Terms and Conditions of Certification of

TÜV Rheinland Group in Greater China

www.tuv.com

TÜVRheinland®
Precisely Right.

Special Terms and Conditions of Certification under CNAS Accreditation

The regulations set forth herein apply in addition to the General Terms and Conditions of Certification and are restricted to accredited certification schemes under CNAS accreditation.

For the purpose of these Special Terms and Conditions of Certification, the term "CNAS Accreditation" will also include the terms "Accreditation Rules", "Accreditation Requirements", "Accreditation Standards" and "Accreditation Procedures" and will apply mutatis mutandis also to the procedures of published by CNAS. Applicable rules:

- International accreditation standards: ISO/IEC 17021, ISO 19011.
- Accreditation standards specific for the relevant certification standard: TL 9000 Manual for Telecommunication industry.
- Certification standards: GB/T 19001-2016, GB/T 24001-2016, GB/T 28001-2011, GB/T 45001-2020 and in English: TL9000:2016.
- Accreditation rules defined by CNAS. e.g.: CNAS-R01, CNAS-RC01, CNAS-RC02, CNAS-RC03, CNAS-RC05, etc...
- Certification regulations defined by CNCA.

1 General Terms and Conditions for Accredited Certification Schemes

1.1 Certification audit

1.1.1 Certification audits consist of two stages. Stage 1 aims at obtaining an overview of the management system and its maturity (status of implementation). After this information has been obtained, the stage 2 audit may be performed, which assesses the establishment of and compliance with the management system.

1.1.2 The stage 2 audit may be carried out directly after the stage 1 audit. However, if the stage 1 audit reveals that the organization is not yet ready for certification, the stage 2 audit may not be carried out directly after completion of the stage 1 audit. In this case, the client must first take appropriate action to make the organization ready for certification. Any additional costs arising therefrom for the client or for us, i.e. including travel costs, travel times and time lost, shall be borne by the client.

1.1.3 The interval between the stage 1 and the stage 2 audit must not exceed 6 months. Should more than 6 months elapse between the stage 1 and the stage 2 audit, the stage 1 audit shall be repeated. Any additional costs arising therefrom for the client or for us, i.e. including travel costs, travel times and time lost, shall be borne by the client.

1.1.4 When the interval is set between the stage 1 and the stage 2 audit, allowance shall be made for both the client's requirements and sufficient time for the correction of weaknesses. Generally, most of the auditing time is spent on the stage 2 audit.

1.1.5 If we are not able to verify the implementation of corrections and corrective actions of any nonconformity within 6 months after the last day of stage 2, we have to conduct another stage 2 prior to recommending certification.

1.2 Surveillance audit

1.2.1 To maintain validity of the certificate, on-site surveillance audits shall be carried out at least annually. The due date is determined by the date of the certification decision of the initial certification audit. The first surveillance audit after the certification audit has to be carried out not later than 12 months after the certification audit decision.

1.3 Re-certification audit

1.3.1 To renew certification for another three-year period, a re-certification audit shall be held at the client's organization prior to expiry of certificate validity.

1.3.2 The procedure is similar to that of a certification audit, where the necessity and scope of a stage 1 audit are determined subject to changes in the client's management system, the client's organization or the context in which the client's management system is operating.

1.3.3 Upon successful re-certification, the term of the certificate is extended by another 3 years, starting from the date of expiry date of the previous certificate. The re-certification audit and the positive certification decision must have been done by the expiry date.

1.4 Short-notice audits

A special audit may become necessary at short notice for the following reasons:

- Serious complaints and other circumstances of which the certification body becomes aware, which challenge the effectiveness of the client's certified management system and which cannot be eliminated in written form or within the next scheduled audit (e.g. alleged violation of law on the part of the client or its executives).
- Changes at the client which impair the management system's effectiveness in such a way that the organization no longer complies with the requirements of the standard.
- As a consequence of a suspension of the client's certification.

1.5 Multi-site certifications

1.5.1 Multi-site certifications may be applied to organizations maintaining multiple sites or branches functioning exclusively as field offices.

1.5.2 Multi-site certification is possible if the following criteria are fulfilled:

- All sites maintain a legal or contractual relationship with the organization's headquarters.
- Products/services are basically identical at all sites and are produced using identical methods and processes.
- A uniform management system has been defined for, and is established and maintained in, all branches/production facilities.
- The entire management system is monitored centrally under the direction of the Management Representative at the organization's central office, who is authorized to issue management system-related instructions to all branch offices/production sites.
- Internal audits and management reviews have been carried out at all branch offices sites.
- Certain areas carry out centralized activities on behalf of all branch offices/production sites, e.g. product and process design and development, purchasing, human resources (HR), etc.

1.5.3 In cases involving multi-site certification, the on-site auditing of sites may be spread over certification and surveillance audits. Headquarters must be audited annually in addition to the sampled sites.

1.5.4 We select the sites to be audited.

2 Standard-specific terms and conditions for accredited certification schemes

Terms and conditions applicable to certain accredited certification schemes, which must be observed in addition to the General Terms and Conditions outlined under Art. 1 above, are listed below, separately for each specific standard concerned.

2.1 Supplementary terms and conditions for management systems as per ISO 9001, TL9000, ISO 14001, BS OHSAS 18001 and ISO 45001.

2.1.1 These supplementary terms and conditions apply to the certification of management systems as per ISO 9001, TL9000, ISO 14001, BS OHSAS 18001 and ISO 45001.

2.1.2 Supplementary terms and conditions for stage 1 audits as per ISO 9001, TL9000, ISO 14001, BS OHSAS 18001 and ISO 45001.

In cases involving initial certification, the stage 1 audit shall always be conducted on site.

2.1.3 ISO 9001 and TL9000 certificate shall contain the certified organization address which shall be consistent with its proof of legal status.