



Zhongrui Certification ( Zhejiang ) Co., Ltd.

## Public documents

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## Notes for applicant organizations

### 1. Company Profile

1.1 Zhongrui Certification (Zhejiang) Co., Ltd. ( abbreviated as ZRRZ is a third-party management system certification body approved by the Certification and Accreditation Administration of the People's Republic of China (CNCA) ( Approval number : CNCA - R - 2020-600 ) . With the mission of providing high-quality and efficient certification services, ZRRZ is committed to continuous innovation and sustainable development in the field of various system certifications, and serves various industries with excellent management practices .

1.2 ZRRZ Management fully understands and recognizes the importance of impartiality in the implementation of management system certification, identifies and analyzes threats that may affect impartiality, and develops appropriate control measures. The company is capable of managing and eliminating these threats to ensure the impartiality of management system certification activities .

1.3 ZRRZ Establish an impartiality oversight body, such as an Impartiality Committee, to ensure the impartiality of the company's operations and certification processes. Maintain impartiality. The management committee is composed of representatives from five parties: certified clients, customers of certified clients, industry association representatives, government representatives, and company managers. The interests are balanced and no one party is in a dominant position.

1.4 ZRRZ Strictly adhere to the "Regulations of the People's Republic of China on Certification and Accreditation" and CNAS. We will establish and maintain a documented quality system in accordance with all accreditation standards to ensure the impartiality and effectiveness of management system certification.

1.5 ZRRZ Adhering to the quality policy of "providing objective, fair, and professional certification services to clients through scientific and efficient management and continuously expanding business areas," we offer equal access to all certification applicants. We do not attach any economic or other conditions to certification applications from applicants . Our application processing is not limited by the size of the client, the qualifications of their association or group membership, or the number of already certified organizations.

1.6 ZRRZ In strict accordance with relevant national certification laws, regulations, and CNAS standards Conduct management system certification within the scope of accredited business operations. They are responsible for decisions made regarding the granting, rejection, maintenance, expansion or reduction of certification scope, renewal, suspension or reinstatement, or revocation of certification .



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1.7 ZRRZ will not engage in any activities that could compromise impartiality, nor will we directly or indirectly provide consulting services to applicants for the granting or maintenance of certification / registration.

1.8 ZRRZ insist on not taking profit as the sole purpose, and implement paid services, independent accounting, and corporate management. Based on risk analysis, we have established a certification risk fund management system to deal with possible joint liabilities caused by certification audit activities.

## 2. Services provided by ZRRZ

2.1 Accept certification applications for management systems from all applicants within the approved scope.

2.2 This organization operates in accordance with GB/T19001/ISO9001 Quality Management System Standards, GB/T24001/ISO14001 Environmental Management System Standards, GB/T45001/ISO 45001 The Occupational Health and Safety Management System Standard provides certification services for the applicant's Quality Management System ( QMS ), Environmental Management System ( EMS ), and Occupational Health and Safety Management System ( OHSMS ) .

2.3 Conduct research and exchange activities on the theories and methods of quality / environment / occupational health and safety management.

2.4 Accept commissions from clients to conduct second-party audits of quality / environmental / occupational health and safety management systems.

2.5 Upon the client's request, conduct ISO9000 , ISO14000 , and ISO45001 certification training for their employees. Dissemination of system standards.

2.6 To handle appeals and complaints from applicants / certified parties and their related parties regarding certification audits.



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### 3. Fairness and Confidentiality Commitment

ZRRZ Strictly adhering to the "Regulations of the People's Republic of China on Certification and Accreditation" and the requirements of quality / environment / occupational health and safety management system certification bodies in China, the top management hereby declares the following regarding the impartiality of the management system certification service process:

**3.1** ZRRZ Top management deeply understands the importance of impartiality in implementing management system certification activities, providing impartial and competent certification services to all certification stakeholders and building trust with them.

**3.2** ZRRZ always uphold independence and impartiality, making decisions on granting or denying certification solely based on the evidence we review.

**3.3** ZRRZ Fully understand, analyze and document conflicts of interest arising from certification activities, and effectively manage and control activities and relationships that affect impartiality. Ensure impartiality is not affected by other interests or other parties (organizations or individuals).

**3.4** ZRRZ Do not certify the quality management system certification activities of another certification body.

**3.5** ZRRZ do not provide any consulting services, have no cooperative relationship with any certification consulting agency, sign certification contracts independently, and do not imply that if the applicant chooses a consulting or training agency, certification will be simpler, easier, faster or cheaper. We also do not allow any links or statements from any consulting agency to claim or imply this.

**3.6** ZRRZ If the certification personnel (including management personnel and auditors) have provided certification consulting services to customers, within two years after the consultation, It will not be used for audits or other certification activities targeting this client.

**3.7** ZRRZ Require internal and external personnel to disclose any situations they are aware of that could potentially expose them or the certification body to a conflict of interest. ZRRZ Record and utilize this information to identify threats to impartiality posed by their or their organization's activities, and only use these internal or external personnel after they can demonstrate that there is no conflict of interest .

**3.8** ZRRZ Audits are not outsourced to management system consulting firms.

**3.9** ZRRZ All persons (internal or external) or members of committees who can influence certification activities are expected to act impartially and not allow commercial, financial



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or other pressures to compromise impartiality.

**3.10** ZRRZ Training courses are conducted in accordance with national requirements, using publicly available training courses, content, and materials. Trainers do not offer specific advice tailored to the management systems of any particular organization .

**3.11** ZRRZ Strictly adhere to the national management system certification fee standards and refrain from charging excessive fees or engaging in price-cutting competition. Audit fee reductions and exemptions will not be granted without justifiable reasons . Special circumstances may require approval from the national accreditation body.

**3.12** ZRRZ No staff member may accept any gifts from the certifying organization under any circumstances, including cash, presents, securities, jewelry, etc.

**3.13** ZRRZ Auditors shall not participate in banquets or entertainment activities arranged by the auditee while performing audit tasks.

**3.14** ZRRZ All personnel have the responsibility to keep confidential the information obtained during the certification process. Without the written consent of the applicant or certified organization, the company will not disclose confidential information to the outside, except when otherwise required by laws and regulations or when there is a need to fulfill responsibilities. When the law requires the certification body or the contract arrangement When providing confidential information to an authorized certification body (e.g., with an accreditation body), the company will notify the relevant clients or individuals in advance of the information to be provided, unless restricted by law. All personnel involved in the company's certification activities, including staff, auditors, technical experts, and members of the management or technical committees, have signed an agreement or other document with the company that includes confidentiality requirements, requiring them to comply with the company's confidentiality policy.



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#### 4. Rights and obligations of clients applying for certification

##### 4.1 Rights

##### 4.1.1 Obtaining ZRRZ Certification of public documents and information

4.1.2 Application for certification, acceptance of audit and certification decision-making process are free from discrimination

4.1.3 Request adjustments and changes to the audit plan and audit team members that may affect the impartiality of certification; clarify discrepancies and make comments on the audit report; have the right to file appeals / complaints to ZRRZ and even national regulatory authorities regarding ZRRZ certification audit work, audit conclusions, and staff violations of regulations ;

4.1.4 Certified customers have the right to use the certification certificate and logo correctly;

4.1.5 Based on changes in the customer's products and /or services , management system, etc., the customer has the right to request ZRRZ to expand or narrow the scope of certification;

4.1.6 Before the certification certificate expires, you may apply to ZRRZ for recertification or choose not to maintain the certification.

##### 4.2 Obligations

4.2.1 Always comply with national laws, regulations, and the contract and relevant provisions with ZRRZ ;

4.2.2 When an applicant decides to have Zhongrui Certification (Zhejiang) Co., Ltd. conduct the certification, it shall submit a written application and provide the organization's documented management system information, as well as information on the relevant activities of the quality / environment / occupational health and safety system , and confirm that internal audits and management reviews covering all procedures have been conducted.

4.2.3 When required, accept witness assessments from the National Accreditation Service for Conformity Assessment (NASA) and provide necessary support, and accept supervision and inspection from higher-level authorities in accordance with the law.

ZRRZ ' s special audit should provide conditions for accepting observers when necessary;

4.2.4 Accept ZRRZ surveillance audits and recertification audits on schedule.

4.2.5 Pay the certification fee to ZRRZ in a timely manner according to the requirements of the certification contract .

4.2.6 Make necessary arrangements for the audit activities arranged by ZRRZ , including preparing for and providing relevant system documents, all areas within the scope of open certification, and all records (including internal audit reports )and evidence of system operation, etc. ;

4.2.7 Promotional activities shall only cover the scope of certification; when promoting



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certification results, ZRRZ 's reputation shall not be damaged, and no statements that ZRRZ would consider misleading or unauthorized shall be made ;

**4.2.8** Upon receiving a notice of suspension or revocation of certification (regardless of the reason) , the certification body shall immediately cease using the certification certificate and certification mark, cease promoting the certification , and immediately cease using all advertising materials that reference the certification qualifications. When certification is revoked, the certification certificate shall be returned in accordance with the requirements of the ZRRZ ; when the scope of certification is reduced, all advertising materials shall be revised;

**4.2.9** Ensure that certification documents, marks, or reports are not used or partially used in a misleading manner; references to certification content in media (e.g., documents, brochures, or advertisements) must comply with ZRRZ requirements; it is not permitted to imply that ZRRZ has certified the products (including services) or processes when referring to its management system certification . It is also prohibited to imply that certification applies to activities outside the scope of certification.

**4.2.10** Certified customers shall provide ZRRZ with relevant complaint records and records of corrective actions taken in accordance with the requirements of the management system standards or other referenced documents, as required .

**4.2.11** When the certified customer's management system undergoes the following changes, ZRRZ should be notified promptly . For quality incidents, environmental incidents, safety incidents, and non-compliance discovered during national supervision and spot checks , ZRRZ should be notified within 2 days ; for major incidents, ZRRZ should be notified within 24 hours . Changes include (but are not limited to) the following:

- a) Information regarding changes in legal status, business operations, organizational structure, or ownership;
- b) The organization's name, registered / operating address, contact address, contact information, and location have changed;
- c) Changes occur in the legal representative, management representative, and management team (such as key management, decision-making, or technical personnel);
- d) Information on significant changes to the management system and processes;
- e) Significant changes occur in the organization's operations, products, processes, technologies, and environment;
- f) Major quality accidents, environmental accidents, and safety accidents occur;
- g) Significant complaints from customers / stakeholders concerning the management system;
- h) The products or services produced are deemed by law enforcement and regulatory authorities to be non-compliant with legal requirements, or serious incidents or illegal situations occur that require intervention by regulatory authorities;
- i) Information on the recall and handling of non-conforming products;





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j) Other changes, etc.

**4.2.12** The client is responsible for the authenticity, completeness and accuracy of the application materials and audit evidence provided (including but not limited to the authenticity of the number of people covered by the system). If the certificate is suspended or revoked due to the provision of false documents or false / inaccurate / incomplete evidence or false / inaccurate / incomplete data, the client shall bear full responsibility.

**4.2.13** Continuously fulfill the management system certification requirements. After receiving Party B' s notification of changes to certification requirements, the Company shall implement the changes according to Party B' s requirements within the specified time and accept Party B' s change review. Failure to complete the corresponding changes within the specified time will result in the suspension or revocation of the certification qualification.

## 5. ZRRZ Rights and obligations

### 5. 1 right

**5.1.1** Formulate ZRRZ certification audit work procedures and management regulations in accordance with relevant national laws and regulations and the requirements of the accreditation specification documents of the national accreditation body .

**5.1.2** Conduct audits and make certification decisions within the scope of the proposed certification in accordance with relevant work procedures and management regulations.

**5.1.3** Require the client to pay the certification fee as agreed in the certification contract.

**5.1.4** Conduct annual surveillance audits and recertifications for certified clients according to the prescribed cycle.

**5.1.5** Handle appeals, complaints and disputes from customers or other parties regarding certification.

**5.1.6** Formulate regulations for the use of certification certificates and certification marks.

**5.1.7** Require the client to provide the necessary documentation for certification audits, surveillance audits, recertification or complaint resolution, and facilitate access to relevant audit areas, records and personnel.

**5.1.8** Record customer complaints against certified customers and corrective actions taken in accordance with management system standards or other referenced documents.

**5.1.9** ZRRZ owns the ownership of the certification documents (such as certification certificates, audit reports, etc.). When the certified client' s management system no longer meets the requirements of the management system certification standards, ZRRZ has the right to suspend or revoke the certification qualification of the certified client. When the certification qualification is revoked, ZRRZ has the right to require the certified client to return the certification certificate.

**5.1.10** When a major accident, serious complaint, serious violation of national laws and regulations or other non- conformities occur in the products / services / activities within the scope of the



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certified customer's management system, ZRRZ has the right to conduct a special audit of the certified customer, or suspend or revoke Party A's certification qualification.

**5.1.11** When certification requirements change, ZRRZ will notify certified customers of any changes in the appropriate manner. ZRRZ will verify each certified customer's compliance with the new certification requirements within the specified period.

## 5.2 Obligations

**5.2.1** ZRRZ ' s services are open to all clients or customers applying for management system certification and follow the principle of non-discrimination.

**5.2.2** ZRRZ is responsible for decisions regarding the granting, rejection, maintenance, expansion or reduction of certification scope, renewal, suspension or reinstatement, or revocation of certification.

**5.2.3** Do not provide any consultation on the establishment and maintenance of the management system.

**5.2.4** Notify relevant parties of ZRRZ certification requirements and any changes in a timely manner.

**5.2.5** Guarantee ZRRZ All personnel involved in the certification process shall maintain confidentiality regarding the information of the certified client involved in the certification process. If information needs to be provided to a third party, ZRRZ shall notify the auditee of the information to be provided. When the law requires the provision of information to a third party, the client shall be notified in writing in advance.

**5.2.6** Answer and explain the questions raised by the customer and provide relevant information.

**5.2.7** Publish relevant information about certified clients on the company website and other media, and update it in a timely manner.

**5.2.8** We are obligated to accept and properly handle complaints and accusations related to certification from customers and other relevant parties, and, where feasible, inform the relevant parties of the results.

### 5.2.9 Expected Outcomes of IAF-ISO Bulletin-Accredited Certification

#### 5.2.9.1 The meaning of accredited management system certification

To achieve the intended results of the relevant management system standards, accredited management system certification will ensure that the organization has an environmental management system that conforms to ISO standards, and in particular, demonstrate that the organization:

- 1) It has a system adapted to its organizational environment and certification scope;
- 2) It specifies the intent applicable to a particular management system standard, the nature, scale and impact of its activities, and the policies applicable to its products and services throughout its life cycle;
- 3) Able to handle risks and opportunities related to its background and objectives;



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- 4) Analyze and understand customer needs and expectations, as well as their product, process, and service requirements and relevant laws and regulations;
- 5) Ensure that product, process, and service characteristics are defined to meet customer and applicable legal and regulatory requirements;
- 6) The processes required to achieve the expected results of the management system standards have been identified and are being managed.
- 7) Ensure that the necessary resources are provided to support the operation and monitoring of these products, processes and services;
- 8) Monitor and control identified product process characteristics and service characteristics;
- 9) Designed to prevent non-conformities and with a systematic improvement process:
  - address and correct any nonconformities that actually occur ( including product and service nonconformities discovered after delivery ) ;
  - b) determine the cause of nonconformity and take corrective action to avoid recurrence;
  - c) Determine whether or potentially similar nonconformities exist;
  - d) Take any necessary action;
  - e) Review the effectiveness of the corrective actions taken;
  - f) and handling complaints from relevant parties;
- 10) An effective internal audit and management review process has been implemented;
- 11) Be able to monitor, measure, analyse, evaluate and improve the effectiveness of its management system;
- 12) Internal communication processes have been implemented and responses have been made to external stakeholders.

**5.2.9.2** Meaning that an accredited management system certification does not possess

It is important to recognize that management system standards set requirements for an organization's management system, but do not provide specific performance criteria ( such as product or service standards, environmental performance standards).

Accredited management system certification should provide confidence in an organization's ability to achieve the objectives of its management system standard. A management system audit does not include a full legality audit and does not necessarily guarantee that an organization will always achieve 100% product conformity, although this should of course be a permanent goal.

Depending on its scope of certification, an accredited management system certification does not include or guarantee, for example:

- 1) The organization provides high-quality products and services, or
- 2) The organization's products and services are themselves certified to conform to ISO (or any other) standards or specifications.



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## 6. Management System Certification Procedures

### 6.1 Basic requirements for management system certification application

#### 6.1.1 Organizations applying for quality / environmental / occupational health and safety management system certification

a) Possess valid legal status documentation, and if administrative licensing is required, have obtained the corresponding administrative license. When the applicant has multiple locations, The certification application should be submitted by the headquarters in a unified manner, and the relevant legal documents of the headquarters and multiple sites to be certified should be submitted. At the same time, a written commitment document for the sub-sites to apply for certification together with the headquarters should be provided to prove that they belong to the same management system;

b) A documented management system has been established in accordance with certification standards and relevant specific technical requirements or standards, and has been operating effectively for more than three months;

c) The products and/or services comply with the requirements of relevant national laws and regulations and the customer's contractual requirements;

d) No major environmental pollution accidents occurred within 12 months, no pollutants were discharged in excess of the standard ( applicable to the environmental management system ), and no major safety accidents occurred. (Applicable to occupational health and safety management system) ;

### 6.2 Certification Application

6.2.1 Applicants may inquire about certification matters and express their intention to apply for certification by writing, in person, or by telephone or fax to the ZRRZ Marketing Department.

6.2.2 After the marketing department is informed of the certification application intention, it will first judge whether the customer's requirements for the certification standard and certification scope are within the scope of ZRRZ's approval , and ZRRZ Whether it has professional audit ability; if it is required to issue a certificate with an accreditation mark, it should also confirm whether it is within the scope of accreditation .

6.2.3 Once it is preliminarily confirmed that the application falls within the scope of ZRRZ's accreditation, or that the department has the capability to review it, the marketing department will respond to the applicant's inquiry. Provide ZRRZ to the applicant The "Public Documents".

6.2.4 The applicant shall complete and submit a formal application form, signed and fully



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completed by its authorized representative . Please submit the "Application Form for Management System Certification" and related attachments.

**6.2.5** Requirements for multi-site organizations When an applicant has multiple sites and applies for certification together with the head office, it should submit documents proving the multiple sites or a description of its relationship with the head office.

### **6.3** Certification Acceptance

**6.3.1** After receiving the certification application and the information provided by the applicant, the Marketing Department shall count, register, keep them properly and keep them confidential to facilitate the review and acceptance.

**6.3.2** The review department organizes personnel to review the certification application and accompanying materials, and makes a judgment on the following aspects to decide whether to accept the application:

a) the information on the applicant organization and its management system is sufficient to establish an audit programme ;

b) any known differences in understanding between the certification body and the applicant organization are resolved;

c) the certification body is competent and able to carry out certification activities;

d) The scope of the certification application, the operating location of the applicant organization, the time required to complete the audit, and any other factors that may affect the certification process (language, security conditions, threats to impartiality, etc.) were taken into consideration .

**6.3.3** After the application is reviewed and found to meet the requirements, the review department will formally accept the certification application. ZRRZ will then sign a "Certification Service Contract" with the applicant.

**6.3.4** For those who fail the application review, the certification applicant shall be notified in writing to supplement and improve the application within the specified time. If the certification application is not accepted, the reasons shall be clearly stated and records shall be kept.



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## 6.4 Certification Audit Procedure

**6.4.1** Customer application and ZRRZ After signing the formal "Certification Service Contract", ZRRZ began the certification audit process.

**6.4.2** ZRRZ The audit department is responsible for formulating the audit plan, including selecting and appointing the audit team leader and other members of the audit team, and determining the audit time. ZRRZ Provide the client with the name of each member of the review team and, upon request, enable the client to know the background of each member. ZRRZ allows sufficient time for the client organization to object to the appointment of an auditor or technical expert and to reorganize the audit team if the objection is valid.

**6.4.3** Assign document reviewers to review the documented management system information provided by the applicant.

**6.4.4** The initial certification audit of the quality, environment, and occupational health and safety system consists of a first-stage audit and a second-stage audit.

**6.4.5** Prior to the on-site audit, the audit team leader shall prepare an audit plan and notify the auditee in writing, and obtain written confirmation of the audit plan from the auditee.

**6.4.6** The audit team shall conduct on-site audits in accordance with the certification criteria, audit plan and audit procedures specified by the organization.

**6.4.7** On-site audit of the quality management system

**6.4.7.1** First Stage Audit

**6.4.7.1.1** The following should be reviewed in the first stage:

- a) Review the client's documented management system information;
- b) Evaluate the specific situation at the client's site and discuss with the client's personnel to determine the readiness for the second stage audit;
- c) Review the client's understanding and implementation of the standard requirements, especially the identification of key performance indicators or important factors, processes, objectives and operations of the management system;
- d) Collect necessary information regarding the scope, processes, and locations of the client's management system, including:
  - The customer's location;
  - The processes and equipment used;
  - the level of control established (particularly where the customer has multiple sites);
  - Applicable laws and regulations.
- e) Review the configuration of resources required for the second-stage audit and agree on the details of the second-stage audit with the client;
- f) Thoroughly understand the client's management system and on-site operations by combining management system standards or other normative documents, so as to provide focus points for planning the second phase audit;



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g) Evaluate whether the client has planned and implemented internal audits and management reviews, and whether the extent of the implementation of the management system demonstrates that the client is prepared for the second-stage audit.

**6.4.7.1.2** The first phase of the audit should be conducted, at least partially, at the customer's site.

**6.4.7.1.3** After the first stage audit, the audit team shall inform the client of the written conclusion on whether the objectives of the first stage have been achieved and whether the second stage is ready. This includes identifying any issues that raise concerns and may be deemed non-compliant during the second-stage review;

**6.4.7.1.4** The interval between the first and second stage audits depends on the client's progress in resolving issues identified during the first stage audit.

**6.4.7.2** Second Stage Audit:

**6.4.7.2.1** Audit objectives: To evaluate the implementation and effectiveness of the client's management system;

**6.4.7.2.2** Audit location: At the customer's site ( including branch sites ) ;

**6.4.7.2.3** Audit content:

- a) Conformity and evidence with all requirements of applicable management system standards or other normative documents;
- b) Monitoring, measuring, reporting and reviewing performance against key performance objectives and indicators (consistent with the expectations of the applicable management system standard or other normative document);
- c) The capabilities of the customer management system and its performance in complying with applicable legal and regulatory requirements and contractual requirements;
- d) Operational control of customer processes;
- e) Internal audit and management review;
- f) Management

responsibilities related to customer policies;

**6.4.8** On-site audit of environmental management system

**6.4.8.1** First-stage review:

**6.4.8.1.1** Purpose of the first stage audit: To understand the organization's basic situation and confirm the audit scope (site distribution, products and production processes, organizational structure and functions, major environmental impacts and their distribution ) to understand the organization's overall EMS planning and implementation in order to determine the second stage audit.

**6.4.8.1.2** Contents of the first stage review:



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- a) Confirm that the environmental management system documents comply with ISO14001 The requirements in the standard;
- b) Confirm the consistency of environmental policy, environmental factor identification and evaluation, objectives, indicators, management plans and control procedures, and the establishment and planning of the system ;
- c) Basic information on system establishment and operation;
- d) Identification of environmental factors and rationality of the evaluation methods for important environmental factors;
- e) the rationality of goals, indicators and plans;
- f) Obtain and identify the implementation status of legal and regulatory procedures and the adequacy and appropriateness of the identification, with particular attention to the identification of environmental quality standards and pollutant emission standards;
- g) Internal audit procedures and their implementation, and the credibility and effectiveness of internal audits;
- h) Whether management review has been implemented and its effectiveness;
- i) Compliance with environmental laws and regulations;
- j) Exchange of information with the outside world.

6.4.8.1.3 First-stage audit procedure

- a) Hold an initial meeting to meet with the organization’ s top management and environmental management representative to explain the purpose, content, and methods of the first phase audit;
- b) Inspect all sites to understand the production products, processes, services, and key environmental factors and impacts; understand the layout; and confirm the scope of certification.
- c) Communicate with the system implementation department to understand the system planning status;

The main locations involved in the audit are : top management, implementation departments, production workshops, power sites, wastewater treatment plants, boiler rooms, air compressor stations, and chemical warehouses.

- d) Collect proof that the auditee complies with laws and regulations;
- e) For issues discovered during the audit, a non-compliance report or a list of issues can be issued, and the audit findings should be discussed with the auditee’s representative.
- f) Prepare a phase one audit report;
- g) Verify the rectification materials submitted by the auditee for issues raised during the first-stage audit ( including corrective actions and related documents for the issues raised in the first stage).

(Identification materials ) can only be verified to be valid before the second stage of review can be scheduled.





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6.4.8.2 Second Stage Audit:

6.4.8.2.1 Purpose:

- a) Demonstrate that the auditee has consistently complied with its environmental policy, objectives, and management procedures;
- b) Confirm that the audited party’s environmental management system complies with all requirements of the standard and verify the effectiveness of the system operation.

6.4.8.2.2 Key audit items:

- a) The implementation of responsibilities by managers at all levels within the environmental management system;
- b) The applicability of the procedures for identifying environmental factors and evaluating significant environmental factors; and a review of whether any significant environmental factors have been omitted.
- c) The degree to which objectives, targets, and management plans have been achieved;
- d) Implementation status of various management procedures;
- e) Implementation of various operation control procedures and control of important environmental factors;
- f) the implementation of monitoring and internal audit procedures, and the implementation of management reviews;
- g) Consistency of environmental policy, significant environmental aspects, objectives, management programs, and key management procedures;
- h) Environmental performance of implementing the environmental management system;

6.4.8.2.3 Second-stage audit procedure:

- a) initial meeting;
- b) Collect audit evidence according to the division of labor in the audit plan;
- c) Review and discuss to confirm audit findings, issue non-compliance reports, evaluate the effectiveness of the system, and draw audit conclusions;
- d) Communicate the audit results with the auditee’s leadership;
- e) Final meeting.

6.4.9 On-site audit of occupational health and safety management system

6.4.9.1 First Phase Audit

The audit team leader organized the first phase audit team members to review the auditee’s occupational health and safety management system documents. The document review was conducted according to ISO standards . The ISO 45001 standard and occupational health and safety laws and regulations serve as the audit criteria, and a "Document Audit Report" will be issued. If any non-conformities are found in the auditee’s occupational health and safety management system documents, the auditee should be notified promptly to make corrections.

6.4.9.1.1 Purpose of the first stage audit:

- a) Understanding the organization’s OHSMS Hazard identification, risk assessment and control, formulation of policies and objectives to ensure compliance with standards,



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and determination of the organization's OHSMS Whether it includes a process for fully identifying hazards and determining their importance;

- b) Whether the organization's relevant activities comply with occupational health and safety laws and regulations;
- c) Whether the organization's internal audits and management reviews are in compliance with the OHSMS Standard requirements;
- d) Organization's OHSMS Whether the establishment of OHSMS can achieve its occupational health and safety policy Whether the operation can prove that the organization can proceed to the second stage audit.
- e) The organization has an occupational health and safety license to engage in relevant activities.

**6.4.9.1.2** Key points of the first phase of on-site audit:

- a) OHSMS The compliance of the planning process and results with the standard requirements;
- b) Identification and acquisition of laws, regulations and other requirements, determination of their adequacy and applicability; and compliance with laws and regulations;
- c) Credibility of internal audits and management reviews;
- d) OHSMS Basic information on establishment and operation; scope of certification audit: scope of activities, organizational scope, geographical scope, etc.
- e) The status of hazard identification, risk assessment, and risk control planning;
- f) Documented occupational health and safety objectives;
- g) The planning and operational control of the occupational health and safety management program;
- h) Organizational structure and its responsibilities and authorities, as well as internal and external information consultation, exchange and communication;
- i) Performance measurement and monitoring.



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**6.4.9.1.3** For the problems identified in the first phase, issue an observation report and specify the corrective requirements.

**6.4.9.1.4** After the first phase audit is completed, the audit team leader shall prepare the first phase audit report.

**6.4.9.1.5** Verify the rectification materials of the issues raised by the audited party in the first stage audit ( including the corrective measures and witness materials for the issues in the first stage ) . The time for the second stage audit can be determined only after the verification is valid.

**6.4.9.1.6** The first stage audit is an important stage of the OHSMS audit, and the organization should give it full attention.

**6.4.9.2** Second Stage Audit:

**6.4.9.2.1** Purpose of the second-stage audit:

- a) Verify the implementation and operation of the organization's policies, objectives, and procedures;
- b) confirm that the organization's OH&S management system meets all the requirements of the standard and is achieving the organization's policies and objectives.

**6.4.9.2.2** Focus of the second stage audit: The second stage audit focuses on the implementation of all elements of the standard. The focus is on:

- a) The organization identifies hazards and determines risk assessments ( further verification based on the first-stage audit ) ;
- b) The organization complies with relevant laws, regulations and other requirements;
- c) Objectives established through review;
- d) Operation control;
- e) Monitoring, measurement, reporting, and evaluation implemented in accordance with the objectives;
- f) Employee consultation and participation;
- g) Identification and evaluation of accidents, incidents and nonconformities, and the completion status of corrective / preventive actions;
- h) Internal audit and management review ( further in-depth verification based on the first-stage audit ) ;
- i) The relationship between policy, hazards, objectives, responsibilities, programmes, procedures, performance, internal audit and management review.
- j) Demonstrate the organization's ability to control occupational health and safety risks by implementing a system that fully defines the full scope of hazards.

**6.4.9.2.3** The second phase audit requires on-site sampling of working conditions and personnel to determine whether the occupational health and safety management system is effective in ensuring the identification and control of hazard sources.

**6.4.9.2.4** The contents of the first stage audit do not need to be simply repeated. The first stage audit has been sufficient and can prove the elements of compliance. Pay attention to



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further verification, and follow up on the corrective and corrective / preventive actions taken regarding the issues identified in the first phase of the audit.

**6.4.9.2.5** Second stage audit procedures:

- a) Before conducting an on-site audit, an initial meeting shall be held with the participation of the auditee's leadership and relevant personnel;
- b) Collect audit evidence through on-site audits;
- c) Hold a final meeting to announce the results of the second phase audit and prepare the audit report;

**6.4.10** On-site audit implementation steps:

The first meeting is held and chaired by the team leader. The main purpose of the first meeting is to introduce the personnel involved in the audit, explain the purpose, scope and basis of the audit, announce and confirm the audit plan, explain the audit methods to be used, affirm the commitment to fairness and confidentiality, arrange for accompanying personnel, confirm communication channels, and provide opportunities for value-added services to the auditee.

The audit team determines the audit departments and content according to the audit plan and the on-site audit checklist for the quality system. Through methods such as interviews, reviewing documents and records, and observation, they obtain objective evidence of the auditee's implementation of the quality management system and record the observation results. When significant issues are discovered, follow-up inspections should be conducted, and records that do not conform to the facts should be traceable.

**6.4.11** For any nonconformities discovered during the audit, the audit team should analyze them. If confirmed as nonconformities, a "Nonconformity Report" should be completed. Nonconformities are categorized into major nonconformities and minor nonconformities based on their impact on the effectiveness of the management system.

**6.4.12** Before the closing meeting, the audit team shall hold a briefing and communication meeting with the auditee's leadership to report on the preliminary audit findings, explain any non-conformity reports, and obtain the auditee's representative's signature for confirmation. Any issues that do not yet constitute non-conformities but require attention shall be raised with the auditee.

**6.4.13** Before the end of the on-site audit, the audit team shall hold a final meeting with the leaders of the audited party and the heads of relevant departments. The meeting shall be chaired by the audit team leader and the main contents of the meeting shall be:

- a) reiterate the purpose, scope and criteria of the audit;
- b) Inform the reviewer of the limitations of the review process;
- c) Provide an explanation for the non-conformity report and submit a copy of the non-conformity report to the auditee;



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- d) Make a basic assessment of the effectiveness of the quality management system, read out the preliminary audit conclusions, and clarify that these conclusions are the conclusions of the on-site audit, are recommendations, and are not final conclusions;
- e) The auditee may challenge the audit team’s conclusions;
- f) Propose the next steps (such as requirements for corrective actions, post-certification surveillance, proper use of certificates and marks, and provision of the latest information )
- g) Reaffirm the commitment to fairness and confidentiality in the audit;
- h) Speech by the auditee’s leader;
- i) Generally, no suggestions for improvement of the quality management system are made, regardless of whether the auditee requests it. Explanations can be provided for any issues found or for the standards on which the audit was based.
- j) Records of the final meeting should be kept.

**6.4.14** For non-conformities identified during the on-site audit, the auditee shall, in accordance with 6.5 Require correction / take corrective action, and verify its effectiveness independently. Submit to the audit team leader for verification (verification can be done in written form or on-site). Only after all nonconformities have been addressed with appropriate corrective actions and verified to be effective can the audit team leader submit the application to ZRRZ. Recommended certification registration, after passing the evaluation by the company’s technical department, ZRRZ The General Manager approved the official issuance of the certification.

**6.4.15** Information the audit team needs to provide to the client: a) Audit report; b) Non-compliance report. ZRRZ They have ownership of the audit report.

**6.5 ZRRZ ’s rectification requirements for non-compliant invoices**

**6.5.1 General requirements**

Non-conformities should be effectively corrected within the specified period (generally no more than 30 days for non-conformities, no more than 90 days for maximum, and no more than 15 days for corrective action plans for serious non-conformities). If corrective actions or corrective action plans are not taken within this period, the certification qualification should be reduced, suspended or revoked.

**6.5.2 Analysis of causes of non-conformity**

The reasons analyzed for nonconformities must not be a simple repetition of the audit team’s findings or their direct causes. Companies need to conduct a reasonable analysis based on the identified direct causes to determine the true root cause (e.g., someone’s failure to follow a procedure is a direct cause; determining why that person failed to follow the procedure will find the true root cause ) The “root cause analysis” determined



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by the company should not leave obvious "why" questions. If such questions still elicit a "why," it indicates that the root cause analysis is insufficient. ( For example, if the company's root cause analysis is: a certain employee doesn't understand the standard, then the audit team can ask why they don't understand the standard—is it because the work instructions are insufficient, or the training is inadequate? If more than one cause is identified, such as insufficient training and work instructions, then two corrective action plans must be submitted.

### 6.5.3 Correction of non-compliance

--The company has implemented corrective measures, and the response should be written in the past tense (e.g., the missing record has been found (not that it will be found )

If immediate correction is not possible, companies can develop a corrective action plan.

The corrective action plan should clearly define: how to correct the problem, who is responsible, and when to implement or complete it.

--Correction includes learning from the problems found and confirming that the system has been checked to see if there are other similar problems that need to be corrected. If so, Correct them all at once.

--When applicable, the enterprise should notify the parties involved of the issue (the enterprise identifies the parties affected by the content )

--Correct evidence that has been effectively implemented or evidence that proves the plan will be effectively implemented.

### 6.5.4 Corrective actions for nonconformities

--Based on the identified root causes, the company develops corresponding corrective actions or corrective action plans.

--Corrective actions or corrective action plans can address one or more problems identified through root cause analysis.

--The implementation status of corrective actions or corrective action plans, including the identified responsible parties ( persons ) and the specific dates of implementation.

### 6.5.5 The enterprise verifies the non-conformities and submits them to the audit team leader

The enterprise needs to verify the effectiveness of the rectification of non-conformities and submit it to the audit team leader after verification (such as whether the enterprise's cause analysis is the root cause of the problem found, whether the corrective measures can solve the problems caused by the root cause analyzed by the enterprise, etc.).

## 6.6 Certification, Approval and Registration

6.6.1 ZRRZ shall review the on-site audit materials (including audit reports) submitted by the audit team and make a certification decision.

6.6.2 ZRRZ approves and registers certifications and issues certification certificates.

6.6.3 ZRRZ issues certification certificates and related certification materials to certified



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customers.

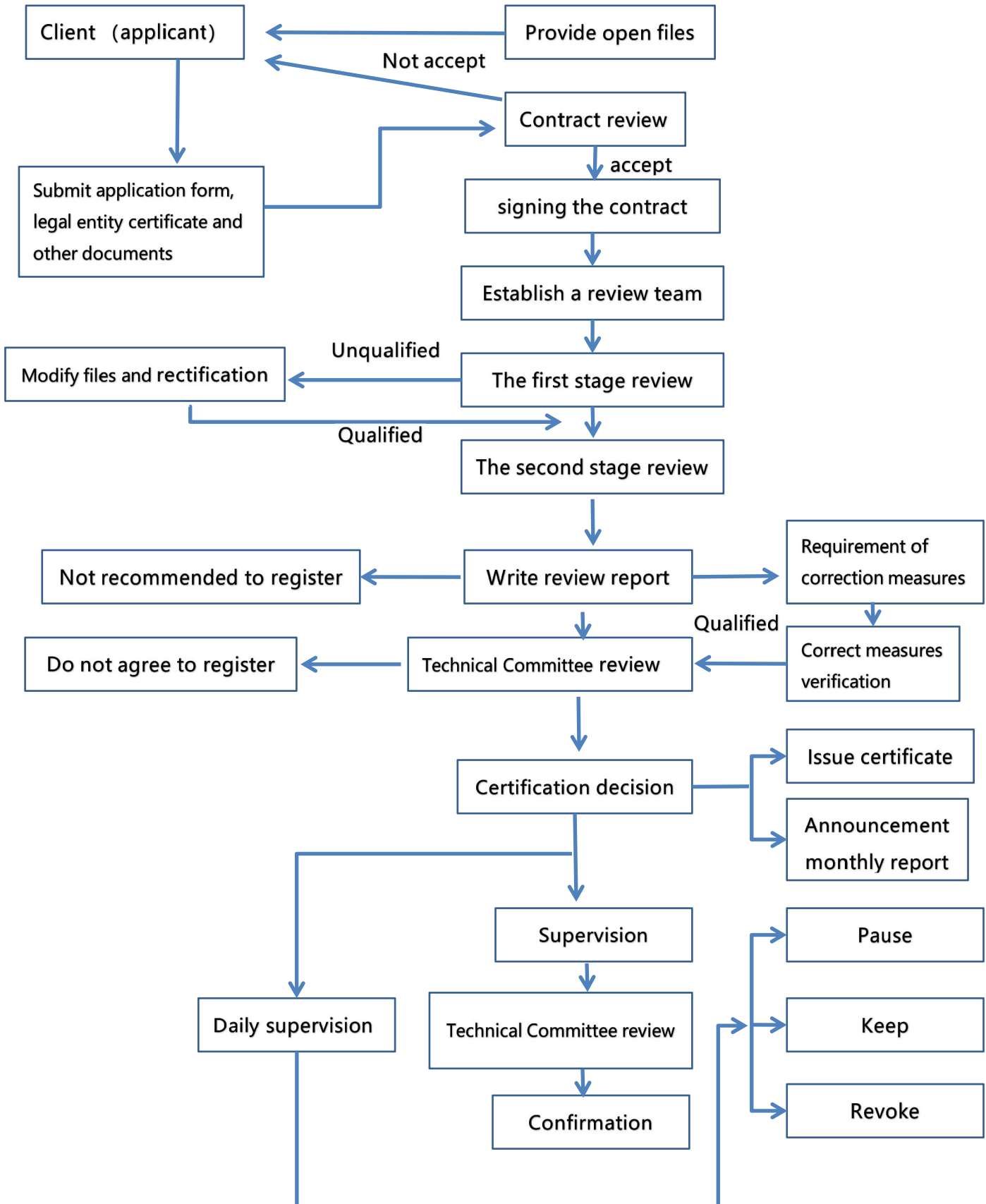
**6.6.4** For customers who have obtained certification and registration, ZRRZ will regularly announce it on the company website, including their address, scope of certification, validity period, etc.

**6.6.5** For auditees that are not approved, ZRRZ will promptly notify the auditee and explain the reasons.



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6.7 Management System Certification Audit Workflow







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## 7. Methods for converting recognized certification certificates

The accredited management system certification certificate can be transferred between certification bodies, that is, an accredited certification body (accepting body) It recognizes a currently valid management system certification certificate issued by another accredited certification body (certification body).

### 7.1 Scope of application:

- a) A management system certification certificate bearing the accreditation mark issued by a certification body accredited by the China National Accreditation Service for Conformity Assessment (CNCA) and currently in effect;
- b) The conversion is limited to IAF/MLA. Among certification bodies recognized by members of the Multilateral Recognition Agreement Group;
- c) Multi-certificate authentication cannot be converted.

### 7.2 Acceptance conditions for applications to transfer to our company:

- a) Organizations applying to transfer their certificates to our company must have valid certification qualifications and hold certification certificates bearing the national accreditation mark ; and must be approved by the National Certification and Accreditation Association.
- b) Organizations applying to transfer their certification to our company should commit to complying with our company's certification requirements, submit a written application, and provide their currently valid management system documents.
- c) The organization to which the company issues the certificate shall transfer the certification files to the company for storage.

### 7.3 Conditions under which conversion is not accepted:

- a) Certifications that have been suspended or are currently undergoing suspension are not eligible for conversion.
- b) Transfers are not accepted if the original issuing authority has ceased operations, or has been terminated, suspended, or revoked.

### 7.4 Conditions for transferring out of this company:

- a) Organizations holding certification certificates from this company may submit a written application to the company with justifiable reasons, subject to approval by company leadership;
- b) The accepting body should be officially accredited by the National Accreditation Committee;
- c) Conversions will generally not be processed in any of the following circumstances:
  - 1) Serious violation of national laws and regulations;
  - 2) Non-compliance items identified during the on-site audit were not closed;



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- 3) The management system is seriously non-compliant with standards and its certification has been suspended;
- 4) Complaints or media exposure regarding product quality / environmental pollution / health and safety management;
- 5) Failure to pay certification fees as stipulated in the contract;
- 6) Unable to accept surveillance audits and recertification on time.

**7.5 Acceptance Procedure:**

**7.5.1** The Marketing Department is responsible for accepting applications from certification clients to transfer their certification certificates to our company, and collecting the original certificates and certification review materials of the certificate-holding organizations. After review by the Review Department, if the applicant meets the requirements, a "Certification Service Contract" will be signed with the applicant.

**7.5.2** After the agreement comes into effect, the Audit Department will conduct a system review and include it in the company's certification file management scope.

**7.5.2.1** The review method generally involves a written survey and usually includes an interview with the client. If such an interview is not conducted, there should be a perfectly legitimate reason, and this reason should be recorded.

**7.5.2.2 Review Content**

- a) Confirm whether the scope of the certification is within the company's approved business scope;
- b) Reasons for requesting the conversion;
- c) Whether the accredited certifications held by the premises (or premises) to be converted to are genuine, valid, and cover the scope of activities effectively.
- d) Consider the reports of the previous certification or recertification audit, subsequent surveillance audit reports, and any nonconformities identified in these audits that have not yet been closed. If any unclosed nonconformities require company verification, this should be stated in the agreement, and the audit department will assign a competent auditor to verify and close them. The certified organization should cooperate. Any other available documents related to the certification process, such as audit records and checklists, should also be considered. If audit reports for the previous certification, recertification, or subsequent surveillance are unavailable, or if surveillance has not been conducted within the stipulated timeframe, the client should be treated as a new client.
- e) The authenticity, validity period, and stage of the certification cycle of the certificate;
- f) Complaints received and measures taken;
- g) Any commitments or agreements the organization currently has with regulatory authorities regarding compliance;



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**7.5.3** The Review Department prepares the “Management System Certification Application Review Form” and submits it to the company’s technical committee for review and decision on whether to accept it.

**7.5.4** If the pre-conversion review does not uncover any outstanding nonconformities or potential issues, a new certification certificate may be issued following the normal decision-making process. The issuance date is the date of the conversion decision, and the validity period is the same as the original certificate’s validity period. Subsequent surveillance programs should be based on the previous certification program.

**7.5.5** If, after a pre-conversion review, there are still doubts about the adequacy of the applicant organization’s current or previous certifications, the following applies, depending on the degree of doubt:

- a) Treat the organization applying for transfer as a new client or decide on the action to be taken depending on the nature and extent of the issues found. The Audit Department will explain the decision to the organization, record the reasons for the decision, and maintain records.
- b) Review the areas where problems were identified.



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## 8. Management System Certification Fee Standard

### 8.1 Certification Fee Standards Based on

Management system certification fee items and standards are formulated in accordance with the regulations of the national price authorities and are applicable to ZRRZ. The certification services provided are subject to a fee.

#### 8.1.1 Fee Standard for Initial Audit of Management System Certification:

Serial number	Fees	Fee Standard	Remark
1	Application fee	1000 Yuan	
2	Initial review fee	3000 Yuan × Number of days reviewed	Execute according to the required number of person-days.
3	Approval and registration fees	2000 Yuan	Including certificate fee, each additional print will be charged 100 Yuan

Note: If pre-approval is required, the pre-approval fee is 1500. Yuan × Number of days reviewed.

#### 8.1.2 Annual supervision and audit management fees:

Serial number	Fees	Fee Standard	Remark
1	Supervision and audit fees	3000 Yuan × Number of days reviewed	Execute according to the required number of person-days.
2	annuity	2000 Yuan	Including logo usage fee, payable once a year

**Note:** 1. Fee Standard for Expanding Certification Scope: Re-apply for review and assessment in accordance with the supervision and audit fee standard, and additional man-day fee will be charged. A supplementary contract will be signed.

2. The number of auditor days is determined based on factors such as the number of employees, production methods, and complexity of the certification application organization.

#### 8.1.3 Recertification Fee Standard

When the three-year validity period of the certification certificate expires, the company will conduct re-certification according to the certification procedures. If the number of people in the system and the scope of certification remain unchanged, the re-certification fee will be 2/3 of the initial certification fee.

**8.1.4 All accommodation and transportation expenses incurred during the audit shall be borne by the audited party based on actual expenses or as agreed in the contract.**

**8.1.5 Declaration:** The above certification fees are the source of our company's finances, and



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we refuse any gifts or sponsorships that may affect impartiality.

## **8.2 Method for Calculating Auditor Days for Management System Certification Fees**

### **8.2.1 Audit of the management system for single-domain certification**

The number of person-days required for management system audits is related to the total number of employees in the certified organization, the type of audit (initial assessment, recertification, and surveillance ) the type of business scope, and the number of on-site audits. Person-days include the time spent on document review, preparation of the audit team's expertise, on-site audits, and final reporting; they do not include travel time, pre-audit time, etc. Specific audit person-day requirements for each area of auditing are detailed in the relevant standards.

### **8.2.2 Audit of the management system for multi-domain certification**

For multi-field combined audits, the number of audit man-days can be appropriately reduced based on the sum of the single-field audit man-days. The specific number of audit man-days shall be calculated according to the specific provisions of the relevant guidelines.



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Table 1 QMS - Quality Management System

Relationship between the number of valid employees and the review time (applicable only to initial reviews)

Valid number of people	Review time		Valid number of people	Review time	
	1st stage	Phase + 2 (sky)		1st stage	Stage + 2 (sky)
1-5		1.5	626-875		12
6-10		2	876-1175		13
11-15		2.5	1176-1550		14
16-25		3	1551-2025		15
26-45		4	2026-2675		16
46-65		5	2676-3450		17
66-85		6	3451-4350		18
86-125		7	4351-5450		19
126-175		8	5451-6800		20
176-275		9	6801-8500		21
276-425		10	8501-10700		22
426-625		11	>10700	Follow the above progressive rules	



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Table 2 EMS- Environmental Management System

Relationship between effective number of employees, complexity, and review time (applicable only to initial reviews)

Valid number of people	Review time			Valid number of people	Review time		
	1st stage	Stage + 2			1st stage	Phase + 2	
		(sky)				(sky)	
	high	middle	Low		high	middle	Low
1-5	3	2.5	2.5	626-875	17	13	10
6-10	3.5	3	3	876-1175	19	15	11
11-15	4.5	3.5	3	1176-1550	20	16	12
16-25	5.5	4.5	3.5	1551-2025	21	17	12
26-45	7	5.5	4	2026-2675	23	18	13
46-65	8	6	4.5	2676-3450	25	19	14
66-85	9	7	5	3451-4350	27	20	15
86-125	11	8	5.5	4351-5450	28	21	16
126-175	12	9	6	5451-6800	30	23	17
176-275	13	10	7	6801-8500	32	25	19
276-425	15	11	8	8501-10700	34	27	20
426-625	16	12	9	>10700	Follow the above progressive rules		



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Table 3 OHSMS – Occupational Health and Safety Management System

Relationship between effective number of employees, risk level, and review time (applicable only to initial reviews)

Valid number of people	Review time Phase 1 + Phase 2 stage (sky)			Valid number of people	Review time 1st Stage + 2 stage (sky)		
	high	middle	Low		high	middle	Low
1-5	3	2.5	2.5	626-875	17	13	10
6-10	3.5	3	3	876-1175	19	15	11
11-15	4.5	3.5	3	1176-1550	20	16	12
16-25	5.5	4.5	3.5	1551-2025	21	17	12
26-45	7	5.5	4	2026-2675	23	18	13
46-65	8	6	4.5	2676-3450	25	19	14
66-85	9	7	5	3451-4350	27	20	15
86-125	11	8	5.5	4351-5450	28	21	16
126-175	12	9	6	5451-6800	30	23	17
176-275	13	10	7	6801-8500	32	25	19
276-425	15	11	8	8501-10700	34	27	20
426-625	16	12	9	>10700	Follow the above progressive rules		

8.2.3 The surveillance audit time should be approximately one-third of the corresponding initial audit time ; the recertification audit time should not be less than 70% of the initial audit time .

## 9. Handling of Appeals, Complaints and Disputes

ZRRZ To maintain the fairness and objectivity of certification, we consciously accept supervision from all sectors of society, stakeholders, and certified organizations, and carefully handle every appeal, complaint, and dispute. For details, please refer to the ZRRZ Appeal, Complaint, and Dispute Procedures.

### 9.1 Appeal

9.1.1 The applicant or the certified party has the right to appeal to the company under any of the following circumstances:

- The company will not accept certification applications without a justifiable reason;
- I object to the company’s suspension or revocation of its certification;





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—Dissatisfied with the company’s certification audit findings;

—Other reasons.

9.1.2 The complainant shall, within 30 days of the occurrence of the above circumstances, [take appropriate action]. Submit a written appeal to the company within the specified period, along with relevant evidence.

9.1.3 The company shall organize the investigation and evidence collection of the appeal and notify the appellant in writing of the progress of the investigation and the final result. The reply to the final result shall not exceed 6 months from the date of receipt of the appeal.

9.1.4 If the appellant is dissatisfied with the ruling, he/she may appeal to a nationally recognized body.

9.1.5 The costs of the appeal investigation shall be borne by the losing party.

9.2 Complaints

Any organization or individual has the right to file a complaint with the company in any of the following circumstances:

- The certified party’s management system does not meet the certification requirements;
- The certified party abuses the certification certificate and logo;
- The certified party has encountered significant problems in terms of product (service) quality , environment , occupational health and safety, etc.
- Relevant departments or staff members of the company violated regulations concerning certification work;
- Other reasons.

Complaints should generally be submitted in writing, along with relevant evidence and the complainant’s name and contact information. When filing a complaint by phone, the complainant should also provide details and evidence of the incident, which should be recorded in detail by the company’s management representative. (Complaint hotline: 0571 - 82171760 )

The company will investigate the complaint and will address the progress and results30 The complainant shall be notified in writing within one day.

When a complaint is filed against a certified party, if the complaint is substantiated, the company will inform the certified party of the complaint at an appropriate time, and the certified party will sign to confirm that the non-compliance report is not valid.

If necessary, the company may increase the frequency of surveillance audits of certified parties or suspend or revoke their certification registration, with the certified party bearing the investigation costs. If the complaint is the company’s responsibility or the content of the complaint is untrue, the company will bear the investigation costs.

If dissatisfied with the company’s handling of the matter, the complainant may file a complaint with a nationally recognized institution.

9.3 Constraint Rules

9.3.1 The personnel responsible for investigating and handling complaints should have no direct or indirect relationship with the complaint to ensure impartiality .



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**9.3.2** Personnel investigating and handling complaints are responsible for maintaining the confidentiality of any confidential information involved.

**9.3.3** The Company is responsible for all decisions relating to the application / complaint.



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### Notice to Certified clients

#### 1. Granting, refusing, maintaining, expanding or reducing the scope of certification, renewing, suspending or restoring, or revoking certification.

ZRRZ Adhering to the principle of "providing clients with objective, fair, and professional certification services through scientific and efficient management and continuously expanding business areas," the company is responsible for its decisions regarding granting, refusing, maintaining, expanding or reducing the scope of certification, updating, suspending or resuming, or revoking certification / registration .

1.1 The relevant management system will be granted when the audited organization meets the following conditions:

/ environment / occupational health and safety management system related to the products, services and activities covered by the certification scope has indeed complied with the requirements of relevant laws and regulations (including the results of supervision and spot checks and complaints and their handling in accordance with relevant national laws, regulations and safety standards).

b) The organization has established a documented quality / environment / occupational health and safety management system that meets the requirements of the quality / environment / occupational health and safety management system standards and operates effectively.

c) For any aspects of the quality / environment / occupational health and safety management system that do not meet the required standards. It has been verified that effective measures have been taken and a mechanism for correcting and preventing non-conformities has been established;

d) The certified organization has not had its certificate revoked by the certification body due to violation of relevant laws and regulations or false reporting or concealment of information required for certification within one year.

e) Fulfilled the relevant obligations as stipulated in the certification contract (such as paying the certification fee )

1.2 When the audited organization meets the following conditions, the relevant management system will be eligible to maintain its certification registration:

Certified organizations accept ZRRZ The results of the supervisory audit will serve as ZRRZ The basis for making decisions on maintaining, expanding, reducing, suspending, resuming, and revoking.

—After the certified organization undergoes surveillance audit, ZRRZ Once the assessment confirms that the certification standards and maintenance conditions are met, a "Notification of Maintenance of Certification Registration Qualification" will be



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issued to the applicant after a decision is made to maintain the certification certificate.

#### 1.2.1 Supervision and Audit

The purpose of surveillance audits is to confirm whether the management system of the certificate holder continuously meets the requirements of the certification standards and should achieve self-improvement and continuous improvement. The results of surveillance audits will serve as the basis for ZRRZ's decisions to maintain, reduce, suspend, reinstate, or revoke certifications.

**1.2.2 Frequency of Surveillance Audits** Surveillance audits are planned to be conducted annually (but not limited to once). The first surveillance audit should be conducted within 12 months of the initial certification decision, and no later than 12 months. Subsequent adjacent surveillance audits should not exceed 12 months. Surveillance audits should preferably be conducted during the certified client's peak production season. For construction companies, audits should be conducted during the construction period of representative projects under construction. If necessary (e.g., when there are significant changes to the management system), the interval between surveillance audits can be shortened.

**1.2.3** ZRRZ designs its monitoring activities to periodically monitor representative areas and functions within the scope of the management system, taking into account changes to certified clients and their management systems.

**1.2.4** Surveillance audits are on-site audits, but not necessarily audits of the entire system. They should be planned together with other surveillance activities to enable the certification body to maintain confidence that the certified management system continues to meet the requirements during the certification cycle.

The surveillance audit program should include at least the following aspects of review:

- a) internal audits and management reviews;
- b) A review of corrective actions taken for non-conformities identified at the previous audit;



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- c) Handling of complaints;
- d) Changes and maintenance status of the system;
- e) Progress of activities planned for continuous improvement;
- f) Continuous operational control;
- g) Any changes;
- h) The use of the mark and/or any other reference to certification qualifications;
- i) Records of appeals, complaints and disputes against clients submitted to ZRRZ , including whether the client has investigated its own systems and procedures and taken appropriate corrective actions where any non-conformity or failure to meet certification requirements is revealed;
- j) During the validity period of the certificate, whether the legal representative, customer organization, management system documents, and products covered by the certificate holder change in a timely manner or when a major quality accident, environmental accident, or safety accident occurs, ZRRZ is notified in a timely manner .

k) Results of random inspections by quality supervision or industry regulatory authorities

**1.2.5 Maintain Certification:** ZRRZ maintains its certification for certified customers after confirming that the certified customers continue to meet the requirements of the management system standards.

**1.2.6 Follow-up Investigation:** Based on the risk analysis, ZRRZ will plan to conduct follow-up investigations and unannounced on-site audits of certified organizations using methods such as unannounced on-site audits, on-site product sampling inspections, market sampling inspections, and questionnaires.

**1.3 Certification Certificate Update**

In any of the following circumstances, the certified organization shall submit a written application and, if necessary, provide relevant written supporting materials : The certified organization will be reviewed and / or its written materials verified as needed . If the certification requirements are met, a new certification will be issued.

- When the certified organization applies for certification based on the standard and / or system coverage expansion or reduction;
- Certification activities are based on certification standards and / or ZRRZ When the certification requirements are modified;
- Other circumstances that may cause changes to the content of the certification certificate (such as changes to the organization’s name or address).

For the above changes, the organization needs to fill out the "Certificate Content Confirmation Form," sign it, and affix its official seal, and submit it along with the certificate processing fee to ZRRZ.



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Technical Department. The Technical Department will review the materials submitted by the certified organization and, upon confirmation, issue a new certification certificate to the certified organization.

### 1.3.1 Recertification Audit

submit a re-certification application to ZRRZ in written form , and the re-certification on-site audit should be conducted at least one and a half months before the expiration of the certification certificate.

**1.3.2** ZRRZ shall plan and conduct recertification audits to evaluate whether certified clients continue to meet all requirements of relevant management system standards or other normative documents. The purpose of recertification audits is to confirm the continuing conformity and effectiveness of the management system as a whole, and its continuing relevance and suitability to the scope of certification. Recertification audits should be conducted when there are significant changes to the management system, the certified organization, or the operating environment of the management system (such as changes in law ),Recertification audits may require a first-stage audit.

**1.3.3** For multi-site certification or certification to more than one management system standard, the planning of the re-certification audit shall ensure that the on-site audit has sufficient coverage to provide confidence in the certification.

**1.3.4** Verification closure and certification decisions for nonconformities should be completed before the certification expires. After making the certification decision, ZRRZ will issue a new certification certificate to the customer, with the expiration date of the new certification potentially based on the expiration date of the current certification. The issuance date on the new certificate should not be earlier than the recertification decision date.

**1.3.5** If a recertification audit cannot be completed or the corrective and corrective actions implemented for serious nonconformities cannot be verified before the certification termination date, recertification should not be recommended, nor should the validity of the certification be extended.

**1.3.6** Upon expiration of certification, if ZRRZ completes the outstanding recertification activities within 6 months, certification may be reinstated; otherwise, at least one second-stage recertification process is required for reinstatement. The certificate's effective date should not be earlier than the recertification decision date, and the termination date should be based on the previous certification cycle.

### 1.4 Other Special Audits

may be required in cases involving investigations of complaints, changes in certification requirements, or follow-up with suspended clients, after providing short advance notice to certified clients. Special audits can also be planned and implemented in



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conjunction with surveillance audits. ZRRZ will be affected by any of the following: Non-routine surveillance audits will be conducted on certified organizations:

- Products from certified organizations were found to be substandard during national supervision and spot checks;
- The certified organization has serious user complaints or is exposed by the media;
- Organizing accidents or legal actions by the production safety administrative department;
- The organization is involved in an environmental pollution incident or when the environmental protection department takes legal action;
- The certified organization’s management system has undergone significant changes;
- Other situations requiring non-routine supervision.

1.5 Expansion and reduction of certification scope

If a certified party wishes to expand or narrow the scope of its management system certification, it shall comply with the following provisions:

1.5.1 Expanding the scope of certification

When the activities or products of a certified organization change, the certified organization may apply to change the scope of certification.

1.5.1.1 When a certified party wishes to expand the scope of its certification, it should apply to ZRRZ. Submit a written application, complete the "Application Form for Expanding the Scope of Management System", specify the expanded certification scope, and supplement any necessary information.

1.5.1.2 When a certified party expands the scope of its certification, it shall submit the relevant system documents together with the application.

1.5.1.3 ZRRZ Review applications from certified entities to expand the scope of their certification and sign certification contracts to expand the scope of certification.

1.5.1.4 After ZRRZ has reviewed the management system documents of the certified party, it will conduct an on-site audit to expand the scope of certification. The supplementary audit to expand the scope of certification can be conducted independently or in conjunction with the supervisory audit or re-certification audit of the certified organization.

1.5.1.5 The audit conclusion regarding the expansion of the certification scope is determined by ZRRZ. Upon review and approval, a new certification certificate will be issued.

1.5.2 Narrowing the Scope of Certification

1.5.2.1 When the certified party wants to reduce the scope of certification, it shall submit a written report to the company in time, explaining the reasons for reducing the scope. After the report is submitted, it will be reviewed and approved by the company’s technical committee.

1.5.2.2 If the following situations are found during the supervisory audit, the audit team may recommend reducing the scope of certification and explain it in the audit report and report it to ZRRZ .

- a) If a client fails to resolve the issue that caused the suspension within the time limit specified by the certification body, the certification body should reduce or revoke its certification scope.



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b) If the client fails to meet the certification requirements in certain parts of the certification scope continuously or seriously, ZRRZ will reduce the scope of its certification to exclude the parts that do not meet the requirements. The reduction of the certification scope should be consistent with the requirements of the certification standards.

1.5.2.3 via ZRRZ After review and a decision is made, the certification certificate will be replaced.

#### 1.6 Suspension of certification and registration qualifications

1.6.1 ZRRZ shall suspend the certification certificate and mark usage eligibility of its certified clients under the following circumstances (but not limited to) :

a) The management system consistently or grossly fails to meet certification requirements, including requirements regarding the effectiveness of the management system's operation;  
a-1 During the supervisory audit, serious or recurring non-conformities are found in the management system, which affect the conformity and effectiveness of the management system;  
a-2 Failure to submit corrective actions and implementation results for nonconformities as required by the audit team after surveillance audit, or failure to verify the effectiveness of corrective actions;

b) The organization fails to assume or fulfill the responsibilities and obligations stipulated in the certification contract:

b-1 failed to use the certification certificate and mark as required and did not correct the situation after being pointed out;

B-2: Failure to pay the certification fee as required and continuing to fail to pay after being pointed out;

b-3 Failed to undergo surveillance audit within the prescribed intervals;

b-4 Under certain circumstances, ZRRZ is unacceptable. Conduct advance surveillance audits or non-routine audits on it;

b-5 Other circumstances involving violations of certification rules or failure to assume or fulfill responsibilities and obligations stipulated in the certification contract;

b-6 The certified client has made changes to its management system, and the changes have affected the continued compliance and effectiveness of the system and affected the maintenance of the system certification qualification, but has not reported to ZRRZ For review and confirmation

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

d) The local certification regulatory authorities discover problems with the system operation and need to suspend the certificate;

e) The administrative permits, qualification certificates, mandatory certification certificates, etc. held have expired or become invalid, and the application for resubmission has been accepted but the certificate has not yet been renewed ;





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- f) The organization proactively requests suspension, and the application is approved by the company;
- g) A major incident related to quality, environment, or occupational health and safety occurs within the organization, reflecting significant deficiencies in the establishment and operation of the organization's systems ;
- h) If the organization has other serious nonconformities that severely affect the operation of the system and fails to take effective corrective actions within the stipulated time, If the environment, occupational health and safety are monitored as exceeding standards by relevant departments or there are major complaints and complaints from customers or stakeholders, no effective correction and corrective measures are taken;
- i) Other cases where certification should be suspended;

**1.6.2** During the suspension period, the client's management system certification will be temporarily invalid, and the use of certification certificates bearing the certification mark and other external promotional materials should be stopped. After suspending the certification registration qualification of the certified organization, ZRRZ will issue a "Notice of Suspension of Certification Registration Qualification" to the certified organization and announce it on the ZRRZ website.

**1.6.3** If the client fails to resolve the issues that caused the suspension within the time limit specified by ZRRZ , the scope of its certification will be revoked or reduced. In most cases, The suspension period is 6 months.

**1.7 Restore Certification and Registration Qualification**

After a certified organization's certification registration is suspended, it should promptly take corrective / corrective actions to address the issues that arise. Once the corrective actions are effectively implemented, Certified organizations can apply to ZRRZ Submit a written application for restoration of certification registration qualification and / or attach corrective measures materials . After verifying that the requirements are met, Reinstate its certification registration. Certified organizations should submit their reinstatement application one month before the suspension expires to ensure ZRRZ's registration is restored. Sufficient time to verify the corrections and corrective actions taken. Expired certificates will be revoked, ZRRZ No responsibility will be assumed for restoration.

**1.8 Revocation of certification registration**

**1.8.1** During the validity period of the certification certificate, if any of the following situations occur, ZRRZ will... Confirmed, the certification registration of the certified organization will be revoked:



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- a) The review failed;
- b) Documents that have been cancelled or revoked in relation to legal status;
- c) Refusing to cooperate with the supervision and inspection carried out by the certification regulatory authorities, or providing false materials or information in response to inquiries and investigations on relevant matters;
- d) If a major product or service quality, environmental, or occupational health and safety incident occurs, and it is confirmed by law enforcement and regulatory authorities that the incident was caused by a violation of regulations by a certified organization;
- e) The certified organization has committed other serious violations of laws and regulations during the validity period of the certificate;
- f) The suspension period of the certification certificate has expired but the problem that caused the suspension has not been resolved or corrected (including the administrative license, qualification certificate, compulsory certification certificate, etc. that have expired but the application has not been approved )
- g) Those that lack an operational management system or no longer meet the conditions for operation;
- h) Failure to properly cite and publicize obtained certification information in accordance with relevant regulations, resulting in serious impact or consequences, or failure to rectify the situation after being requested to do so by the certification body within 2 months. If it remains uncorrected after one month;
- i) A major incident related to quality, environment, occupational health and safety has occurred in a certified organization, reflecting significant deficiencies in the establishment and operation of the organization's system;
- j) The certified organization does not assume or fulfill the responsibilities and obligations stipulated in the certification contract;
- k) The certified organization voluntarily relinquished the certification;
- l) The certified organization has other serious non-compliance issues that seriously affect the operation of the system, and fails to take effective corrective measures in a timely manner within the prescribed period;
- m) Listed as a seriously dishonest enterprise in terms of quality and credit by the State Administration for Quality Supervision, Inspection and Quarantine;
- n) Refusing to accept national product quality supervision and random inspections;
- o) Other cases where the certification should be revoked.

**1.8.2** After revoking the certification registration of a certified organization, ZRRZ will issue a "Notice of Revocation of Certification Registration" to the organization and simultaneously announce it on the ZRRZ website.

**1.8.3** The certified organization must, in accordance with the regulations of the China



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National Certification and Accreditation Administration ( CNCA ) and the National Accreditation Administration, immediately stop using the certification certificate, external publicity materials and / or product packaging bearing the certification mark from the date of receipt of the revocation notice .

**1.8.4** All consequences arising from the illegal activities of a certified organization whose certification has been revoked shall be borne by the certified organization itself.

**1.8.5** ZRRZ The list of organizations that grant, maintain, suspend, revoke, restore, expand, reduce, or renew certificates, as well as the reasons for suspension, revocation, restoration, expansion, reduction, or renewal, will be reported to the China National Accreditation Service for Conformity Assessment ( CNCA ) and the China National Accreditation Service for Conformity Assessment ( CNAS ) on a monthly basis.

## **2、 Certification Qualification Reference and Requirements for Certificate and Logo Use**

### **2.1 General Provisions**

**2.1.1** ZRRZ should establish corresponding management systems to require certified organizations to correctly use management system certification certificates and certification marks in order to meet the relevant provisions of the " Administrative Measures for Certification Certificates and Certification Marks ".

**2.1.2** Certified organizations may use the management system certification mark during the certification validity period and shall be subject to the supervision and management of ZRRZ .

**2.1.3** Certified organizations shall use the management system certification mark correctly in advertising and other related publicity , and shall not mark the management system certification mark on products . The management system certification mark may only be marked on the product packaging if it is stated that the certified organization has passed management system certification.

**2.1.4** If ZRRZ discovers that a certified organization is not using its certification certificate and certification mark correctly, it shall require the certified organization to take effective corrective measures immediately and monitor the corrective actions.

### **2.2 Certification**

**2.2.1** ZRRZ shall promptly issue certification certificates to organizations that have been deemed compliant with the certification requirements. The date of issuance of the certification certificate shall not be earlier than the date of the certification decision.

**2.2.2** The validity period of a management system certification certificate is up to 3 years.



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The validity period of an initial certification certificate begins from the date of the certification decision, and the validity period of a recertification certificate must begin no later than the expiration date of the most recent valid certification certificate.

**2.2.3** Each management system certification certificate should be assigned a certification number, and the certification number should follow a certain pattern.

**2.2.4** If the certificate is to be used within the territory of the People's Republic of China, the language of the certificate should include at least Chinese .

**2.2.5** The information in the certification certificate shall be true, accurate, not misleading, and shall contain at least the following :

(1) The name of the certified organization, its unified social credit code, registered address, and the business addresses covered by the certification. If the certified management system covers multiple locations, the address information of all locations covered by the certification should be described;

Note: Temporary locations may not be included in the certification certificate. When temporary locations are shown on the certification certificate, they should be indicated as temporary locations.

(2) The scope of products, activities and services covered by the certified organization's management system ; including the corresponding scope of certification for each site, without misleading or ambiguous information (where applicable);

(3) The complete standard number of the then-current valid version of the certification standards GB/T 19001/ISO 9001 , GB/T 24001/ISO 14001 , and GB/T 45 001/ISO 45 001 on which the certification is based;

(4) The certificate issuance date and expiry date. The certificate shall indicate that the certified organization must undergo periodic surveillance audits and pass the audits in order for the certificate to remain valid.

(5) Certificate number (or unique identification code);

(6) Name and address of the certification body;

(7) Certification mark, relevant accreditation mark and accreditation registration number (where applicable);

(8) Ways to query certificate information and certificate status.

### **2.3 Certification mark**

**2.3.1** The design, text, and name of the certification mark developed by ZRRZ must not violate the provisions of laws and administrative regulations, must not be the same as or similar to the



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certification mark promoted by the state, must not hinder social management, and must not damage social morality.

2.3.2 The ZRRZ certification mark is shown in the image below:



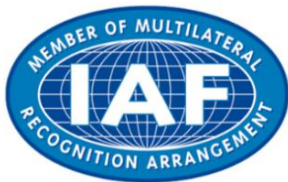
2.3.3 IAS Accreditation Mark: Certification

certificates issued by ZRRZ within its IAS-accredited business scope bear the ZRRZ certification mark and the accreditation mark of the International Accreditation Service (IAS), as shown in the image below:



MSCB-344

The certification certificate for management system certification also bears an internationally recognized joint accreditation mark, which is a combination of the international mutual recognition mark and the IAS accreditation mark, as shown in the image below:



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2.3.4 ZRRZ logo:

To distinguish itself from other companies, ZRRZ uses a unique logo, as shown below:



2.4 Requirements for certified organizations to use the ZRRZ certification mark and accreditation



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mark

2.4.1 ZRRZ has the ownership and right to use the ZRRZ certification mark. The certified organization can use the ZRRZ certification mark within the certification validity period and certification scope , and can also use it conditionally. IAS accreditation mark.

2.4.2 Organizations with certified management systems shall not use [this method] on their products or packaging. ZRRZ certification mark and IAS accreditation mark. However, a management system certification may be declared in writing on the product or packaging, provided that the following requirements are met:

The statement includes:

- Name of the certified organization;
- Management system types and applicable standards;
- The full name of ZRRZ.

2.4.3 The ZRRZ certification logo can be used on relevant documents, stationery, postal letters and publications, and the certification registration number must be marked below the logo.

2.4.4 When using ZRRZ certification logos and other patterns, they must be enlarged or reduced in proportion to the pattern provided by ZRRZ, and must not be deformed. The writing must be clear;

2.4.5 Before using the ZRRZ certification mark, certified organizations must submit their use plan to the ZRRZ for record. They must also undergo on-site inspections by the ZRRZ audit team to verify the conformity of the certificate and the ZRRZ certification mark. Any non-compliance must be rectified as required.

2.4.6 Handling of misuse or abuse of certification certificates and certification marks

2.4.6.1 Certified organizations must not engage in misleading advertising that ZRRZ deems misleading to customers. Upon discovery of incorrect advertising or misleading use of certification certificates and marks, ZRRZ will take the following regulatory measures, up to and including revocation of certification and legal action:

- (1) Issue a non-compliance report, requiring the certified organization to take corrective measures to rectify within a specified period and report the rectification status to ZRRZ. ZRRZ will conduct on-site verification during the supervision and audit.
- (2) If the certified organization fails to complete the rectification on time, ZRRZ will regard it as an infringement , suspend its certification qualification, and require the certified organization to make a commitment and guarantee to eliminate the impact.
- (3) When the problem is serious, ZRRZ will revoke its certification and take appropriate legal



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measures.

#### 2.4.6.2 Suspension and restoration of certification certificates and logos

When a certified organization's certification registration is suspended by ZRRZ, it will be notified in writing of the suspension of its certificate and logo. When a certified organization's certification registration is reinstated by ZRRZ, ZRRZ will issue a "Notification of Reinstatement of Certification Registration" in writing, notifying it that it can resume using its certification certificate and logo.

2.4.6.3 When a certified organization's certification is revoked or cancelled, it should immediately cease using the certification certificate and logo.

### 3. Requirements for Information Notification

#### 3.1 Requirements for Notifying Changes in Certified Customer Information

3.1.1 According to relevant requirements, certified customers must immediately report any major accidents involving their products to ZRRZ . The content of the report shall include: basic circumstances of the accident, response measures taken, and description of the implementation of the measures.

3.1.2 When a certified customer encounters the following situations, they should notify ZRRZ of the following information:

- a) Change the legal representative and / or principal responsible person;
- b) Significant changes have occurred in the products covered by the management system;
- c) Significant changes have been made to the organizational structure and management ( including key personnel, equipment, facilities, or other important resources ) ;
- d) The management system documents have undergone significant revisions, and there have been major changes to the management system and processes.
- e) The results of supervision and spot checks by the state, industry, and higher-level competent authorities, and the non-compliance found during the supervision and spot checks;
- f) Significant user complaints, major quality incidents, major environmental incidents, and major safety incidents have occurred.
- g) Changes in the nature of the enterprise or changes in its name;
- h) Changes in applicable legal and regulatory requirements.
- i) Other important information includes changes to legal status, business operations, organizational status or ownership, number of employees, address, contact information, telephone number , and any closures of any premises.

ZRRZ was not notified in a timely manner of any significant changes to the certified organization (significant changes to name, registered / operating location, business



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activities, products, major quality incidents, environmental incidents, safety incidents, major consumer complaints, etc.). ZRRZ reserves the right to suspend or revoke certifications . For urgent matters , please contact ZRRZ by phone or fax. Contact us, and ZRRZ will provide dedicated assistance and guidance to certified organizations.

**3.2** When any of the following situations occurs, ZRRZ will promptly pass the information to the certified customer:

- a) Changes in national certification policies and regulations;
- b) Changes and revisions to national management system certification standards;
- c) Information on the certified client' s non-compliance with laws and regulations, and the specific measures ZRRZ intends to take;
- d) Changes in correspondence address, telephone number, etc. ;
- e) Changes to other relevant matters.

#### **4. Instructions for searching the list of certified parties**

All ZRRZ Certified organizations and their relevant certificate information can be logged in ZRRZ You can check the public website through the "Certificate Query \_ column; the website address is: <http://www.zrrz.org.cn> .

ZRRZ The list of certified clients will be submitted to CNCA , and certified clients can log in to the relevant website to check.

customer directory or other information, you can directly contact the company's management representative at: 0571-82171760 ,Email: [zrcert@163.com](mailto:zrcert@163.com)





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File change log

Change Page	Change Status	Changes	Change person	date
Page 44-45	Changed	2.3 Add IAS logo	Zhao Zhenhong	December 19, 2023
Pages 43-47	Changed	2. Certification qualification reference and certificate and logo usage requirements have been revised according to the new version of the certification rules	Zhang Shuyan	September 5, 2025
Pages 50-65	Changed	The attachment, the old version of the "Quality Management System Certification Rules," has been removed.	Zhang Shuyan	September 5, 2025