

Rules for Implementation of Commodity After-sales Services Certification

1. Purpose and scope

1.1 In order to standardize the after-sales service certification activities of commodities and unify the requirements of GAIA Standard Technical Services (Jiangsu) Co., Ltd. (hereinafter referred to as GAIA) commodity after-sales service certification, these rules are formulated in accordance with the relevant laws and regulations such as the Regulations of the People's Republic of China on Certification and Accreditation, the Administrative Measures for Certification Bodies and the Announcement of the CNCA on the Filing of Certification Rules.

1.2 The purpose of these rules is to elaborate on the requirements for applying, implementing and maintaining the after-sales service certification of goods, which are applicable to all applicants and certified organizations applying for GAIA after-sales service certification, and are also applicable to GAIA to carry out after-sales service certification.

2. Certification criteria

GB/T 27922-2011 Commodity after-sales services evaluation system.

3. Requirements for certified personnel

The certification examiner shall obtain the service certification

examiner registration qualification issued by the certification personnel registration body (CCAA) determined by the CNCA.

4 Certification methods

4.1 Document review + initial on-site review + post-certification supervision

5. Certification process

5.1 Application for Certification

5.1.1 Division of application units

1) SC03 Wholesale and retail services;

5.1.2 The applicant shall meet the conditions for service certification

- 1) If it has legal status and has administrative licensing requirements, it shall obtain a valid license certificate;
- 2) A documented service system has been established;
- 3) In the past three years, there have been no major liability accidents related to the field to be applied for;
- 4) Evidence that the certification entity has not been included in the relevant directory of seriously untrustworthy entities in the national credit information.

5.1.3 Documents and information to be submitted by the certification applicant

When applying for certification, customers should submit a formal written application, fill in the certification application form truthfully, and submit the following materials at the same time:

- 1) Evidence of relevant statutory qualifications, such as: business license, production and operation license, etc.;
- 2) Customer's service process management documents and service standards and technical specifications;
- 3) service flow chart and related documents;
- 4) A statement that the entrusted certification service complies with the requirements of relevant laws and regulations, and complies with the commodity after-sales service certification rules and commodity after-sales service certification standards;
- 5) Evidence that has not been entered into the relevant directory of seriously untrustworthy entities in the National Credit Information;
- 6) Copies of other third-party certifications (if any).

5.2 Certification acceptance and review

5.2.1 GAIA shall disclose at least the following information to the certification applicant:

- 1) Scope of certification business;
- 2) Rules for the implementation of this certification;
- 3) the rights and obligations of GAIA and the applicant for accreditation;

- 4) GAIA's procedures for handling grievances, complaints, and disputes;
- 5) Provisions for the approval, cancellation, alteration, restoration and revocation of certification certificates;
- 6) Requirements for the use of certification certificates and certification marks.

5.2.2 Application Review

GAIA shall review the submitted application documents and materials within 10 days and make a decision on whether to accept them, and keep the review record. For the accepted application, the certification body shall sign a certification agreement with the certification client, stipulating the rights and obligations of both parties.

If the applicant's application for accreditation is not accepted, GAIA shall notify the accreditation client in writing and explain the reasons for the rejection.

5.3 Review Preparation

GAIA shall agree with the applicant on the relevant responsibilities and arrangements for each link of the certification review and implementation, and determine the specific plan for the implementation of the service certification review according to the actual situation of the auditee and in accordance with the requirements of these rules.

5.3.1 GAIA shall form a review team according to the needs of the review,

and the requirements of the review team are as follows:

According to the scope of the certification applied, GAIA appoints an examiner with the appropriate competence to form an examination team. When the examiner's professional ability is insufficient, technical experts should be arranged to support the review of relevant professional content.

5.3.1.1 GAIA shall issue an audit notice and an examination task to the examination team before the on-site inspection, and notify the applicant and the examination team that the examination notice and task statement shall contain the following contents:

- 1) Review basis, including certification standards, certification implementation rules and other normative documents;
- 2) the scope of the review;
- 3) the leader and members of the review team, and plan the time for the implementation of the review;
- 4) Non-conformities raised by the certification body in the previous year (when applicable).

5.3.1.2 The review team shall formulate a written review plan, which shall be submitted to the certification client and confirmed after being approved by the certification body. The review team leader shall send the review plan to the auditee for confirmation before the on-site review, and if the auditee has different opinions and reasonable requirements, the review team leader shall adjust the plan.

5.3.2 Multi-site

When the applicant has multiple sites, the management personnel of the certification review program shall determine the location and quantity of sampling review according to the sampling principle, and describe them in the audit plan. When the supervision and review finds that there are multiple on-site changes, the review team leader shall promptly notify the audit department to adjust the review plan to ensure that the review is effective.

5.3.2.1 Sampling principle

Venues with the same or similar services in different service venues may conduct a sample review.

5.3.2.2 Sampling requirements

The number of places is taken to the square root and rounded up.

5.4 Review and implementation

5.4.1 Document review

Before the on-site review is carried out, GAIA shall arrange personnel to review the service management documents of the certification applicant organization and confirm that the service management documents of the certification application organization meet the requirements of commodity after-sales service certification and relevant regulatory requirements. The document review personnel are responsible for the review team leader, and when the team leader does not have professional ability, the review team

has professional personnel to complete the document review.

5.4.2 On-site review

5.4.2.1 The on-site review shall start from the first meeting to the end of the last meeting, and the on-site review shall include at least the following:

- 1) Convene the first meeting;
- 2) On-site review, collection and verification of audit evidence;
- 3) Confirm the findings of the examination;
- 4) Final meeting.

5.4.2.2 On-site review, collection and verification of information

The purpose of the on-site audit is to evaluate the effectiveness of the implementation of customer service, the purpose of which is to evaluate the effectiveness of the implementation of customer service. The review should be conducted at the customer's site and cover at least the following:

- 1) Evidence of compliance with all requirements of applicable service certification requirements or other normative documents;
- 2) monitoring, measuring, reporting and reviewing performance against key performance objectives and indicators;
- 3) customer management capabilities and performance in compliance with applicable legal and regulatory requirements and contractual requirements;
- 4) operational control of customer service;
- 5) customer-specific management responsibilities;
- 6) Handling of customer complaints.

5.4.2.3 Review information collection methods should include:

- 1) Interview;
- 2) Observation of processes and activities;
- 3) Review documents and records.

5.4.2.4 Identify and document review findings

- 1) When documenting the findings of the audit, the examiner shall provide a brief description of the conformity, a detailed description of the nonconformity, and the evidence of the audit that supports it, and shall document and report it to provide sufficient information for the decision to certify or to maintain the accreditation.
- 2) Improvement opportunities can be identified and documented, but findings that are demerit reviews should not be recorded as improvement opportunities.
- 3) In the case of a review of deductions, the examiner should record the findings against the specific requirements of the review criteria, including a clear statement of the deductions and a detailed identification of the objective evidence on which the deductions are based. Deductions should be discussed with the organization under review to ensure that the evidence is accurate and that the deductions are understood. However, the examiner should refrain from suggesting the cause or solution of the non-conformity.
- 4) The chair of the review team shall attempt to resolve any differences

of opinion between the review team and the organization under review regarding the evidence or findings of the review, and any unresolved points of disagreement shall be noted in the review report.

5.4.3 Prepare the conclusion of the review

5.4.3.1 Before the last meeting, the head of the review team is responsible for convening the review team to prepare the review conclusions. The review team shall:

- 1) review the findings of the review and any other applicable information gathered in the review against the purpose of the review;
- 2) Agree on the conclusions of the review, taking into account the uncertainties inherent in the review process;
- 3) identify any necessary tracking activities;
- 4) Confirm the appropriateness of the review programme or identify any required modifications (time or date of review, frequency of supervision, capacity).

5.4.3.2 There are usually the following three types of on-site review conclusions:

- 5) Recommend/maintain the application level certification registration: the review results meet the requirements of the corresponding application certification level or are found to be non-compliant, but the corresponding application certification level requirements are

met after rectification;

- 6) Recommend downgrade certification registration: If the review results find that there is no conformity, and the requirements of the application certification level cannot be met after rectification, but the requirements of the next level are met, the application for certification shall be submitted by the organization applying for certification and the downgrade assessment shall be processed;
- 7) Not recommending/suspending or revoking certification registration: The review results found that there were serious problems in the certification applicant organization, and it still could not meet the minimum star rating requirements after rectification.

5.4.4 Termination of Review

The review team shall report to the GAIA and terminate the review with the consent of the following situations:

- 1) The client does not cooperate with the review activities, and the review activities cannot be carried out;
- 2) There is a material inconsistency between the actual situation of the customer and the application materials;
- 3) Other circumstances that make it impossible to complete the review process;
- 4) Providing false information, dishonest.

5.4.5 Final Meeting

A formal final meeting with the client's management (and, where

applicable, the person responsible for the function or process being audited) should be held and attendance recorded. The final meeting, usually chaired by the head of the review, is to present the findings of the review, including recommendations on certification.

The final meeting should also include the following, in a level of detail consistent with the client's familiarity with the audit process:

- 1) Explain to the client that the examination evidence obtained is based on a sampling of information and therefore subject to some uncertainty;
- 2) the methodology and timeline for reporting, including any grading of audit findings;
- 3) any deductions identified by the customer during the audit;
- 4) Post-audit activities of the certification body;
- 5) Describe the complaint and grievance handling process.

5.5 Review report

The review team shall prepare a written examination report after the completion of each review and keep the evidence of receipt signed by the applicant. The report should include both positive and negative descriptions, especially those involving star deductions, and should be detailed and traceable. The review team should form the results of the review into a review conclusion based on the requirements of service accreditation, which can identify opportunities for improvement, but should not recommend specific solutions.

5.5.1. Preparation of review report

The head of the review team is responsible for the preparation of the review report, which should accurately, concisely and clearly describe the main elements of the review activities, including at least the following:

- 1) the name and address of the applicant organization;
- 2) apply for the scope and venue of the organization's activities;
- 3) the type, criteria and purpose of the review;
- 4) Information on the leader of the review team, members of the review team and their personal registrations;
- 5) Review the date and location of the implementation of the activity, including fixed and temporary sites; A description of deviations from the review plan, including an objective statement of the risks of the review and the uncertainties affecting the conclusions of the review;
- 6) Describe the review process and the review of the requirements;
- 7) The review team's opinions and recommendations on the rating of star ratings and whether they have passed the certification.

5.5.2. The audit team leader shall submit the complete review report to GAIA, and the review team leader shall be responsible for all the contents of the review report, and the ownership of the review report shall belong to GAIA.

5.5.3 Non-conformity and cause analysis, effectiveness of correction and corrective actions

5.5.3.1 The leader of the audit team is responsible for conducting an internal summary before the last meeting, and evaluating the audit evidence against the audit criteria to form audit findings. The resulting "non-conformance report" should be communicated and confirmed with the audited organization.

5.5.3.2 For the non-conformities found in the review, the leader of the review team shall, according to the nature of the non-conformity, require the subject to be reviewed within the specified time limit for cause analysis and take effective corrective and corrective measures to eliminate the non-conformity.

5.5.3.3 The leader of the review team shall review the correctives and corrective actions submitted by the audited organization and verify the effectiveness of any corrective and corrective actions taken to determine whether they are acceptable. If the cause analysis is not in place or the effectiveness of corrective/corrective measures is poor, the respondent shall be required to re-conduct the cause analysis and take effective measures until it is accepted.

5.5.3.4 The verification method for non-compliance with corrective measures can be written verification or on-site verification, and the verification requirements are as follows:

- 1) The written verification should be accompanied by corroborating materials, and attention should be paid to the validity of the

substantiated materials submitted by the audited organization, such as the logical sequence of time, the authenticity and validity of the verified materials, etc.

- 2) On-site verification, for non-compliance that cannot obtain the necessary trust through written verification, on-site verification should be arranged, and on-site verification should be accompanied by on-site audit records.

5.6 Certification Decisions

5.6.1 To facilitate the certification assessment, the review team leader is responsible for submitting complete review materials to provide information for certification assessment, and the review materials include:

- 1) Review the power of attorney for the task;
- 2) Document review report;
- 3) audit plan;
- 4) Minutes of the first and last meetings;
- 5) on-site review of records or evidence;
- 6) non-conformity reporting and non-conformance to corrective and corrective actions;
- 7) review reports;
- 8) Confirmation form of certification certificate content information;
- 9) Other necessary information.

5.6.2 The technical committee organizes the certification decision personnel to conduct a comprehensive assessment of the review materials submitted by the review team, and makes a certification decision after the review materials meet the requirements. The conclusions of the assessment

are as follows:

- 1) For the certification application organization that has been assessed and qualified, the certification service level shall be determined and the certification certificate shall be issued;
- 2) Supplementary evidence is required to determine whether to issue a certification certificate;
- 3) For the certification applicant organization that has been assessed as unqualified, a decision shall be made not to grant certification registration, and the certification applicant organization shall be notified in writing of the reason for the failure to register.

5.6.3 Appeal against certification decision

If the applicant has any objection to the result of the certification decision, he or she may file an appeal with GAIA (gaia@gaiasts.com) within 10 working days, and GAIA shall process it within 1 month and notify the applicant of the result.

5.7 Follow-up supervision

In order to ensure that the services provided by customers continue to meet the certification requirements, two routine surveillance reviews are conducted during the validity period of the certificate, and the first surveillance review after the initial certification shall be conducted within 12 months after the certification is obtained. Under normal circumstances, the second supervision review shall be conducted within 12 months from the end date of the first supervision review, and may be appropriately

extended under special circumstances, but the time interval between the two supervision reviews shall not exceed 15 months.

5.7.1 Consideration may be given to increasing the frequency of supervision when:

- 1) Serious accidents, media exposures or customer complaints from customers that have a greater impact;
- 2) Major changes in customers, including legal persons, organizational structures, related functions, service resources, etc.;
- 3) When the basis of certification changes;
- 4) In the event of other special circumstances.

5.7.2 The surveillance review shall include at least the following:

- 1) whether the laws and regulations involved in the service are continuously complied with;
- 2) The representative area and activities of the customer, including the main control department for the operation of the service system, and the service delivery process in contact with the customer;
- 3) monitoring, measuring, reporting and reviewing performance against key performance objectives and indicators;
- 4) any changes in the organization;
- 5) continuous improvement activities organized by the organization;
- 6) handling of customer complaints;
- 7) The use of certification certificates and marks.

5.7.3 Supervision and review results

1) If the results of the examination meet the requirements of the certification level, it is recommended to maintain the certification.

2) When the total score found in the surveillance review is lower than the certified level, the client shall analyze the reasons and complete the corrective and corrective actions within the prescribed time limit and provide evidence of the effectiveness of the corrective and corrective actions. The review team shall use an appropriate method to verify the effect of the customer's disposal of the deducted points and then make a final recommendation

- Maintain the certification qualification when the requirements of the level obtained are met after rectification.

- If the certification cannot be met but higher than the minimum level requirements after rectification, the certification will be suspended or the certification qualification will be maintained after the level is reduced.

- Revocation of certification if the minimum level requirements cannot be met after rectification.

5.7.4 Information notification system

In order to ensure the continued validity of the certification of the services of the certified organization, GAIA shall notify GAIA of the following information in a timely manner in a manner expressly agreed upon by entering into a contract with the certification applicant:

1) change in legal status, business status, organizational status, or ownership;

2) changes in organization and management (e.g., key service

management, decision-makers);

- 3) changes in contacts and locations;
- 4) Significant changes to the service process.

GAIA shall evaluate the information on the appeal and take appropriate measures as appropriate, such as renewing certificates, on-site audits, increasing the frequency of supervision, etc., and suspending or revoking accreditation.

5.8 Recertification

The certified organization shall submit an application for recertification to GAIA three months before the end of the validity period of the certification certificate, and the recertification process is the same as the initial certification, when the service process and scope of the certified organization have not changed, the review procedure can be appropriately reduced, and GAIA shall make a recertification decision based on the results of the recertification review.

6. Certification

6.1 Certificate requirements

6.1.1 The validity period of the certification certificate is 3 years. During the validity period, the validity of the certificate is based on the results of regular supervision after the certification is maintained. The content of the certification certificate should be marked at a minimum:

- 1) Name of customer/premises
- 2) address

- 3) Scope of Certification
- 4) Certified Star Rating
- 5) The implementation rules/standards on which the certification is based
- 6) Certificate number
- 7) Name of the issuing authority
- 8) Date of issue
- 9) Certificate expiration date
- 10) service certification marks and other content.

6.1.2 Certified Star Rating

According to the relevant requirements, the level of commodity after-sales service certification is divided into four levels: standard after-sales service, three-star after-sales service, four-star after-sales service and five-star after-sales service, with more than 95 points (including 95 points), five-star; 90 points or above (including 90 points), four-star; 80 points or above (including 80 points), three-star; 70 points or more (including 70), meet the standard.

6.2 Management of certification certificates

6.2.1 Certificate Changes

After obtaining the certificate, when there is a change in the content of the certification certificate or the basis of the certification, the customer shall submit an application for change to GAIA, and the certificate will be renewed after passing the GAIA assessment. The date of issuance and the

date of renewal of the certificate shall be indicated.

When the customer proposes to no longer retain a certified service site, it shall submit a written entrustment, and GAIA will cancel the original certification certificate and replace it with a new certificate after confirmation, and the original certificate shall be withdrawn and an announcement shall be made.

When expanding the scope of services and venues, on-site inspections should be arranged, and the relevant requirements are the same as those for initial certification; If the requirements are met, the certificate will be renewed.

6.2.2 Suspension, cancellation and revocation of certification certificates

When the customer violates these rules and other relevant certification requirements, the certification certificate shall be suspended, cancelled and revoked according to the regulations.

6.2.2.1 Suspension of Accreditation Certificates

In any of the following cases, the customer's certification qualification will be suspended for a period of up to 6 months, and it will be announced in an appropriate manner:

- 1) If the customer does not accept the certification supervision on time, or fails to notify GAIA of the change of the customer's contact information, resulting in the inability to contact and fail to carry out the supervision and review;
- 2) The supervision and review finds that the customer service ability

does not meet the certification requirements;

- 3) Improper use of certification certificates and certification marks;
- 4) The customer has a serious complaint about the customer's service, which is found to be true;
- 5) Failure to pay the certification fee on time.

GAIA shall suspend Client's certificate in part or in whole depending on the reasons for the non-conformity, and if necessary, reduce the scope of the certificate.

6.2.2.2 Revocation of Certification

If the customer has any of the following circumstances, the certification qualification will be revoked

- 1) Failure to reach the goal of rectification at the end of the rectification period;
- 2) The quality of customer service has seriously deteriorated, and there is a major quality accident, causing damage to customers;
- 3) Fraudulent acquisition of certification certificates by improper means;
- 4) transfer of certification certificate and certification mark;
- 5) Refusal to pay the certification fee.

6.2.2.3 Cancel the certification certificate

If the customer has any of the following circumstances, its certification registration qualification will be cancelled

- 1) Due to the change of certification basis and technical conditions, the customer cannot meet the new requirements;

- 2) After the expiration of the validity period of the certification, the customer no longer applies for re-certification;
- 3) The customer automatically waives the certification qualification due to business and other reasons.

6.2.2.4 Restore the certification certificate

When the reason for suspension is eliminated, GAIA reinstates the suspension certificate.

6.3 Handling of misuse of certificates and signs

For certificate holders who have misleading use of certification certificates and certification marks, GAIA shall, as appropriate, require them to take corrective measures or make decisions to revoke certification certificates and certification marks, publish violations and take further legal measures.

7. Information publicity

For organizations whose certification is registered, suspended, reinstated, or revoked, GAIA shall publish it on the GAIA website within 30 days.

8. Supplementary requirements

This certification rule is interpreted by Lyard Standard Technical Services (Jiangsu) Co., Ltd. (GAIA).