makes the following statement according to the provisions of relevant laws and regulations and the guidelines of the third-party certification system, in order to ensure that the activities of the center meet the service principles and confidentiality requirements of the certification work, such as objectivity, independence, fairness, openness, authority and credibility, etc., and conducts business within the qualification scope approved by CNCA:

- ① Strictly abide by relevant national laws, regulations and various management systems in the certification work, and ensure that the services or activities provided by relevant institutions do not affect the objectivity and fairness of the center's certification activities;
- ② The policies, procedures and management methods implemented by CIT are not discriminatory, do not use procedures that violate the basic requirements of national certification and accreditation, and do not hinder or prevent the certification application of the applicant organization;
- ③ CIT provides convenient certification services to all applicant organizations, without improper economic or other conditions other than the certification procedure, and is not conditional on the size of the applicant organization or the qualification of the organization or group it belongs to;
- ④ CIT has a fair attitude towards organizations that voluntarily apply for certification, earnestly performs working procedures and strictly implements working standards. Be free from interference in business work and be free from the domination of the economic interests of relevant parties;
- ⑤ Ensure that the assessment of certification is carried out by personnel who do not perform certification activities;
- ⑥ CIT and its staff do not engage in technical consultancy activities related to certification business, and do not have any relationship related to the certification process with any organization (including individuals) that provides certification consultancy or internal audit services for certified organizations;
- ⑦ Do not carry out certification work for profit, and do not contract business and engage in business



competition for commercial purposes and improper means;

⑧CIT relies on scientific management, strict discipline, perfect management and effective measures to engage in certification activities; CIT and its staff strictly follow confidentiality regulations and keep technical, commercial and management secrets for the application organization to safeguard their legitimate rights and interests;

⑨Full-time or part-time staff are not allowed to engage in activities that violate the commitment to fairness, and disciplinary action will be given if any violation is found. Report to CCAA when necessary until legal and criminal responsibility is investigated;

⑩Attending CIT adheres to the service principles of objectivity, independence, openness, fairness, honesty and credit in all activities of determining development strategies, formulating quality policies, making certification decisions and implementing audit, and ensures that senior managers and staff are free from any commercial, financial and other pressure that may affect the certification results.

1.4.2 Commitment to confidentiality

①CIT is responsible for keeping confidential the commercial and technical information about the applicant or certified organization obtained during the certification process, and keeping confidential the information about the applicant or certified organization rights obtained during the certification process.

②All CIT personnel related to certification work, including impartiality committee, technical committee, office staff, auditors, technical experts, handymen or other personnel involved in certification activities, have signed impartiality and confidentiality commitment letters or confidentiality agreements with the company.

③CIT strictly keeps confidential the technical and commercial information of all auditee rights, formulates strict confidentiality systems and procedures, and ensures that personnel at all levels shall not disclose the information obtained during the certification process to third parties without the written permission of auditee.

④Contents that should be kept confidential include:

- a) any information regarding certified audit work, auditors and certifying organizations;
- b) Certification organization files, expatriate agencies, collaborators, related parties, etc. files;
- c) CIT system documents and confidential documents/contents issued by superiors; Documents/content orally or otherwise requested by CIT to be confidential;
- d) Information exposed to in the certification work (including auditee's operation, production/service status and technical data, etc.);
- e) Other information that requires confidentiality.

⑤Confidential information may be disclosed under the following circumstances:



- a) The written consent of the organization from which the confidential information is sourced;
- b) Fulfilling statutory responsibilities (CIT is required to notify the organizations involved when providing information).

⑥The following information is not confidential:

- a) information published by CIT in publications or websites regarding the accreditation status of accredited organizations;
- b) The fact (not the reason) that an organization is accredited, denied accreditation, suspended or revoked/deregistered accreditation, expanded or narrowed the scope of accreditation, and details of the scope of accreditation.

2 Instructions to Applicants

2.1 Conditions for applying for certification and information submitted

2.1.1 General conditions

- The applicant organization should hold a legal person's business license or documents proving its legal status;
- Production license or other qualification certificate has been obtained (when required by national or departmental regulations), and it is valid;
- The products/services covered by management system rights applying for certification should meet the requirements of business scope, relevant national standards, industry standards or registered product standards (enterprise standards), and operate normally;
- The organization has established a documented management system in accordance with the requirements of GB/T 19001 or GB/T 24001 or GB/T 45001 or GB/T 23331 standards, or at the same time, and has implemented it for at least 3 months. Units applying for energy management system certification need to operate for at least 6 months, and special industries need to operate for at least 3 months (such as construction units);
- The applicant organization has conducted at least one comprehensive internal audit and one management review;
- At present, it has not been ordered by the administrative supervision department to suspend production and business for rectification;
- At present, it is not included in the list of serious illegal and untrustworthy entities issued by the National Enterprise Credit Information Publicity System and Credit China, and has not been included in the list of serious untrustworthy entities in production safety by the emergency management department;
- The certification certificate has been suspended, revoked or cancelled by the original institution for its own reasons for one year (when applicable);
- It has been three months since the certification qualification of the original certification



certificate issuing institution was revoked by CNCA (when applicable);

- Within one year, no major quality accidents or environmental emergencies have occurred that have been ordered by the administrative supervision department to suspend production and business for rectification;

- No major production safety accidents occurred within one year;

- Products within the scope of applying for certification within one year have not failed to pass the spot check of product quality by the national surveillance, or have failed to pass the spot check of product quality by the national surveillance, but have been rectified according to relevant regulations;

- Environmental emergencies and environmental-related administrative penalties occurring within one year have been rectified and qualified in accordance with relevant regulations;

- Production safety accidents, occupational diseases and administrative penalties related to OHSMS occurred within one year have been rectified and qualified in accordance with relevant regulations;

- The activities covered by the certified OHSMS scope are in compliance with relevant OHSMS laws and regulations, and there are no intentional and continuous violations.

2.1.2 Requirements for certification application materials:

- Application for certification of the management system signed by the authorized representative of the applicant organization: the Application for Certification of the management system signed by its authorized representative, including the scope of certification application, the name of the applicant organization, the address of site, the outsourcing process, whether it has received consultancy rights, the description of human resources, etc., the scope of certification application, the standards of certification application by the applicant organization, etc.;

- Copies of legal documents (such as business license of enterprise, legal person certificate of public institution, registration certificate of social organization, registration certificate of non-enterprise legal person, establishment documents of party and government organs, etc.), etc.

- Other qualification certificates (when required by national or departmental regulations); For example, copies of 3C certification certificate, industrial product production license, safety production license, enterprise qualification, etc.;

- Management manual: Apply for management system and service system (or simultaneous) certification according to the corresponding certification standards, and provide documented information (the scope of applying for management system certification, the description, policy, objectives, organization chart and functional allocation of various departments, etc.) and procedure documents;

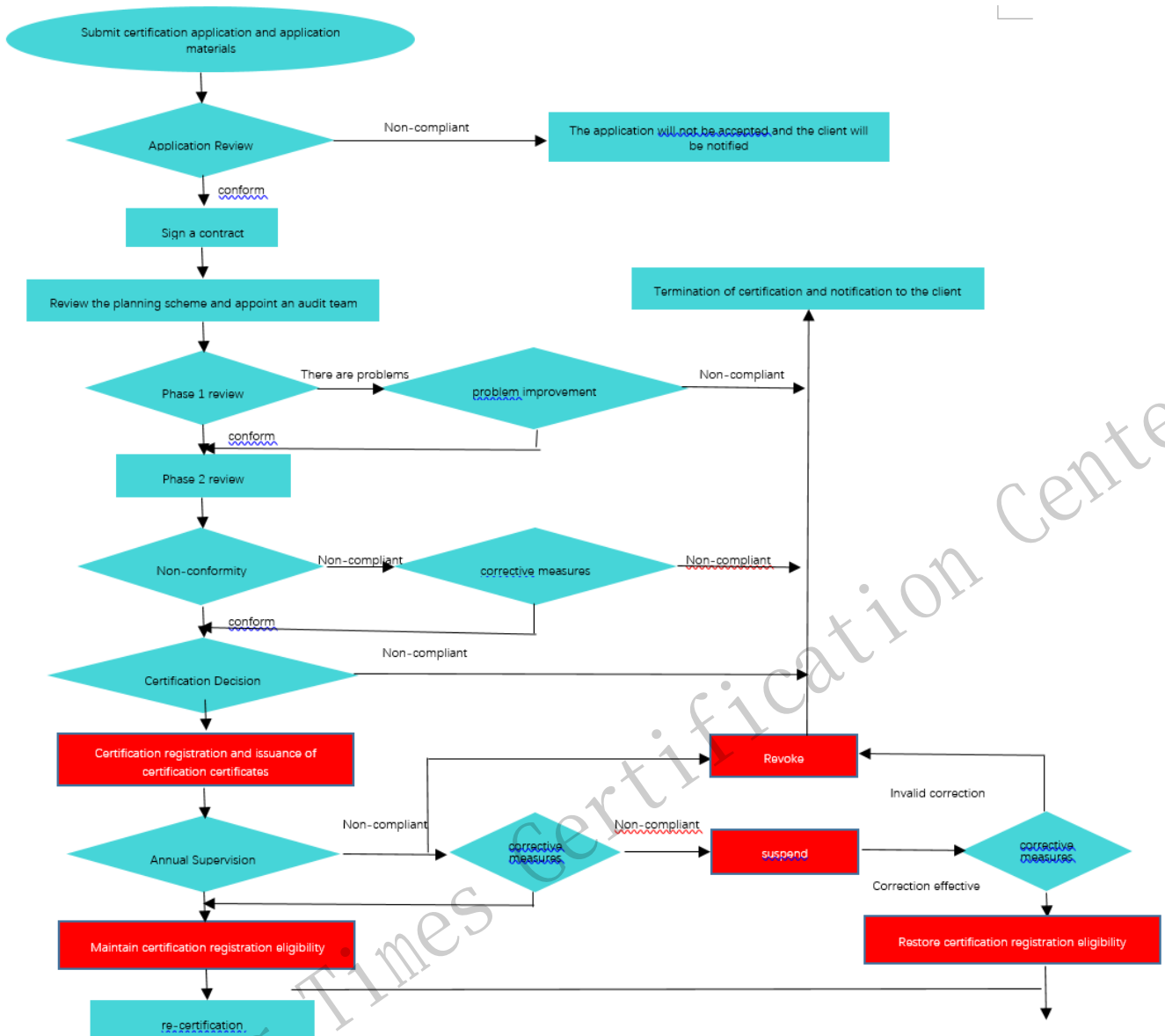
- If management system covers multi-site activities, multi-site needs to provide a list of multi-site, and a copy/scanned copy of the legal status documents of each site should be attached-(when applicable);

- Product production process, process to be confirmed, and key process description;



- Internal audit materials (including internal audit plan, sign-in form, checklist, non-compliance and internal audit report);
- Management evaluation data (including management evaluation plan, input reports of various departments and management evaluation reports);
- List of special equipment-(where applicable);
- Conversion Certification Authority Declaration and Application Form-(where applicable);
- List of mandatory standards/requirements and enterprise standards involved in products or services;
- EIA report, EIA approval and acceptance report or EIA filing form-(when applicable);
- Pollutant Discharge Permit-(where applicable);
- Hazardous waste legal disposal agreement-(where applicable);
- The environmental monitoring (including wastewater, waste gas, noise, etc.) report of the applicant organization in the past year issued by a legally qualified environmental monitoring agency (applicable to organizations with first-level environmental risks and some second-level risks with serious pollution);
- Fire Acceptance Report-(where applicable);
- Energy audit report, energy saving assessment report (when applicable)
- Test report of harmful factors for special posts-(when applicable);
- Physical examination report of special post personnel-(when applicable);
- When necessary, the safety monitoring (including noise, dust, etc.) report of the applicant organization in the past year issued by a legally qualified safety monitoring agency-(when applicable, based on the classification catalogue of occupational hazards);
- Applicant organizations that produce, store and use hazardous chemicals must provide safety production evaluation and acceptance reports;

Authentication flow chart



2.2 authority and obligations of the applicant

2.2.1 authority

2.2.1.1 Voluntarily submit a certification application to the Company;

2.2.1.2 Have the right to request the Company to provide an explanation of management system certification requirements and certification procedures;

2.2.1.3 After obtaining certification, they enjoy the authority rights to correctly use the certification certificate and certification mark and correctly publicize the fact that they have obtained certification;

2.2.1.4 Have the right to lodge complaints and complaints to the Company about audit rights and certification decisions, or directly complain to accreditation institutions and/or national certification and accreditation surveillance authorities;

2.2.1.5 Have the right to require the Company to promise to keep the secret of the auditee rights obtained in audit.

2.2.2 obligations



2.2.2.1 Comply with relevant laws and regulations on certification and accreditation, and establish, implement, maintain and continuously improve management system according to the requirements of certification standards. Pay the fees stipulated in this contract to the company according to the agreement in this contract.

- a) At the time of initial certification of audit, management system has been effectively operating for at least three months (six months in Energy management system);
- b) Within the validity period of the certificate, accept and cooperate with Party b in implementing surveillance audit and re-certification;
- c) When the certification scope applied for includes multiple subsidiaries and sub-sites, it should be ensured that the subsidiaries and sub-sites within the certification scope should comply with the contract.

2.2.2.2 Read relevant documents carefully, provide information related to certification according to the requirements of the company, ensure that the content is true, accurate, complete and effective, and bear all consequences caused by information distortion.

2.2.2.3 Provide the company with all documents and information required by audit, provide audit personnel with the necessary working and living conditions in audit, and actively cooperate with the audit team.

2.2.2.4 Do not give gifts or gifts to the audit team, and do not exert pressure on the audit team to damage the fairness of certification.

2.2.2.5 The correct use of certification certificates, certification marks and related information shall not damage the reputation of the company and/or the certification system and lose public trust. Do not use management system certification certificates, certification marks and related words and symbols to mislead the public into thinking that their products or services have passed certification without authorization.

2.2.2.6 During the validity period of the certificate, if there are changes and major problems in management system rights, the Company shall be notified in time. Contains but is not limited to the following information:

- a) there are material complaints from client and related parties;
- b) The products or services produced are determined by law enforcement and regulatory authorities to do not meet statutory requirements;
- c) Quality, environmental, and safety accidents of products or services occur;
- d) Changes in relevant circumstances, including: changes in legal status, production and operation status, organizational status or ownership; Changes in administrative licensing qualifications, compulsory certification or other qualification certificates obtained; Change of legal representative, top management and management representative; Changes in the work site of production, operation or service; Changes in the scope of activities covered by management system; Major changes in management system and important processes;
- e) Other important situations that affect the operation of the management system occur.



2.2.2.7 When the certification qualification is suspended or revoked/cancelled for some reason, the use of the certification certificate and certification mark and the publicity of the certification shall be stopped immediately. For the revoked/cancelled certification certificate, the company has the right to withdraw the certification certificate.

2.2.2.8 Obligation to assist the certification supervision department in surveillance inspection, and truthfully provide relevant materials and information for inquiries and investigations on relevant matters.

2.2.2.9 If you hold a certification certificate with an accreditation mark issued by the company, you should accept the witness review and confirmation of audit rights by the accreditation institution. If you refuse, it will lead to the suspension or revocation/cancellation of the certification qualification.

2.2.2.10 After receiving the notification of the change of certification requirements from the Company, implement the change according to the requirements within a given time, and accept the verification of the results of the change implementation by the Company in combination with document review, surveillance audit or re-certification.

2.2.2.11 The certification fee shall be paid according to the requirements of the certification contract, and the applicant (or the superior unit or subordinate unit directly) shall pay it directly to the certification body.

3 Certification and audit procedures

3.1 General provisions

3.1.1 According to CNAS-CC01: 2015 "Requirements for Certification Bodies of the management system" and "CNAS-CC190: 2021 Requirements for Certification Bodies of Energy management system", combined with relevant laws, regulations and technical standards for certification and accreditation, the Company has made specific provisions on the implementation process of various management system certifications, and clarified the basic requirements of the Company, the applicant organization and certified organization in management system certification activities, so as to ensure the standardization and effectiveness of management system certification activities.

3.1.2 audit scheme includes two-stage initial audit, surveillance audit in the first and second years, and re-certification audit in the third year before the certification expires. The three-year certification cycle starts from the initial certification or re-certification decision.

3.2 Application acceptance

3.2.1 After the applicant understands the company's situation, it can fill in the "Certification Application Form", provide the information in the list of information required for the certification application, and submit it to the company's marketing department.

3.2.2 The company's application reviewer shall review the certification application, determine the fee according to the charging standard if it meets the requirements (including the company's ability to certify), and sign a certification contract according to national regulations through negotiation between both parties. If the company does not accept it, it shall explain the reasons to the applicant. Within half a month before the official audit, the applicant shall pay the certified initial audit fee to the company's finance department



in one lump sum (the surveillance audit fee shall be paid in accordance with the contract).

3.2.3 The company shall accept or reject the certification after applying for review. When the company rejects the certification application based on the results of the application review, the marketing department should record the reason for the rejection and make it clear to the client. When the certification is refused, the company should not violate the Undertaking of Impartiality and Confidentiality.

3.3 audit planning

3.3.1 audit time

In order to ensure the completeness and effectiveness of the certification audit, the Company calculates and formulates the time required to complete the management system work according to the scope of activities, characteristics, technical complexity, risk degree, certification requirements and the effective number of people covered by the system in auditee audit. The calculation of working time in audit should refer to the basic person-days described in the appendix of CNAS-CC15 audit Time in management system (QMS, EMS, OHSMS), CC105 Determining management system Time in audit (QMS, EMS, OHSMS), IAF MD5 Determining management system Time in audit (QMS, EMS, OHSMS), etc. If it is a multi-system certification audit, it should be investigated according to CNAS-CC106 Application of CNAS-CC01 in Integrated management system audit and IAF MD11 Application of ISO/IEC 17021 in Integrated management system audit.

Energy management system refers to the basis for determining the effective number of people, energy type, system complexity, management system time adjustment, etc. described in Energy audit audit Time in Appendix A of ISO50003: 2021 "Energy management system Certification Agency Requirements" audit person day. If it involves Multi-site will arrange site time according to Appendix B. Multi-audit organization will arrange audit time.

3.3.2 Audit team

According to the professional technical area of the activities covered by the auditee system, the Company selects auditors and technical experts with relevant capabilities to form an audit team, and designates the leader of the audit to lead the audit team and assume audit responsibilities.

3.3.3 audit Plan

- a) Before the audit, the audit team leader formulates a written audit plan.
- b) The audit plan includes the following contents: audit purpose, audit guidelines, audit scope, audit process, departments involved in audit and site, audit time, and members of the audit team (among them: auditors should indicate the registration certificate number and relevant professional code; Technical experts should indicate professional codes, technical titles or positions, and part-time auditors and experts should indicate their full-time service units).
- c) Under normal circumstances, the initial certification of audit, surveillance audit and the re-certification of audit should be carried out at various auditee countries involved in the scope of site certification.
- d) If auditee's system coverage includes multiple site carrying out the same or similar activities, and these



site are all under the authorization and control of the auditee, the Company may sample these audit in the site. If there are fundamentally different activities in different site, or there are regional factors in different site that may have a significant impact on quality management, the method of sampling audit cannot be adopted, and audit should be conducted at each site one by one.

e) In order to enable on-site audit activities to observe product production or service activities, on-site audit should be arranged when the product production or service activities covered by the certification scope are in normal operation, and the shift schedule should be considered (OHSMS initial certification audit, re-certification audit and surveillance audit in the first certification cycle should conduct audit on at least one shift during normal office hours and one shift of production or service activities outside normal office hours).

f) Before the commencement of audit activities, the audit team will submit the written audit plan to the auditee for confirmation. When the plan is temporarily changed under special circumstances, the applicant organization subject to audit shall be notified in writing of the change in time, and a consensus shall be reached through consultation.

3.4 audit implementation

3.4.1 management system's initial certification requires audit ISO17021 standard and implements two stages (audit in the first stage and audit in the second stage).

3.4.2 Phase 1 audit

Phase I audit shall:

- a) The management system Papers of client, audit; Document review. According to the situation of auditee, the company arranges an audit team in advance, and the leader of the audit will review the auditee management system management manual and procedural documents of management system;
- b) Understand the certification client'S situation, including its activities, products and services, facilities and equipment, process/service processes, site operations, important environmental factors and their control measures, major hazard sources and OH&S risks and their control measures, hazardous materials used and stored in production/services, and applicable laws, regulations and standards;
- c) Evaluate the operational site of client and the specific situation on the ground, and hold discussions with client personnel to determine the preparedness for the second phase of audit;
- d) Review client'S understanding and implementation of standard requirements, in particular the identification of key performance or important environmental factors, major hazards and OH&S risks in management system, corresponding energy benchmarks, identification and sequencing of energy performance improvement opportunities, processes, objectives and operations;
- e) Confirm the authenticity of the application information and documents of the certification client;
- f) Collect necessary information about client's management system scope, process, effective number of people covered by the system and site, as well as relevant legal and regulatory requirements and compliance (such as quality, environment, legal factors in the operation of the client, related risks, etc.);

- g) Confirm the energy boundary, the establishment of energy benchmarks, the establishment of energy performance parameters, the use of main energy sources, the quantity of energy, the configuration of energy measurement equipment, the collection and planning of energy data, the confirmation of comprehensive energy consumption, energy performance improvement, etc.;
- h) Fully understand the management system and field operations in client in conjunction with possible important factors, so as to provide a focus for planning the second phase of audit;
- i) Review the allocation of resources required for the second phase of audit, evaluate whether client has planned and implemented internal audit and management review, energy review, and whether the degree of implementation in management system proves that client is ready for the second phase of audit, and agree with client the details of the second phase of audit. In order to achieve the above goals, for most management system, it is recommended that at least part of the first phase of audit activities be carried out in client, site. The audit team shall document and inform the client of the first-stage audit findings, including identifying any issues of concern that may be judged as non-conforming in the second-stage audit. When determining the interval between audit in Phase I and audit in Phase II, the audit team should consider the time required for client to solve any issues of concern identified in the audit in Phase I. The audit team may also need to adjust the arrangements for the second phase of audit.

3.4.3 Stage 2 audit

The purpose of the second phase of the audit is to evaluate the implementation of the client management system, including its effectiveness. Phase II audit should be conducted on site in client and cover at least the following aspects:

- a) Compliance and evidence with all requirements of applicable management system standards or other normative documents;
- b) Monitoring, measurement, reporting and review of performance based on key performance objectives and indicators (consistent with the expectations of applicable management system standards or other normative documents);
- c) Aspects of client's management system and performance relating to compliance with the law;
- d) Operational control of the client process;
- e) Internal audit and management review;
- f) Management duty for client approaches;
- g) Links between normative requirements, guidelines, performance objectives and indicators (consistent with the expectations of applicable management system standards or other normative documents), applicable legal requirements, duty, personnel capabilities, operations, procedures, performance data and internal audit findings and conclusions;
- h) Implementation of specific operational planning and control for energy performance improvement;
- i) Operation and control of activities, processes and primary energy use within the scope of certification.

3.4.4 Site audit



3.4.4.1 The audit team should arrive in auditee in advance and communicate with the management representative about matters related to audit.

3.4.4.2 First meeting

The first meeting is chaired by the team leader. It takes no more than half an hour.

3.4.4.3 Site audit

Proceed as scheduled. The site needs to adjust the plan can be negotiated with the team leader.

3.4.4.4 Intermediate Sessions

At the end of the audit every day, the audit team can hold an internal meeting according to the audit situation on that day. In case of major non-conformities (major non-conformity items), the audit team needs to convene an interim meeting of the leadership of the auditee. Before the last meeting, the audit team exchanged views with the leaders of auditee.

3.4.4.5 Last Meeting

The final meeting was chaired by the leader of the audit. It mainly reports on the overall situation of auditee management system operation, existing problems, audit conclusions and environment, occupational health and safety management system, energy performance improvement operation, problem points, etc.

3.4.4.6 audit conclusion

On-site audit conclusions can be divided into three types: passed, to be improved, and not passed (detailed explanations will be explained at the first meeting). Whether it has the on-site audit for the second stage, audit focuses on.

3.4.4.7 audit report

The audit team leader prepares the audit report and is responsible for the content of the audit report, which is provided to the applicant organization after being reviewed by the technical department. CIT enjoys the ownership of the audit report. Audit reports should provide accurate, concise and clear records of audit, so as to provide sufficient information for accreditation decisions. Include at least the following:

- Indicate the certification body;
- the name and address of the client and the representative of the client;
- type of audit (e.g. initial, surveillance, re-certification or special audit);
- audit guidelines;

Audit purposes;

- the scope of the audit, in particular the identification of the organizational or functional units or processes of all audit, and audit time;
- any deviation from the audit plan and its reasons;
- any important matters affecting audit scheme;
- Indicate the leader of the audit, members of the audit team and any persons traveling with the audit team;
- the date and place of implementation of audit activities (on-site or off-site, permanent or temporary site);



- audit findings, citations of audit evidence and audit conclusions consistent with the requirements of audit type;
- where applicable, significant changes affecting client's management system that have occurred since the last audit;
- any unresolved issues that have been identified;
- where applicable, whether it is a combined, joint or integrated audit;
- A disclaimer stating that audit is based on the sampling process of available information;
- the recommendation of the audit team and the conclusion on the suitability of the certification scope applied;
- where applicable, certified organization's control over the use of certification certificates and certification marks;
- where applicable, verification of the effectiveness of corrective actions taken for previous non-compliance;
- When applicable, the unqualified situation of quality spot checks by the administrative supervision department, the environmental-related administrative penalties and environmental emergencies of the certification client, the OH&S-related administrative penalties and OH&S accidents and occupational diseases of the certification client, and the analysis of related causes and the effectiveness of corrective measures;

3.4.4.8 Cause analysis of nonconformances

For non-conformities found in audit, auditee shall analyze the causes within the prescribed time limit and explain the corrective and corrective actions taken or proposed to eliminate the non-conformities.

3.4.4.9 Verification of effectiveness of corrections and corrective actions

The audit team leader will verify the effectiveness of the corrective and corrective actions taken by auditee and their results. Verification can be done through documented information provided by audit auditee, or by implementing on-site verification if necessary.

3.4.4.10 Failure to effectively complete corrective actions

If major non-conformity fails to submit corrective and corrective measures within 6 months from the end of the second phase audit, surveillance audit within 3 months from the end of the audit, and re-certification before the expiration of the original certification certificate, or the submitted corrective and corrective measures are unacceptable, the on-site audit will be deemed invalid.

3.5 Certification decision

The technical committee of the Company has effectively reviewed the following aspects, and there is sufficient evidence to prove that auditee's management system meets the requirements of the standard, operates effectively, and has the ability to achieve the target, before it can issue the certification certificate to the auditee:

- a) The content of the audit report is sufficient, and the information provided by the audit team is sufficient



to determine the satisfaction of certification requirements and the scope of certification;

- b) Minor non-conformities have been reviewed and accepted auditee's plan for corrections and corrective actions;
- c) Critical discrepancies have been reviewed and the effectiveness of corrections and corrective actions has been accepted and verified;
- d) auditee has fulfilled the relevant obligations in accordance with the certification contract. 3.6 Grant, deny, maintain, renew, suspend, restore or revoke/cancel certification

3.6.1 Approval and rejection of certification

3.6.1.1 Certification or re-certification will be refused in any of the following circumstances:

- a) management system's running time does not meet specified requirement's;
- b) Providing false application materials or operating illegally;
- c) Production without standards or enterprise standards have not been approved or filed by the national competent authorities;
- d) The product quality of the National Quality surveillance spot checks is unqualified or has serious quality problems exposed by the media, and there is no evidence of effective correction and corrective measures;
- e) Quality accidents, quality-related administrative penalties or environmental emergencies occurring within one year, environmental-related administrative penalties or production safety accidents occurring within one year, occupational diseases and OH&S-related administrative penalties, without evidence of effective correction and corrective measures;
- f) Type test is not carried out according to the product standard, or there is no objective evidence of physical quality (the evidence includes the evaluation opinions of end users or customers);
- g) Failure to obtain the administrative license stipulated by relevant laws and regulations;
- h) The certification certificate has been suspended or revoked or cancelled by the original issuing authority for less than one year due to certified organization's own reasons (when applicable);
- i) less than three months after the certification qualification of the original certification certificate issuing agency has been revoked by CNCA (where applicable);
- j) Currently ordered by the administrative supervision department to suspend production and business for rectification;
- k) It is currently included in the list of serious illegal and untrustworthy entities issued by the "National Enterprise Credit Information Publicity System" and "Credit China", and has been included in the list of seriously untrustworthy entities in production safety by the emergency management department;
- l) Major quality accidents, environmental emergencies, and major production safety accidents that have been ordered by the administrative supervision department to suspend production and business for rectification occur within one year;
- m) The activities covered by the OHSMS scope to be certified do not meet the requirements of relevant OH&S laws and regulations, and there are intentional and continuous illegal acts;

n) Failure to obtain the qualification of legal subject.

3.6.1.2 Under any of the following circumstances, remedial measures should be taken before certification or re-certification can be granted:

- a) omission of processes, regions, site or departments from on-site audit;
- b) Insufficient evidence of correction of serious nonconformity or implementation of corrective action;
- c) Failure to provide due objective evidence of product physical quality (safety) or environmental and occupational health and safety performance;
- d) Inconsistency between audit's report and audit's discovery records, or the evaluation in audit's report is not retrospective;
- e) The final confirmation statement of certification scope does not meet the requirements of accreditation specifications.

3.6.2 Maintenance of certification qualifications

3.6.2.1 In order to maintain certification/registration during the validity period of the certificate, the certified organization must have a self-improvement mechanism and conduct regular internal audit and management reviews.

3.6.2.2 certified organization shall accept surveillance audit according to the prescribed frequency and interval (surveillance audit shall cover each calendar year, the first surveillance audit after the initial certification shall be conducted within 12 months from the date of issuance of the certificate, and the second surveillance audit shall be conducted within 24 months from the date of issuance of the certification certificate. The time interval between the two surveillance audit shall not exceed 12 months), accept the re-certification audit within 3 months before the validity period of the certificate, and take effective corrective measures for the non-conformities raised in the audit.

3.6.2.3 The audit team confirms whether it can be recommended to maintain certification or re-certification registration by reviewing the (overall) continuous compliance and effectiveness of auditee management system, as well as the continuous relevance and suitability to the scope of certification.

a) Each surveillance audit includes, at a minimum, a review of the following:

Internal audit and management review;

- Measures taken for non-conformity identified in the previous audit;
- handling of complaints;
- the effectiveness of the management system in achieving the certified client goals and the expected results of management system;
- the progress of activities planned for continuous improvement;
- ongoing operational control;
- any changes;
- the use of certification certificates, certification marks and/or any other reference to certification information;



-Investigation and handling of quality accidents, environmental emergencies and OH&S accidents after the last audit;

-Changes in energy laws, regulations and industry requirements, and organizational compliance evaluation;

-Achievement and adjustment of energy management objectives and indicators.

b) Re-certification audit should also include a review of:

-the validity of the entire management system in combination with changes in the internal and external environment, and the continued relevance and appropriateness of the certification scope;

-Proven commitment to maintaining the effectiveness of the management system and improving management system to improve overall performance;

-The effectiveness of the management system in achieving the certified client goals and the expected results of the management system.

3.6.3 Suspension of certification qualification

If any of the following circumstances occurs, the certification certificate will be suspended within 5 days after investigation and verification:

a) management system continuously or seriously fails to meet certification requirements, including requirements for the operational effectiveness of management system;

b) Failing to meet the requirements of laws and regulations applicable to the management and service system, and failing to take effective corrective measures;

c) Failing to undertake or perform the responsibilities and obligations stipulated in the certification contract;

d) Being subject to administrative penalties related to quality, environment, occupational health and safety, energy, etc., and has not yet completed rectification;

e) certified organization is punished by relevant law enforcement and regulatory authorities during the validity period of the certificate;

f) The local certification supervision department finds that there are problems in the operation of the system and the certificate needs to be suspended;

g) The administrative license certificate, qualification certificate, compulsory certification certificate, etc. held have expired, and the resubmitted application has been accepted but has not yet been renewed;

h) Unable to receive surveillance audit at prescribed time intervals;

i) Ordered by the relevant law enforcement regulatory authorities to suspend business for rectification;

j) The corrective measures of major non-conformity discovered during surveillance audit fail to be verified within 3 months;

k) Major public opinions related to quality, environment, occupational health and safety, energy, etc. occur;

l) Take the initiative to request suspension;

m) Major accidents related to energy, quality, environment, occupational health and safety, etc. have occurred in the organization, reflecting major defects in the establishment and operation of the



organization's system;

- n) Refusing to cooperate with the certification, law enforcement and surveillance inspection of the market supervision department, or providing false materials or information;
- o) Failure to correctly quote and publicize the obtained certification certificates and relevant information in accordance with relevant regulations, including the use of certification certificates and certification marks;
- p) The energy performance of the organization does not meet the requirements of the energy consumption limit standard per unit product issued by the national and local governments or is assessed as "uncompleted";
- q) The OEM determines that the enterprise is in a special supply status or the enterprise is complained by its client;
- r) Other certification certificates should be suspended.

3.6.4 Revocation of certification qualification

One of the following circumstances will revoke the certification qualification:

- a) audit failed;
- b) The documents certifying legal status have been cancelled or revoked;
- c) Being included in the list of serious violations and dishonesty by the "National Enterprise Credit Information Publicity System" and "Credit China", or being included in the list of serious violations and dishonesty entities in production safety by the emergency management department;
- d) Major quality and safety accidents such as products and services or environmental emergencies or major safety accidents occur, which are confirmed by the law enforcement and regulatory authorities to be caused by certified organization violations;
- e) There are other serious violations of laws and regulations during the validity period of the certificate, and it is punished by the relevant law enforcement and regulatory authorities;
- f) The period for suspending the certification certificate has expired but the problems leading to the suspension have not been solved or corrected (including the administrative license certificate, qualification certificate, compulsory certification certificate, etc. held that have expired but the application has not been approved);
- g) There is no operating management system or the operating conditions are no longer met;
- h) Failure to correctly quote and publicize the obtained certification information in accordance with relevant regulations, causing serious impact or consequences, or the certification body has required it to correct it but has not corrected it for more than 6 months;
- i) A major energy-related accident has occurred in the organization, which reflects major defects in the establishment and operation of the organization's energy management system;
- j) The energy performance of the organization fails to meet the requirements of the energy consumption limit standard per unit product issued by the national and local governments or is assessed as "uncompleted";



k) Failure to undertake or perform the responsibilities and obligations stipulated in the certification contract;

l) Other certification certificates should be revoked.

3.6.5 Cancellation of certification qualification

Certified organization may apply for cancellation of certification qualification under the following circumstances:

- a. certified organization applies for cancellation of certification certificate;
- b. The validity period of the certification certificate has expired, and no application has been made for extension;
- c. Cancellation of old certificates due to renewal of new certificates;
- d. Other reasons require cancellation of the certification certificate.

3.6.6 Subsequent processing of suspension, revocation/cancellation

3.6.6.1 The suspension period of certification/registration qualification shall not exceed six months.

3.6.6.2 Where it is suspended, the certification body shall issue the Notice of Suspension of Certification Certificate to the certified organization, and the suspended organization shall stop using the certification certificate and publicizing the certification qualification during the suspension period. And should actively take corrective measures according to the requirements of the certification body, so as to resume the use of the certificate as soon as possible.

3.6.6.3 If it is revoked/cancelled, the certification body shall issue the Notice of Revocation of Certification Certificate and the Notice of Cancellation of Certification Certificate to the certified organization. The revoked/cancelled organization shall stop using the certification certificate and publicize the certification qualification from the date of revocation/cancellation. The organization certificate will be deemed invalid, and the company has the right to withdraw the old certificate.

3.6.6.4 The certification agency will publish the certification information about the suspension/revocation/cancellation on the company's public website and report it to the relevant agency.

3.7 Provisions to expand or narrow the scope of certification

3.7.1 Conditions for expanding the scope of certification registration

3.7.1.1 When expanding the scope of products covered by the system (including the increase of product varieties and product certification units of covered products), the products to be expanded into the system must meet the following conditions:

- a) It has met the conditions for normal mass production and supply, and complies with laws, regulations and industry management requirements;
- b) The management of the products to be expanded has been incorporated into the normal control and management of the system; And has been effectively monitored;
- c) It has the ability to guarantee the quality (safety) or environmental and occupational safety performance of products covered by the system.



3.7.1.2 When expanding the operating site of the system, the site to be expanded into the system must meet the following conditions:

- a) It has become a normal part of the organizational structure of the system;
- b) It has been incorporated into the normal control and management of management system.

3.7.2 Conditions for narrowing the scope of certification registration

3.7.2.1 Reduce the scope of products covered by the system for the following situations:

- a) Processes and products explicitly eliminated by the state;
- b) Products whose production is banned or restricted;
- c) Products that have lost the necessary qualifications and are not qualified to continue production;
- d) the certificate holder decides not to maintain certain products within the scope of the certification;
- e) The enterprise has separated the products within the system due to restructuring and other reasons;
- f) Other.

The above first three situations are also the conditions for certification bodies to forcibly narrow the scope of management system certification.

3.7.2.2 Reduce the scope of site coverage of the system for the following situations:

- a) site that have separated from the registered organizational structure of the management system;
- b) site that have been leased or contracted to external operations;
- c) site that has been separated from the production and operation activities of products covered by registered management system rights;
- d) site that certified organization has decided to no longer cover, and whose environmental impacts and hazard sources are relatively independent;
- e) Other.

3.8 Provisions for certification conversion

3.8. 1 CIT recognizes current and valid management system certifications issued by other recognized certification bodies. If it is confirmed that it meets the conversion requirements after conversion review, it can be renewed as a CIT certification certificate. Currently, only QMS and EMS certificates accredited by IAF MLA contracting bodies, or OHSMS certificates accredited by CNAS and IAS, are eligible for conversion. Otherwise, it should be treated as a new client.

3.8. 2 First, the certification client fills in the "Statement on Conversion of Certification Agencies", and CIT submits an application for transfer filing through the "CNCA Certification and Accreditation Business Information Unified Reporting Platform" in accordance with the requirements of CCAA filing procedures. After the CCAA filing is successful, the certification client completely fills in the "Certification Application Form" and provides the required information for applying for certification according to the requirements of the application form. The information required for conversion certification includes:

3.8.2.1 Scanned copy of the management system certification certificate issued by the original certification body;



3.8.2.2 audit plans, audit reports, non-conformance reports issued in previous audit during the certification period, and evidence of correction and corrective action implementation.

3.8.3 The conversion review takes the form of a document review and usually includes an on-site visit to the accredited client. The time of on-site visit is 0.5 ~ 1 person-day. If any of the following circumstances exists, the conversion shall be stopped, or it shall be accepted as the initial new client.

a) QMS and EMS certificates do not bear the joint logo of IAF MLA/accredited body, OHSMS certificates do not bear CNAS and IAS recognition mark;

b) The certificate has exceeded the validity period of the certification and the certification has become invalid;

c) The certificate is within the validity period, but has been revoked or suspended by the certification authority, or the surveillance has not been implemented for more than 12 months after the latest filing approval from audit to CCAA;

d) The certification agency has stopped operating, or the certification qualification has been revoked or suspended by the National Certification and Accreditation Administration (CNCA), or the accreditation qualification has been terminated, suspended or revoked for more than 3 months;

e) Ordered by the law enforcement regulatory authorities to suspend business for rectification or included in the "blacklist";

f) It is certified that client has bad media reports and cannot provide evidence that it has been effectively dealt with;

g) audit reports and non-conformity report issued by previous audit during the certification period cannot be provided.

3.8.4 If after the review, no further non-conformity or potential problems that have not been closed are found, a conclusion can be made that the conversion requirements are met, and the CIT certification certificate can be issued after the normal certification decision. The validity period of the certificate issued after conversion is the same as that of the original certificate. Since then, the surveillance scheme is still based on the previous certification scheme.

4 Instructions for certified organization

4.1 Statement of use of certification certificate and certification mark

The use of certification certificates and certification marks must comply with the "Measures for the Administration of Certification Certificates and Certification Marks" "1. certified organization may use certification certificates and certification marks when the certification certificates are valid, and accept the surveillance management of certification bodies. Certification certificates and certification marks shall not continue to be used after the certification is suspended, revoked or cancelled. 2. certified organization shall correctly use certification marks in advertisements and other relevant publicity, and shall not only mark certification marks on products.

4.1.1 Relevant concept notes

——Certification Certificate

The management system Certification Certificate is issued by a qualified certification body authorized by

an accreditation body to an accredited organization in management system, as the organization Proof documents that management system has been certified and registered.

——International Mutual Recognition Mark and CNAS Joint Mark



中国认可
国际互认
管理体系
MANAGEMENT SYSTEM
CNAS CXXX-M

The international mutual recognition mark refers to the mark of the mutual recognition status of the International Accreditation Forum Multilateral Recognition Agreement (IAF/MLA) group. certified organization may not use this mark except for the certification certificate with the international mutual recognition mark.

The CNAS accreditation mark consists of the CNAS logo, the words and registration number indicating the basic accreditation system. Typically, the text and registration number are placed to the right of the CNAS logo. Song font is used for Chinese characters and Arial font is used for English and numbers. The basic colors of the CNAS approval logo are blue or/and black.

——International Mutually Recognized Marks and IAS Joint Marks



ACCREDITED
Management Systems
Certification Body
MSCB-293

The international mutual recognition mark refers to the mark of the mutual recognition status of the International Accreditation Forum Multilateral Recognition Agreement (IAF/MLA) group. certified organization may not use this mark except for the certification certificate with the international mutual recognition mark.

The IAS accreditation mark consists of the IAS logo, the words and registration number indicating the basic accreditation system. Typically, the text and registration number are placed below the IAS logo. Chinese characters use the Arial font. The basic colors of the IAS Accreditation Identification are green or/and black.

——CIT institutional logo



The CIT agency logo is a graphic identification representing the CIT agency itself, and certified organization may not use this logo except for the certification certificate with the CIT agency logo.

——Certification mark



CIT has a unique certification mark and is protected by law, and other institutions and individuals may not use the CIT certification mark without the written permission of CIT.

The standard drawings of CIT certification mark and CNAS approval mark can be directly taken from the certification certificate, and can be enlarged or reduced in the same proportion when used. The method of use must comply with the following "Certification Certificate and Use of Marks" and the provisions on the specifications and color scales of marks in the rules of the approving party.

In addition to the inquiry on the website of the institution published on the certificate, certified organization can also continue to inquire on the official website of the National Certification and Accreditation surveillance Management Committee (www.cnca.gov.cn).

4.1.2 Use of certification certificates and certification marks

4.1.2.1 Certified client can use certification certificates and certification marks and/or accreditation status statements to publicize their image and management system level, and can also use certification certificates and certification marks and/or accreditation status statements in advertisements, Internet, brochures, conferences, newspapers, magazines, promotional materials, television and other publicity occasions as proof related to the certified client management system certification, but it cannot change the original intention of certification certificates and certification marks and/or accreditation status stated or cause potential misunderstanding;

4.1.2.2 Certified client shall not make or allow misleading statements about certification certificates and certification marks; If it cannot be used to explain the attributes of its products, people should not mistakenly think that CIT has certified specific products or services of certified client rights;

4.1.2.3 CIT's certification mark shall not be used for misleading publicity in areas unrelated to the products or services covered by the certification certificate;

4.1.2.4 management system certification certificates and certification marks are not allowed to be transferred, sold, borrowed or fraudulently used in any way.

4.1.2.5 Use of management system certification marks

Category		On the product (or packaging of the product as seen by the consumer)	On a large box or the like for transporting products	Wait on an advertising brochure
Certification mark	Without declaration	Not allowed	Not allowed	allow



Using	With declaration	Not allowed	allow	allow
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4.1.2.6 When using the CIT certification mark, the certificate registration number and the authorized certification scope should be indicated at the same time. Protect against incorrect use (including false claims about certification and misuse of marks) that could result in suspension or revocation of certification;

4.1.2.7 Whether declared or not, the certification mark is not allowed to be used on the product;

4.1.2.8 certified organization can only mark the certification mark on the product packaging or accompanying information if it has passed the certification and the name of the certification body. The criterion for judging the product packaging is that it can be removed from the product and will not cause the product to decompose, chip or damage. Incidental information is judged by its separate availability or ease of separation. The model number label or nameplate is considered part of the product. Statements should in no way imply that a product, process or service is certified in this manner. The declaration shall contain references to the identification of the certified client (e.g., brand or name), the type of management system (e.g., quality, environment) and the applicable standards and certifying authority CIT. The statement can be: "(This product) is manufactured in a factory whose quality management system has passed GB/T19001 (ISO9001) certification (the issuing authority is Zhongcheng Times Certification Center Co., Ltd.)";

4.1.2.9 The certification mark can be used on advertising brochures;

4.1.2.10 When using accreditation qualifications, it shall not damage the reputation of CIT and/or the accreditation system;

4.1.2.11 When the management system rights of the certified client change significantly or the scope of certification changes, it should promptly apply to the marketing department of CIT for change, and it is not allowed to continue to use the obtained certification certificate and modify all promotional materials;

4.1.2.12 For whatever reason, as long as the certified client stops paying the relevant certification fees or the certification certificate is revoked, it shall stop the use of the certification certificate and logo;

4.1.2.13 The certified organization shall not use the accreditation mark on reports or certificates of laboratory tests, calibrations or inspections.

4.1.3 Use of CNAS\ IAS approval marks

4.1.3.1 When the company's management system rights are recognized by CNAS and IAS, the certified client rights can use the recognition logo according to the following requirements after being authorized by CIT: and CIT will surveillance its usage;

4.1.3.2 In addition to the above requirements, the requirements of "4.1. 2" of this document shall also be met.

4.1.4 When the company obtains CNAS\ IAS accreditation, the certified organization is not allowed to use the CNAS\ IAS accreditation logo on the product or product packaging;

4.1.5 The use of CNAS\ IAS accreditation mark or the declaration of accreditation status should not lead



relevant parties to mistakenly believe that CNAS\ IAS has approved specific management system rights, products, processes, services or personnel that have been certified.

4.1.6 Use of IAF-MLA/CNAS/IAS joint logo (this clause applies after approval)

4.1.6.1 CIT is used in a non-compact manner;

4.1.6.2 CIT is only used in the certification certificates issued by management system certification and service certification within the business scope of this institution;

4.1.6.3 Any Certified client shall not use the IAF-MLA/CNAS joint logo or the IAF-MLA international mutual recognition mark.

4.1.6.4 When a Certified client requires its "Certified Plaque" to use the joint IAF-MLA/CNAS logo, in addition to this requirement, CIT shall submit its pattern to CNAS\ IAS for record before issuing the "Certified Plaque".

4.1.6.5 International mutual recognition joint recognition marks can be used for reports, certificates, public publications, documents, office supplies, promotional materials, web publicity, etc., and can be used in printed and electronic graphics.

4.1.6.6 When using the International Mutual Recognition Joint Recognition Mark, ILAC and CNAS\ IAS shall not be mentioned or implied to be responsible for their activities.

4.1.6.7 The IAF-MLA/CNAS logo shall be on the same page as the name and/or logo of the accredited certification body. If the company is accredited by multiple accreditation agencies including CNAS\ IAS, within the same accreditation scope, the company decides to issue a stated management system certification certificate with one or more of the accreditation marks and/or accreditation status. The company shall identify the differences in certification standards. For different certification standards, the company shall not use CNAS\ IAS accreditation marks and/or accreditation status statements on the same management system certification certificate as the accreditation marks and/or accreditation status statements of other accreditation institutions.

4.1.7 Suspension, revocation, cancellation and subsequent management of certification certificates and certification marks.

4.1.7.1 After the certification qualification of the certified unit is suspended, revoked or cancelled, the use of certificates and logos in promotional materials and webpages shall be stopped immediately.

4.1.7.2 Anyone who fraudulently uses or forges CIT certification certificates and marks will be investigated by CIT for legal responsibility once verified.

4.1.8 After the certificate is revoked/cancelled, the original certificate number will be abolished.

4.1.9 Renewal Certificate

4.1.9.1 When the certificate is renewed within the validity period, the registration number, year number, serial number of the certification body and the validity period of the certification in the certification certificate number remain unchanged, and the date of renewal shall be indicated.

4.1.9.2 Due to the renewal of the certificate, the registration number, year number, serial number of the



certification body and the validity period of the certification in the certification certificate number remain unchanged, and the renewal date shall be indicated.

4.1.9.3 After re-certification, the certificate will be renewed, and the suffix needs to be changed. For example, the initial certification is "R0", the first re-certification is "R1", the second is "R2", and so on.

4.1.10 After CIT or relevant departments receive information that client has misused the certification certificate or certification (accreditation) logo, the administrative department shall respond immediately and record the situation. When necessary, assign or entrust relevant personnel to conduct investigation and verification, collect necessary evidence, and put forward corresponding treatment measures. Investigation processing is generally required to be completed within two weeks. The certified client shall be notified of the appropriate treatment measures (which may include suspension and revocation), which shall be appropriate to the circumstances of the wrongful use of the certificate and may include instructing the organization to take corrective measures and requiring it to correct them within a time limit. If the circumstances are serious, it should be revoked and published. If necessary, it can be solved by legal means.

4.2 Information notification management requirements

4.2.1 When the following situations occur in management system, certified organization, it shall promptly notify the Company in writing within one week.

4.2.1.1 Change the legal representative and/or principal responsible person;

4.2.1.2 certified organization's governance structure has undergone major adjustments (including important personnel, equipment, facilities or other important resources) and the closure of important site;

4.2.1.3 The scope of products/services and activities covered by management system or the address of the system covering site changes;

4.2.1.4 The management system document has been significantly revised;

4.2.1.5 surveillance spot checks by national, industrial and higher authorities, and unqualified situations are found in surveillance spot checks;

4.2.1.6 Major complaints from customers and related parties, or major quality accidents, environmental emergencies and major safety accidents have occurred;

4.2.1.7 The name, number of organizations, communication methods, telephone numbers, etc. of the certified organization have changed;

4.2.1.8 Changes in applicable laws and regulations, etc.

4.2.2 When the Company's trust in whether certified organization's management system continues to be effective is reduced due to the above changes in certified organization, the Company will take different follow-up treatments for certified organization depending on the seriousness of the case:

4.2.2.1 Require certified organization to provide written information explaining the impact on the validity of management system certification and the internal management/processing measures taken;

4.2.2.2 Negotiate with certified organization to increase the frequency of surveillance audit or shorten the



interval between surveillance audit;

4.2.2.3 Special audit with short notice in advance;

4.2.2.4 Suspend the accreditation qualification of certified organization;

4.2.2.5 Revoke the certification qualification of certified organization.

4.2.3 The Company will also inform certified organization of the following changes in time by publishing announcements on the Company's website and sending emails to certified organization:

4.2.3.1 Changes in relevant national certification policies and regulations;

4.2.3.2 Changes in national management system certification standards and relevant changed certification requirements;

4.2.3.3 Information that certified organization does not meet the requirements of laws and regulations, and specific measures to be taken by the certification body;

4.2.3.4 Changes in the mailing address, telephone number, etc. of the certification body;

4.2.3.5 Changes in other related matters.

4.3 Requirements for surveillance audit, witness review and special audit

Surveillance audit is that the company verifies whether certified organization's management system continues to operate, considers whether changes in certified organization's operation have adversely affected its system, and evaluates whether its system meets the certification requirements. Witness review is the on-site verification of the certification audit ability and professional ability of the certification body by Chinese CNAS, American IAS and other accreditation institutions (hereinafter referred to as accreditation institutions), and it is an indispensable part of the accreditation review work. Special audit includes expanded certification scope, investigation of complaints, response to changes, and tracking audit on suspension of client.

4.3.1 surveillance audit

Our company will conduct an uneven distribution of regular surveillance audit in certified organization once a year during the validity period of the certificate, and surveillance audit should conduct it at least once every calendar year (except the year that should be re-certified). The first surveillance audit following the initial certification shall be conducted within 12 months from the date of issuance of the certificate and the second surveillance audit shall be conducted within 24 months from the date of issuance of the certification certificate. The interval between two surveillance audit should not exceed 12 months.

4.3.2 Implementation of surveillance audit

Surveillance audit is organized and implemented by our company, and the specific surveillance audit activities will be arranged by our company according to the annual plan and carried out by sending an audit team to conduct on-site audit. The regular on-site audit plan in surveillance audit is notified by the audit team leader one week before the implementation in audit, so that certified organization can make arrangements. The non-scheduled surveillance audit plan can be submitted to the certified organization after the audit team arrives at the site, or it can be predicted in advance. There is no audit charge for non-



term surveillance audit.

4.3.3 Witness review

According to ISO/IEC Guideline 61 and its IAF guidance documents and the provisions of accreditation bodies, organizations that intend to obtain or have obtained accreditation certificates with accreditation marks are obliged to accept selective witness review by accreditation bodies. The expenses and review fees of witness reviewers shall be borne by our company. For organizations that refuse to witness the review arrangement, our company will revoke or not grant the certification certificate with the approval mark.

4.3.4 Special audit

4.3.4.1 Expanding the scope of certification

When certified organization requests to expand the scope of certification, it should submit a written application to our operation department, fill in the certification information application change form, sign a supplementary certification/agreement, and submit the information and materials required to expand the scope of certification;

——Instructions for products requiring expanded certification scope;

——Revise management manuals, procedure documents, internal audit and management evaluation system documents.

After our company conducts application review, we will decide to conduct document audit or on-site audit according to the impact of the expanded scope on the quality system (it can be conducted simultaneously in combination with surveillance audit), and after the certification decision maker makes a certification decision, the technical committee will approve and issue a new certification certificate.

4.3.4.2 audit with short notice

For the investigation of complaints, quality accidents, environmental emergencies, safety accidents, changes in certified enterprise information, and suspension tracking, our company may adopt the audit of short notification in advance.

4.4 Changes

4.4.1 When management system standards (such as version change) or other certification requirements are changed, certified organization shall complete the necessary adjustments within the specified transition period according to the determined change method, and accept our on-site audit confirmation. After the transition period, the certification certificate of organizations that have not been confirmed by our company's on-site audit will be revoked and announced.

4.4.2 Change of name or address of certified enterprise

When the name or address of the certified organization is changed, an application for renewal must be submitted in writing to the operation department of our company, and a copy of the industrial and commercial business license and other supporting materials must be attached. When it is confirmed by analysis that there is no great impact on the operation of the system, a new certification certificate can be issued, and the company has the right to withdraw the old certificate. When the address of the organization



changes or the system changes significantly, the certificate can only be renewed after on-site confirmation. On-site confirmation is generally carried out in combination with surveillance audit, and a new certificate can only be issued after passing the verification.

5 Provisions on handling appeals and complaints

5.1 Principles of application/complaint handling

5.1.1 Zhongcheng Times Certification Center Co., Ltd. shall handle appeals and complaints on the basis of facts, and take relevant national laws and regulations, accreditation norms and the Certification Contract as the guidelines.

5.1.2 The submission, investigation and decision of the complaint/complaint shall not result in any discrimination against the complainant/complainant.

5.1.3 All staff involved in the handling of appeals/complaints shall be those who have not implemented the audit involved in the appeal and have not made the certification decision involved in the appeal.

5.1.4 All staff involved in the handling of complaints/complaints should be objective and impartial.

5.1.5 The complaint/complaint handling staff is responsible for the confidentiality of any non-public information obtained by them related to the complaint/complaint.

5.1.6 The Company is responsible for all decisions at all levels of the grievance/complaint handling process.

5.1.7 The Company's complaint/complaint acceptance telephone number: 0519-81819001, email: 71719001@qq.com

5.2 Grievance handling procedures

Definition of grievance: The certification applicant or client submits a written request for reconsideration of an adverse decision made by CIT related to its desired certification status (adverse decisions include: refusal to accept the application, refusal to continue the audit request, request to take corrective action, change the certification business scope).

5.2.1 Scope of complaint acceptance

- a. Involving CIT's acceptance and evaluation of certification applicants or client applications;
- b. Involves any certification audit conclusions made by CIT;
- c. Involving CIT's decisions on granting, refusing, maintaining, renewing, suspending, restoring or revoking/canceling certification or expanding or narrowing the scope of certification of client;
- d. Involving other parties' complaints about certification or other matters.

5.2.2 Filing of a complaint

The complainant party shall submit a written complaint to CIT within 30 working days after receiving the notification of CIT's certification decision or complaint handling result. A written complaint shall be signed or sealed by the complainant. Provide details and supporting information of the complained event. A valid complaint should meet the following conditions at the same time:

- a) The complainant should be a direct party to the matter of the complaint;



b) The time interval between the filing of the complaint and the receipt of the relevant decision or processing measure shall not exceed 30 working days.

5.2.3 Acceptance and handling of complaints

5.2.3.1 The Marketing Department accepts the complainant's complaint and conducts preliminary examination, and feeds back the acceptance to the complainant.

5.2.3.2 According to the content of the complaint, the Marketing Department convenes relevant personnel who are familiar with relevant national laws, regulations and recognition requirements and have no interest in the complainant to form a working group, organizes the working group to carry out the investigation and evidence collection of the complaint by telephone interview, visit, on-site investigation or meeting, and collects and verifies all necessary information to determine the validity of the complaint.

5.2.3.3 The Marketing Department shall make a ruling opinion based on the investigation results of the complaint incident.

5.2.3.4 The ruling on the handling opinions of major events shall be reported to the general manager for approval. If necessary, report it to the Corporate Legal Person and Impartiality Committee for final ruling.

5.2.4 Adjudication and enforcement of appeals

5.2.4.1 The Marketing Department is responsible for notifying the complainant of the final decision in writing.

5.2.4.2 For the response to a complaint, it is generally required that the CIT Marketing Department put forward handling opinions or corrective measures within 30 working days after the investigation of the complaint incident, and notify the complainant or relevant parties in writing.

5.3 Complaint handling procedures

Any organization or individual formally expresses dissatisfaction with CIT's certification policy, operation process and certification results and the performance of certification personnel, and with the use of certification certificates and certification/accreditation marks of the certified organization, should generally be a signed written statement or verifiable oral statement.

5.3.1 Scope of complaint acceptance

Any organization or individual expresses to the certification body, which is different from the complaint and wishes to receive an answer, including oral or written expressions of dissatisfaction with the activities and behavior of the certification body or the certified organization of the certification body. Includes:

- a. The legality, fairness and non-discrimination of related activities involving the company's certification of audit rights;
- b. Involving violations of discipline and regulations by company staff;
- c. Involving the behavior of the company's staff that harms the legitimate rights and interests of auditee/client;
- d. Social information related to client rights (including: media announcements, surveillance inspection



results of industry authorities, etc.);

- e. Complaints involving other parties regarding certification or other matters.

5.3.2 Filing and acceptance of complaints

5.3.2.1 The complainant may submit written letters, incoming responses or other means. If a complaint is made in response to written letters and the way reflected by the visitor, the complainant shall provide the details of the complained facts, supporting materials and signatures. Generally, anonymous complaints are not accepted.

5.3.2.2 After receiving the complaint application or related information of client, the marketing department shall contact the complainant by telephone, letter or email to confirm the receipt of the complaint, and shall immediately confirm whether the complaint is related to the certification activities that the company is responsible for, make a decision on whether to accept it or not, and form the client Complaint Record.

5.3.3 Handling of complaints

5.3.3.1 The marketing department shall make a preliminary understanding of the clues and complaint events provided by the complainant/complainant party through telephone, letter, e-mail and the technical department's assistance in accessing audit materials and files, and collect and verify all information required to confirm the complaint to form a written report.

5.3.3.2 The Marketing Department shall organize relevant departments to conduct further investigation and verification according to the content, nature and preliminary materials of the complaint. For "important complaints", the preliminary investigation should be reported to the company's management and relevant personnel in a timely manner. For "general complaint incidents", it can be reported to the relevant departments and leaders of the company after all investigations are completed.

5.3.3.3 The certification body will handle complaints related to certified organization rights lodged with the certification body as follows:

- a) According to the content and nature of the complaint information, require certified organization to make an explanation or handle it, and submit a written report and relevant evidence to the certification company;
- b) When necessary, the certification body shall assign an audit team to conduct on-site investigation or verification of the complaint;
- c) If the complaint affects the certification qualification of certified organization, the certification body shall make a decision based on the investigation results in accordance with the Regulations on the Administration of Granting, Refusing, Maintaining Certification, Expanding or Narrowing the Scope of Certification, Renewing, Suspending, Restoring or Revocating, and Cancelling Certification. Decision to suspend, revoke/cancel certification qualifications;
- d) When the result of complaint handling leads to an adverse decision related to its expected certification status, certified organization has the right to lodge a complaint within 30 working days after receiving the complaint handling decision or certification decision.

5.3.4 Feedback on Complaint Decision



5.3.4.1 The Marketing Department is responsible for communicating the final decision to the complainant in writing. And agree with the complainant and the certified client whether the complaint should be made public, and decide the way and extent of the disclosure.

5.3.4.2 The complaint shall be handled within 20 days after acceptance, and the complainant/complainant or relevant party shall be notified in writing. If an extension is required, it shall be approved by the manager's representative.

5.3.4.3 If the complainant believes that the certification body has failed to comply with relevant laws, regulations or certification rules and caused serious infringement of its legitimate rights and interests, he may directly complain to the local certification supervision department or CNCA, or to the relevant accreditation body.

5.4 Fees for application/complaint investigation

Regarding the expenses incurred in the handling of grievances/complaints, for general issues, both parties will negotiate and resolve them. The expenses for handling the complaint shall be confirmed by the General Manager of CIT, and the reasonable expenses related to the complaint shall be borne by the responsible party (person). If the responsible party (person) refuses to accept it, it can appeal to legal channels to solve it.

For the responsibilities arising from the operation and certification activities, CIT has established a risk reserve management system (certification risk fund) to reduce the risks of application and client rights and protect the owners' rights and interests. The risk fund uses the general manager's personal identity to open a card and deposit 100,000 yuan as a special fund, which is earmarked for exclusive use.