## **Guide to certification application**

1.The purpose of this guide is to help all organizations preparing to apply for the certification and registration of the management system of our company.

**2.Definition of terms Related institutions:** refers to groups that have administrative relations. asset relations. economic contract relations or other interest relations with certification bodies Weave.

**3.Application steps**

* 1. When applying. you can obtain the public documents of the certification application from the company and read the contents carefully so as to understand the relevant matters of the application. The company provides the following public documents and related forms to all applicant organizations:

1. Brief introduction of Shandong Chuangan Testing & Certification Group Co.. Ltd. (CATC). including the scope of certification business and the qualification approval and recognition;
2. Names. business scope and addresses of branches and offices of the company;
3. A copy of the business license of the company and the approval letter of the National Certification and Accreditation Administration (CNCA);
4. Certificate style of the company;
5. Guide to certification application;
6. Rights and obligations of the organization and the auditor;
7. Certification fee standard;
8. Provisions on procedures for handling complaints. complaints and disputes;
9. Provisions of the company on the conditions for approval. maintenance. expansion or reduction. suspension/restoration and revocation of certification;
10. Provisions on the use of certification marks and the management of certification certificates;
11. Requirements for application for renewal of certification certificate;
12. An open letter on the rules of honesty and self-discipline of auditors;
13. Provisions on the announcement of the directory of certified organizations;
14. Relevant publicity materials;
15. Application Form for Management System Certification.
    1. Fill in the Application Form for Management System Certification. and provide the information required for certification as required (see the application form for details).
    2. The company will review and confirm the application for Management System Certification and related information. and decide whether to accept the application. If accepted. the Management System Certification Contract shall be signed with the applicant organization.

4 **Precautions**

* 1. The certification service of this company is open to all applicants without any restrictions or discrimination.
  2. In order to ensure the fairness of the certification. the top management of the company promises to implement the certification in strict accordance with the requirements of the accreditation standards. so as to avoid affecting the fairness due to various commercial interests. The company does not accept certification applications from organizations consulted by relevant institutions within 2 years.
  3. See the copy of the accreditation certificate issued by CNAS for the accreditation scope of the company.
  4. The applicant organization that has accepted the application and signed the certification contract or certification agreement shall submit a set of management system documents (documents required in the annex of this document) at least 30 days before the on-site audit is planned. and ensure that the corresponding internal audit and management review have been carried out. and the established documented management system has been running for not less than three months. and the special industry (such as construction) has been running for not less than six months.

Organizations applying for preliminary examination according to GB/T19001/ISO 9001 should attach explanatory documents on deletion and outsourcing.

* 1. The activities of the organization applying for certification should continuously meet the requirements of laws and regulations. In the whole process of certification. if the company finds that the activities of the certification organization are inconsistent or potential inconsistent with the requirements of relevant laws and regulations. it will promptly notify the certification organization (orally or in writing) of all the nonconformities found. and take measures such as refusing to accept the certification application. postponing/refusing the certification registration. suspending the use of the certification certificate. increasing irregular supervision and review or re-certification. and revoking the certification certificate as appropriate.
  2. The organization applying for certification shall ensure that the application materials submitted are consistent with the facts. If the company finds that the application materials are fraudulent. concealed or fraudulent in the whole process of certification. it will take measures such as refusing to accept the application for certification. refusing to register for certification. suspending the use of the certification certificate and revoking the certification certificate as appropriate.

1. **Confidentiality commitment**

The company and its personnel have the responsibility to keep confidential all the information about the organization that the company has come into contact with in the process of accepting the application of the organization and on-site audit. and shall not disclose it to a third party without the written permission of the organization.

1. Attachment: Documents to be Submitted Before On-site Audit of the Organization Applying for Certification.

Attachment:

## **Documents to be submitted before the on-site audit of the organization applying for certification**

I. The organization applying for certification shall submit the following documents before the on-site audit of initial certification/recertification. and if the documents change before the supervision and audit. the documents of the changed parts shall be submitted:

1. the certification application. including the description of the organization's production and operation or service nature;

2. Copies of legal status documents (such as business license of enterprise legal person. code certificate of institution legal person. legal person registration certificate of association. registration certificate of non-enterprise legal person. establishment documents of party and government organs. organization code certificate. etc.); If the management system covers activities in multiple places. a copy of the legal status certificate of each place should be attached (if applicable);

3. Effective qualification certificate. compulsory license for products/services. compulsory product certification. hygiene license. etc.;

4. Brief introduction of the organization (including the organization's activities. human and technical resources. and its functions and relationships in a larger entity when applicable);

5. building construction. survey. design. supervision. etc. Provide the name. address and progress of the project being implemented (construction).

Ⅱ. in addition to the above. according to the different types of organizations applying for certification. the following corresponding documents need to be submitted:

(Ⅰ) Application for quality management system (QMS) certification:

1. Documents describing the quality policy and quality objectives of the organization;

2. Quality manual;

3. All program documents specified in GB/T 19001 standard. including (not limited to): document control procedures. record control procedures. nonconforming product control procedures. internal audit procedures. corrective measures procedures and preventive measures procedures;

4. Multi-site activities and subcontracting. including the activity management process and division of responsibilities that affect compliance;

5. List of quality standards of products or services covered by the quality management system.

(Ⅱ) to apply for environmental management system (EMS) certification

1. a document describing the organization's environmental policy. objectives. indicators and management plan;

2. List of important environmental factors and applicable laws and regulations;

3. organization chart and responsibilities and authority;

4. All program files specified in GB/T24001 standard (not limited to);

5. the factory floor plan (including pipe network diagram and pollutant discharge distribution map). sewage permit. etc. (when necessary);

6. For new reconstruction and expansion projects after 1998. it is necessary to provide EIA report. EIA report approval. EIA acceptance report and major pollutant discharge monitoring reports and other supporting documents.

(Ⅲ) Apply for OHSMS certification.

1. describe the organization's occupational health and safety policy. objectives. indicators and management plan documents;

2. List of important hazard sources (risks) and applicable laws and regulations;

3. organization chart and responsibilities and authority;

4. All program files specified in GB/T45001 standard (not limited to);

5. safety and health facilities acceptance report. safety compliance certificate.