## **Provisions of the company on the conditions for granting、refusing、maintaining、expanding、updating、shrinking、suspending/resuming and revoking certification**

**1. Conditions for granting certification registration:**

* 1. The applicant organization has obtained the legal person qualification registered by the State Administration for Industry and Commerce or relevant institutions or its components. When applicable. obtain the administrative license documents stipulated by relevant laws and regulations; and
  2. The products or services covered by the certification scope meet the requirements of relevant laws and regulations and other regulations (including the results of supervision and spot check of products/services/business scope and complaints and their handling). If they do not meet the specified requirements. it is confirmed that effective measures have been taken; and
  3. The applicant organization has established a documented system that meets the requirements of certification standards and other cited documents. and the audit and other information prove that the system is effective; and
  4. The application organization has conducted a complete internal audit and management review within 12 months. and it has been proved that this practice can be effectively implemented and maintained; and
  5. The general nonconformities/serious nonconformities put forward by the on-site audit have completed the corrective measures within the specified time limit. and have been verified in writing/on-site; and
  6. The applicant organization has fulfilled relevant obligations in accordance with the provisions of the certification contract.

Note: Anyone who applies for the certification of GB/T19001/ISO9001 standard can only recommend the certification to the company after the details of deletion/inapplicability are clarified and the rationality of deletion/inapplicability is confirmed.

**2. Conditions for maintaining the use of authentication certificates:**

* 1. Accept the supervision and audit on time. and no serious nonconformities are found in the supervision and audit. or individual serious nonconformities have been corrected within the specified time and verified to be effective. At the same time. corrective measures have been taken for the nonconformities found in the last audit and verified to be effective. Certified products continue to meet the requirements of the corresponding certification implementation rules; and
  2. The products/services/business scope covered by the certification certificate are not unqualified in national/provincial supervision and spot checks. and there is no nonconformity in the implementation of national or local laws. regulations and standards; and
  3. Maintain and evaluate the compliance with the requirements of laws and regulations. and take corrective measures when it does not meet the requirements of relevant laws and regulations to ensure the effectiveness of the system in this regard; and
  4. Three months before the expiration of the certification certificate. the holder of the certification certificate filed an application for re-certification. and it was verified to meet the granting conditions before the expiration of the certification certificate; and
  5. The name of the organization of the certificate holder changes. but its management system. ownership. personnel. equipment and other resources have not changed; and
  6. Meet the requirements of Article 1; and
  7. Only publicize the approved certification scope.

Note: ① The term "on time" in 2.1 refers to the supervision conducted according to the specified annual supervision interval. that is. the interval between the first supervision and t he last meeting of the preliminary examination shall not exceed 12 months; The second and subsequent monitoring time interval shall not exceed 12 months at the longest.

② When the organization does not meet the requirements in Article 2.2. the company will arrange irregular supervision and audit.

**3. Conditions for expanding the scope of certification and registration**

* 1. The category of products/services/business scope covered by the certification certificate of the certified organization has increased. and the audit team of the company will conduct on-site audit and confirm after application. and the added products/services/business scope meets the certification granting conditions; or
  2. If the certified organization holds the GB/T19001/ISO9001 certification certificate. the original deleted content will be added. After application. the audit team will conduct on-site audit and confirm that it has the corresponding guarantee ability and meets the certification granting conditions; or
  3. The number of places/facilities covered by the certified organization's certification certificate has increased. and it is verified by the central audit team on the spot after application. which meets the certification granting conditions; or

**4. update (change) certification conditions**

* 1. If the product/service/business scope covered by the certification certificate of the certified organization changes. the central audit team will conduct on-site audit and confirm after application. and the changed product/service/business scope meets the certification granting conditions; or
  2. If the organization name covered by the certification certificate of the certified organization changes. the central audit team will conduct on-site audit and confirmation after application. and the changed organization name meets the certification granting conditions; or
  3. If the premises/facilities covered by the certification certificate of the certified organization are changed. the central audit team will conduct on-site audit and confirmation after application. and the changed premises/facilities meet the certification granting conditions; or
  4. When the certification requirements change. the management system of the certified organization is audited and confirmed by the audit team of the company on the spot. and the management system of the certified organization meets the certification granting conditions; or
  5. After re-certification. the certified organization management system meets the certification granting conditions.

**5. Conditions for narrowing the scope of certification**

* 1. The production/service/business scope/products covered by the certification certificate of the certified organization are reduced or reduced for some reason; or
  2. The places/facilities covered by the certification certificate of the certified organization are reduced; or
  3. For the products/services/business scope covered by the certification certificate of the certified organization. it is found that some products/services/business scope controls are seriously unqualified during the supervision and audit. and cannot be corrected within the prescribed time limit; or
  4. During the supervision and audit. it was found that the control of system activities was seriously unqualified and could not be corrected within the prescribed time limit.

**6. In any of the following circumstances. the certification certificate of the certified organization will be suspended:**

* 1. The certified organization violates the requirements of the company and cannot undertake or perform the responsibilities and obligations stipulated in the certification contract:

1. Can't accept supervision activities (including supervision and audit. follow-up investigation) according to the prescribed time interval;
2. During the supervision and audit. it is found that serious nonconformities have not been effectively corrected. or the general nonconformities found cannot be corrected within the prescribed time limit;
3. In advertisements and related publicity materials. it is found that the certification is incorrectly publicized or the certification certificate and logo (plate) are misdirected. but it has not caused serious impact;
4. Unable to inform the information as required;
5. Failing to pay the certification-related fees on time;
6. Can not undertake or perform other responsibilities and obligations stipulated in the certification contract.
   1. After investigation by the company. it is confirmed that the following happened to the certified organization:
7. The quality of products or services covered by the quality management system certification certificate is unqualified in the national/local product quality supervision and spot check;
8. Excessive discharge of pollutants occurs in the product production/service activity area covered by the environmental management system certification certificate. which is under rectification and has not yet met the relevant requirements of the environmental protection department;
9. Occupational diseases/more minor injuries are found during the product/service management activities covered by the occupational health and safety management system certification certificate;
10. Major complaints related to the scope of certification (including official media exposure or notification from relevant parties) occur in the certified organization;
    1. The administrative license certificate. qualification certificate. compulsory certification certificate. etc. have expired. and the application for re-submission has been accepted but has not been renewed;
    2. The supervision results prove that the quality management system/environmental management system/occupational health and safety management system of the certified organization continuously or seriously fails to meet the certification requirements. including the requirements for the effectiveness of the management system;
    3. Significant changes in the resources (ownership. personnel. equipment. etc.) of the certified organization affect the effectiveness of its local system operation;
    4. Both the certified organization and the company agree to suspend the certification qualification.

**7. Conditions for restoring the use of certification certificates**

When the suspended certified organization takes corrective measures within the required time. it is confirmed to be in compliance with the relevant regulations of the company. and the certification certificate will be resumed after being approved by the company leader.

**8. In any of the following circumstances. the certification certificate of the certified organization will be revoked:**

* 1. After the certificate is suspended. it fails to provide corrective measures to the company within the prescribed time limit. or provides corrective measures that the company confirms as invalid;
  2. The organization fails to maintain and evaluate the compliance with the requirements of laws and regulations. and has violated relevant laws and regulations;
  3. In any of the following cases. which are confirmed by the national competent authorities. exposed by the media and other channels. or verified by the investigation of the company. the corresponding certification certificate will be revoked as appropriate:

1. The quality of products/services covered by the quality management system certification certificate is seriously unqualified by the national/provincial product quality supervision or major customer complaints. and the failure to take effective corrective measures in time has a serious impact;
2. In the product production/service activity area covered by the environmental management system certification certificate. pollutants are seriously discharged beyond the standard or other serious violations of laws and regulations occur;
3. Serious occupational diseases/serious personal safety accidents are found in the process of product production/service activities covered by the occupational health and safety management system certification certificate;
4. Failing to correctly quote and publicize the obtained certification information according to relevant regulations. resulting in serious impact or consequences. or the company has asked it to correct it but it has not been corrected for more than 6 months;
5. In the whole certification process. the certification documents provided by the organization are fraudulent. which affects the effectiveness of certification.
   1. Certificates of the cancellation or revocation of the legal status of the certified organization;
   2. The certified organization refuses to cooperate with the supervision and inspection carried out by the certification supervision department. or provides false materials or information for the inquiry and investigation of related matters;
   3. There is no operation management system or no operating conditions;
   4. The certified organization is unable to take effective measures to deal with major complaints (including official media exposure or notification from relevant parties).
   5. The certified organization actively applies for giving up the certification certificate within the validity period of the certification certificate. The management system certification certificate issued by the company is used to prove that the management system of the certified organization meets the standards set by the certificate. and it has been certified and registered within the determined product scope. regional scope. activity scope and business scope.

**9. Refuse to be certified and registered**

If the audit team that does not meet the certification requirements makes a conclusion that it will not pass the certification. fails to rectify the non-compliance within the prescribed time limit. and finds serious non-compliance with the certification requirements through file evaluation. and the certification decision conclusion is that it will not be issued. the certification decision maker shall report the documents to the technical committee for verification and make a written final opinion. and the general manager or authorized person shall be responsible for the approval of the certification decision. And notify the applicant as required.

10. The organization that receives the suspension or revocation of the certification certificate shall immediately stop the advertising and related publicity activities involving the certification content. If the illegal publicity has serious consequences. the company will take necessary legal measures.

11. If the certified organization encounters situations that do not comply with legal and regulatory requirements. it should report to the company within 2 working days. The appeal investigation team of the company shall initiate the investigation procedure within 2 working days and file an investigation in accordance with the requirements of the company's "Appeal/Complaint and Dispute Handling Procedure". The certified organization shall cooperate with the company's investigation work and assist the company in contacting local quality/environment/safety production/industry and commerce/quality inspection management departments to understand the relevant situation. The company will determine whether to immediately conduct non routine supervision audits or review relevant issues during subsequent routine supervision based on the understanding of the situation. The company makes a decision on whether to suspend/revoke the certification registration of the certified organization based on the results of the investigation. non routine supervision and audit. or subsequent supervision and audit. and implements it.