

General Procedure for Management Systems Certification

1 Application of Certification

1.1 Clients applying for management system certification shall submit a formal application signed by the legal representative or the authorized representative to BCC Inc., including the description of the production organization or service activities of the applicant organization. Please refer to the appendix for details of the application and attachments:

1.2 BCC shall provide the public accessible documents to the applicant;

1.3 The applicant organization commits: to comply with the certification requirements and provide the necessary information for audit; and to accept the on-site witnessed certification audit arranged by CNAS , and the related accreditation body, and to provide necessary co-operation during the process of witnessed certification audit;

1.4 BCC will decide whether to accept, not to accept the application, or to accept after improvement within the 30 work days (for FSMS contract, the duration will be 15 work days. For HACCP contract, the duration will be 10 work days) after the contract review upon the application received, and notify the audit client (auditee);

1.5 Both parties will sign the “Management system certification contract”.

1.6 The information received will be used in the preparation for the on-site audit.

2 Preparation for the On-site Audit

2.1 The preparation of the auditee for the audit

The applicant organization (auditee) shall establish a documentary management system in quality, environment, occupational health and safety, food safety in accordance with the standard applied for before the on-site audit. The operation duration shall be up to 3 months (For energy management system or implantable medical device products apply for organization of medical device quality management system, the system running time at least 6 months or more) and at least one internal audit and management review shall be conducted. For EMS, OHSMS and FSMS, and HACCP, the evaluation of compliance to the laws and regulations shall have been conducted. For FSMS and HACCP, when there are more than one site, there shall be internal audit for every site within one year before the certification.

2.2 The preparation of BCC for the audit

2.2.1 The team leader is responsible for the document review of the management system. He/she will notify the applicant organization (auditee) in written to revise and improve the management system documents.

2.2.2 BCC will communicate with the applicant organization (the auditee) to determine the audit date, and send the Notification of the Audit Program Arrangement to the auditee for whom to confirm the members of the audit team, the audit time schedule and arrangement. If the auditee may require the relevant Certification Division to negotiate and resolve any disagreement raised on the contents of arrangement and the team members.

2.2.3 BCC will establish a competent audit team. The team leader will prepare the audit plan and

make preparation for the audit and conduct the on-site audit. The audit plan shall be sent to the applicant organization (auditee) in advance for confirmation.

2.2.4 In accordance with the requirements of the certification rules, the supervision and audit, follow-up review, and recertification audit of the social responsibility management system (SA8000) shall inform the applicant organization (audited party) of the specific or window period (such as the 3-day arrangement during a certain 4 week period, but it cannot The specific 3 days, the supervision and audit of the single site organization applies) audit time and audit plan arrangement.

2.2.5 The team leader may decide whether to conduct a pre-visit to the applicant organization (auditee) if necessary.

2.2.6 BCC may arrange a pre-audit on the management system upon the request of the applicant organization (auditee), in accordance with the following:

2.2.6.1 The pre-audit to the same applicant organization may be conducted only once;

2.2.6.2 The many-days of the pre-audit shall not exceed 50% of that of the formal audit;

2.2.6.3 The formal audit man-days shall not be reduced because of the pre-audit conducted.

2.2.7 The initial audit shall be conducted in two stages.

2.3 BCC shall notify the auditee in advance of the relevant information if an observer needs to be arranged in a witnessed audit or with the requirement of the related governing department. The applicant shall co-operate to accept the observer and provide the relevant condition.

3 On-site Audit:

The audit team will conduct the audit on the auditee's management system of the product scope specified in the contract in accordance with the certification criteria appointed by the auditee; The main procedure is as follows:

3.1 Holding the Opening Meeting

The first meeting is usually presided over by the audit team leader. The top management of the client, the person in charge of the department undergoing the audit, the audit team members and accompanying persons attend the first meeting. The team leader will introduce the team member and the work division, and will state the audit objectives, the documents based on, the audit scope, audit method, procedure, any condition that may lead to the termination of the audit, all the arrangements and the matters that should be clarified. The audit plan will be confirmed in the opening meeting. If required by the applicant organization, the members of the review team shall present their identity documents (identity card) to the applicant organization.

3.2 Conducting the On-site Audit

3.2.1 The audit team will collect the objective evidence to evaluate the conformity, suitability and effectiveness of the management system of the applicant organization (auditee) and prepare the List of Nonconformities. The audit team may propose the direction of the improvement in the on-site audit but the specific resolution program shall not be proposed.

3.2.2 BCC shall confirm that the applicant organization (auditee) has completed an evaluation on the compliance evaluation to the laws and regulations and has taken corrective actions to the nonconformities in order to confirm the conformity of the operation by the applicant organization.

3.2.3 During the first audit, the audit team will confirm the degree of integration of IMS

(Integrated Management System). When necessary, the review time determined based on the information obtained during the application phase will be reviewed and adjusted.

3.2.4 During the initial audit, if non-conformities are found in the first stage of the audit, the organization shall carry out rectification, and the second stage on-site audit can only be carried out after the rectification is completed. If the first-stage audit evidence shows that it cannot be carried out in accordance with the pre-planned second-stage audit time, the organization shall first carry out rectification and re-determine the second-stage audit time after the rectification is completed.

3.3 The audit team will conduct internal review. The conclusion of minor nonconformity or major nonconformity will be made. The audit team will make a full evaluation on the conformity, suitability and effectiveness of the management.

3.4 The evaluation principles of the nonconformity types:

3.4.1 The major nonconformities mainly include the following: The management system does not conform to the management system standard or the requirements documents. The nonconformity leads to systematic and regional defect or serious invalidation, or the nonconformity leads to the serious result.

3.4.2 The minor conformities mainly include: Occasional mistakes; none compliance with the documents occasionally without serious results; nonconformities without serious impact on the systems.

3.4.3 The social responsibility management system (SA8000) also has key non-conformities and deadline non-conformities. The former refers to a serious violation of the SA8000 standard, which will result in a serious impact on human rights, life safety and / or the reputation of SA8000, SAI or SAAS, including violations of ethical standards; direct threats to workers ' lives; serious and deliberate violations of human rights. The latter is when the applicant organization (who is being examined) meets the requirements of local laws but does not meet the higher requirements of the SA8000 standard (and vice versa), including that the wages paid to employees are social minimum standards rather than living wages, working hours and Overtime hours exceed the maximum time allowed by SA8000 requirements or local regulations.

3.5 The audit team will prepare the audit report with the conclusion made. The audit conclusion will be four types:

3.5.1 The established and implemented management system has conformed to the standard requirements, and the audit team agrees to recommend to registration.

3.5.2 The established and implemented management system basically meets the requirements of the standard, and there are some minor non-conformities. After the corrective and corrective measures/plans are verified as qualified. The recommend to registration will be postponed.

3.5.3 to establish and implement the management system, there are serious nonconformity in the short term (within three months) can take corrective measures, suspend recommend certification registration;

3.5.4 The established and implemented management system does not conform to the standard requirements and the applicant organization can not be proved that it is competent to provide the products/services that meet customer and applicable statutory and regulatory requirements. Disagree with recommended certification registration.

3.6 The audit team will report the audit status to the leader of the auditee, confirm the

nonconformities and make the audit conclusion considering the opinion of the auditee.

3.7 The final meeting is usually presided over by the audit team leader. The participants in the meeting are generally the same as the first meeting. The top management of the client, the person in charge of the audited department, the audit team members and escorts attend the final meeting, and may also include the audit client and other parties. The team leader will hold the closing meeting to introduce the audit status announce the audit report and audit conclusion and to illustrate that the on-site audit conclusion is a recommended conclusion. The requirements and deadline of the corrective actions, the devices of verification will be indicated as well. The types of the verification include the following:

3.7.1 Document verification will be used to verify the results of corrective actions;

3.7.2 The member of the audit team will be assigned to verify the results of the corrective actions at the premises of the auditee;

3.7.3 The verification will be conducted with the surveillance audit if the effectiveness of the corrective actions will only reveal after a long term

4 The Approval of the Certification

4.1 Condition of the Approval of the Certification

4.1.1 The management system conforms to the requirements of the standard applied for, including the appropriate exclusion (for QMS only);

4.1.2 Effective implementation of the client's management system, which conforms to the requirements of the standard/certification accordance;

4.1.3 The policies and objectives have been understood and implemented by the staff. The quality consciousness of the staff has been improved;

4.1.4 The quality of product/service conforms to the relative requirements of standards, regulations and customers are satisfied;

4.1.5 The management system has been improved to be competent to realize the objectives, with the correction and corrective actions implemented through the internal audit and management review or other device;

4.1.6 Internal audit and management review have been implemented. The auditee is competent to find out the problems of its system. The mechanism of self-improvement and effective operation has been established;

4.1.7 The organization has complied with the requirements of relative laws, regulations and conformed to the standards. Each interested party is satisfied;

4.1.8 Upon approval of the examination, not in the authentication of other matters (such as qualification certificate is complete, no customer complaints, qualified in the supervision check of quality/environment/safety administration departments, no serious accidents)

4.1.9 The certification qualification will not be granted before the verification completed or the verification proved to be valid.

4.1.10 If the serious non-conforming corrective and corrective measures cannot be effectively verified within 6 months after the completion of the two-stage audit, after the second-stage audit is performed, the certification is recommended.

4.1.11 For the projects of the social responsibility management system (SA 8000), the interval

between the first-stage audit and the second-stage audit of the certified organization should not exceed 6 months, if it exceeds 6 months, a one-stage audit should be conducted again. The arrangements for surveillance audits are: i) For a single-site certification organization, the first surveillance audit should be implemented within six months of the initial certification or recertification decision. Subsequently, an on-site supervision audit or recertification will be conducted once a year. There is a document review between the two on-site supervision reviews. ii) Multi-site certification organizations shall conduct a surveillance audit every 6 months. The first surveillance audit shall be conducted within 6 months from the initial certification or recertification decision. At the same time, at least one supervisory audit every year should be during the peak season or peak of organizational activities. When the Certified Organization has a complaint, major change, or serious non-compliance, it is possible to implement additional on-site audits. The recertification audit should be conducted within 30 months from the initial or recertification decision

4.2 After the non-conformance items of the applicant organization (audited party) are verified and closed by the audit team, the business divisions of BCC will conduct certification decision evaluation on the audit conclusions. The persons that make the certification decisions shall be different from those who carried out the audits.

4.3 The certification registration will only be approved after the certification fees regulated in the contract has been collected.

4.4 The General Manager/authorized person will approve the certification decision. The certificate will be issued by the General Manager.

4.5 Each business department of BCC is responsible for registration after passing the certification, issuing certification certificates, and in the BCC website management system certification registration unit list.

4.6 The contents of the Announcement include: name, registration number, certification standard, certification scope, geographic location (geographic location of all the sites and headquarter in the multi-site certification) ,the validity of the certificate.

4.7 For units that cannot be approved for certification. The General Manager will issue the Notification of Disapproval of Registration to indicate the reason of unqualified. After 6 months the applicant organization can re-apply for certification.

5 The Transfer of Certification

5.1 BCC will recognize the current valid management certificate issued by the accredited CB. BCC conforms to the non-discrimination principle to accept the transfer application of the applicant (certified auditee) and issue the certificate.

5.2 Transfer Conditions

5.2.1 Only certificates recognized by the International Accreditation Forum (IAF) or Regional Multilateral Mutual Recognition Agreement (MLA) contracting bodies at Level 3 of the Mutual Recognition Structure (including Level 4 and Level 5 of the Mutual Recognition Structure when applicable) are eligible for transfer. IAF MLA mutual recognition structure hierarchy can be found in IAF PR4 Structure of the IAF MLA and List of IAF Endorsed. At present, the management system certification fields and standards involved in this mutual recognition structure level document include: ISO9001: 2015, ISO14001: 2015, ISO27001: 2013, ISO22005: 2005. At the

same time, it should be noted that the recognized scope of the original certification body of the certification certificate to be converted is within the MLA scope of the recognized body. When it cannot be confirmed, the BCC Legal Technology Department should confirm with the accreditation body.

5.2.2 Other management system certifications recognized by CNAS issued by the original certification authority, and BCCs with qualifications in the corresponding field can be converted into certifications with CNAS accreditation marks; other management system certifications recognized by ANAB, and BCCs have corresponding Recognized qualifications can be converted into certifications with ANAB accreditation marks;

5.2.3 The certification transfer is limited to the currently valid recognized certification.

5.2.4 According to the certification transfer requirements of CCAA, conversion can only be carried out when one of the following conditions is met:

- 1) In the process of certification of the certified organization, the original issuing organization violated relevant laws, regulations, accreditation norms, and industry self-regulation norms, and the transferred organization or certified organization can provide evidence;
- 2) The original issuing authority was punished by the administrative supervision department, accreditation body, and industry association within the validity period of the certificate;
- 3) The conversion of the certificate does not cause the original certificate to become invalid. The certified organization holds multiple certificates at the same time and continues to accept the original certification body's supervision of the original certificate;
- 4) When a certified organization holding multiple certification body certificates needs to reduce the number of certification bodies;
 - a) When the certificate of the transfer-out organization can be queried on the CNCA website and is in a valid state, and the certified organization issues a statement;
 - b) When the certificate of the transfer-out institution cannot be queried on the CNCA website, and the certificate-issuing organization issues a statement;
 - c) When the certificate of the transfer-out institution is in an invalid state and a statement is issued by the certified organization;
 - d) When the certificates of the transferring institution and BCC are in an invalid state, and the certification organization issues a statement;
 - e) When the certified organization is not satisfied with the services of the original certification body, or the certification body needs to be changed according to the development needs of the certified organization, and the certified organization can issue a written statement;
- 5) The original certificate of the certified organization will expire when the original agency certification period expires, and the certificate will expire soon, and the certified organization will voluntarily convert and can issue a statement (the time period for CCAA to accept the certificate is about to expire. Certificates that are about to expire within three months, such as those processed in March 2012, certificates that expire before the end of June 2012 are regarded as certificates about to expire);
- 6) The certified organization believes that the original organization has objections to the "temporary ban information" that it has suspended or revoked the certificate, and after

submitting to the CCAA, the CCAA verifies that the reason for the temporary ban is untrue;

7) The certified organization enters the suspension information of suspension and cancellation of the certificate from the original organization within three months before the certificate expires. After the BCC first submits the conversion application, the CCAA verifies that the reason for the temporary suspension is untrue;

8) The certified organization cannot issue a certification with a accreditation mark to the certified organization within the approved business scope, while the BCC can issue a certification certificate with an accreditation mark and a statement is issued by the certified organization.

5.2.5 In the following cases, BCC will not accept Certification Transfer applications within one year:

- 1) After the initial audit of the applicant organization by other certification bodies, the conclusion is that certification registration is not recommended.
- 2) The original issuing organization implemented supervision and review of the certified organization, and concluded that it is not recommended to continue to use the certification certificate.
- 3) After recertification of the certified organization by the original certification authority, the conclusion is that recertification is not recommended.
- 4) The certification was suspended or revoked by the original issuing authority.

5.3 Procedure for Certification Transfer

5.3.1 The Application for Transfer

The certified organization that intends to convert the certification certificate must complete the application procedures: *The Application for Transfer of Certification* shall be filled in and the reason shall be illustrated with the relevant documents provided.

- Certificate granted by the accredited
- Documentation of the legal status, including business license, qualifications and license if necessary
- Documentation of management system, including: management system manual and related procedure documents
- The last certification or recertification audit report, subsequent surveillance audit report and any non-conformance reports found during these audits but not yet closed, and the evidences of corrective action taken for closure of the corrective measures.

5.3.2 The Review of the Certification Transfer

- Application of certification transfer shall be submitted to CCAA for recording, including the transfer reason and following relevant background materials. The transfer contract will be accepted only after the application for recording has been approved by CCAA. Otherwise the contract will not be acceptable.
- The pre-conversion review includes document review and after the document review determines the required further measures (eg site visit). If feasible, BCC should contact the certification authority and obtain all documents and information required for the conversion before conversion.
- The application documents shall be reviewed: confirm whether the certified organization's

products / services are within the scope of business approved by the BCC, the reason for the conversion, and whether the approved certification held by the site (or multiple sites) to be converted is true and valid And the scope of activities covered by the certification is valid, the initial certification audit or the most recent recertification audit report and the follow-up supervision audit report and non-conformance report, as well as the corroborative data on the closure of the corrective measures, the audit established by the original certification body Plan review, any commitment or agreement between the current organization and the regulatory authority in terms of compliance;

- On-site review: if there is any doubt on the certification sufficiency, the reviewer shall be arranged to conduct on-site review or to verify the results of corrective actions on the premises of the applicant and the nonconformities will be closed after the verification. During the on-site visit, attention should be paid to the sufficiency, effectiveness and suitability of the system for continuous operation.
- If the BCC still has doubts about the adequacy of the applicant ' s certification after the pre-transition review and / or on-site visit, the decision to approve the transition should not be taken, but should be treated as a new client and audited as a preliminary review .
- When accepting the conversion of a certified customer of the Social Responsibility Management System (SA8000), SAAS should be formally notified and given an official response after the audit is arranged and before the on-site audit so that SAAS can provide known issues or unresolved complaints related to the customer . If the client ' s original institution no longer holds SAAS accreditation, BCC will evaluate and decide which method of special verification should be arranged before acceptance according to the client ' s country and SAAS rules.

5.3.3 Registration of the Transfer Certification

In the case that there is no outstanding nonconformity /potential problem is identified through the document review or on-site review, or the corrective actions had been taken to the nonconformities detected in the on-site review, the nonconformities will be closed after the corrective actions verified. The transfer will be approved by the General Manager of BCC and the certificate will be issued.

5.3.4 Regulation on Certificate Valid Date

- The date of issuing shall be on which the certification is approved by the General Manager; The validity period of its certification still maintains the validity period of the original certification body and its corresponding supervision/re-certification interval;
- If the on-site review shows that the applicant organization is unqualified as indicated in 5.2.3 or the operation of the management system has any discrepancy with the requirements, the direct transfer will be inappropriate. On the premises of respecting the applicant's willingness, the applicant will be treated as new client and the initial audit or re-certification will be arranged. The certificate validity will be accounted from the date of approval of the certification decision.