

1. Scope

These rules are used to regulate the carbon footprint certification activities carried out by the certification body in China.

2. Certification criteria

ISO14067: 2018 "Greenhouse Gases - Product Carbon Footprint - Quantitative Requirements and Guidelines".

PAS 2050:2011 Code for the Assessment of Life Cycle Greenhouse Gas Emissions of Goods and Services

3. Basic requirements for certification auditors

3.1 The certification auditor shall obtain the greenhouse gas verifier registration qualification issued by the certification personnel registration body (CCAA) determined by the CNCA.

3.2 Certification personnel shall comply with the laws and regulations related to the practice, and bear the corresponding legal responsibility for the authenticity of the certification audit activities and related certification audit records and product carbon footprint reports.

4. Certification process

4.1 Accept certification applications

4.1.1 The certification body shall disclose at least the following information

to the applicant organization:

- (1) The scope of certification business that can be carried out.
- (2) The full content of these Rules.
- (3) certification work procedures;
- (4) Certification basis;
- (5) Certification certificate style;
- (6) Provisions on the application and complaint of the certification process.

4.1.2 The certification body shall require the applicant organization to submit at least the following information:

(1) Application for certification, the application shall include a description of the scope and activities of the production, operation or service activities for which the certification is applied.

(2) Certificate of legal person qualification (industrial and commercial business license, certificate of legal person of public institution or registration certificate of legal person of social group);

(3) Obtain administrative license documents, qualification certificates, compulsory certification certificates, etc. (when applicable) stipulated by relevant laws and regulations;

(4) The business activities engaged in comply with the requirements of the relevant laws, regulations, carbon emission standards and relevant specifications of the People's Republic of China;

(5) a description of the business activities involved in the scope of carbon

footprint certification;

(6) Technical description documents between the process flow and carbon emissions of the applicant organization;

(7) Technical description documents between the production equipment of the applicant organization and the source of greenhouse gas emissions;

(8) List of laws and regulations related to carbon emissions of the applicant organization and compliance self-inspection documents;

(9) Greenhouse gas emission verification report prepared by the applicant organization.

4.1.3 The certification body shall review the application materials submitted by the applicant organization, and comprehensively determine whether it has the ability to accept the certification application according to the scope of activities and places of application for certification, energy medium, time required to complete the audit and other factors affecting certification activities.

The certification body shall not accept the certification application of the applicant organization that has been ordered by the law enforcement and regulatory department to suspend business for rectification or has been included in the "list of enterprises with serious violations" in the national enterprise credit information publicity system.

4.1.4 For those who meet the requirements of 4.1.2 and 4.1.3, the certification body may decide to accept the certification application; If the above requirements are not met, the certification body shall notify the applicant

organization to supplement and improve, or not accept the certification application.

4.1.5 Sign the certification contract

Before the implementation of the certification audit, the certification body shall enter into a legally effective written certification contract with the applicant organization, which shall contain at least the following contents:

(1) The applicant organization is committed to complying with the relevant laws and regulations on certification and accreditation, assisting the supervision and inspection of the certification supervision department, and truthfully providing relevant materials and information for inquiries and investigations on relevant matters.

(2) The applicant organization shall notify the certification body in a timely manner if the following situations occur after the applicant organization undertakes to obtain certification:

(1) There are major complaints from customers and related parties.

(2) The products produced or sold or the services provided are determined to be unqualified by the quality or market supervision departments.

(3) The occurrence of quality and safety accidents of products and services.

(4) Changes in relevant circumstances, including: changes in legal status, production and operation status, organizational status or ownership; Changes in administrative licensing qualifications, compulsory certifications or other qualification certificates obtained; Change of legal representative and top

management; changes in workplaces for production, operation or services; changes in the scope of activities covered by the carbon footprint; major changes in energy media and important processes, etc.

(5) Other important situations that affect the operation of the management system.

(3) The applicant organization promises to correctly use the certification certificate, certification mark and related information after obtaining the certification, and does not use the management system certification certificate and related words and symbols to mislead the public to believe that its products or services have passed the certification.

and (4) the scope of production or service activities covered by the carbon footprint to be certified.

(5) During the implementation process of the certification audit and the validity period of the certification certificate, the responsibilities, rights and obligations of the certification body and the applicant organization shall be assumed.

(6) The fee, payment method and breach of contract clause of the certification service.

4.2 Audit planning

4.2.1 Review time

The certification body shall calculate and determine the auditor days based on factors such as the size, characteristics, business complexity, scope of carbon

footprint, energy medium, certification requirements and risks assumed by the applicant organization to ensure the adequacy and effectiveness of the audit.

4.2.2 Audit Group

4.2.2.1 Determine the audit team

The audit team shall be composed of auditors who have obtained the greenhouse gas verifier registration qualification issued by the Certification Personnel Registration Agency (CCAA) determined by CNCA, and at least one of them is a formal auditor.

4.2.3 Audit plan

4.2.3.1 The certification body shall develop a written audit plan for each audit. The audit plan should include at least the following: audit purpose, audit criteria, audit scope, date and location of the on-site audit, duration of the on-site audit, and members of the audit team (wherein: the auditor should indicate the registration number of the certified person; The technical expert should indicate the professional code, work unit and professional and technical title).

4.2.3.2 Before the start of the audit activity, the audit team shall submit the audit plan to the applicant organization for confirmation, and in case of temporary changes in the plan under special circumstances, the applicant organization shall be notified of the change in a timely manner and reach a consensus.

4.3 Implementation Audit

4.3.1 The audit team shall complete the audit work in accordance with the

arrangement of the audit plan. Except in unforeseen special circumstances, the auditors identified in the audit plan shall not be replaced during the audit process.

4.3.2 The audit team shall convene the first and last meetings in conjunction with the applicant organization in the order of procedure, and the management of the applicant organization (including, if applicable, the responsible personnel of the function or process to be reviewed) shall attend the meeting. Participants should sign in, and the audit team should keep the sign-in sheet for the first and last meetings. When requested by the applicant organization, the members of the review team shall present their identification documents to the applicant organization.

4.3.3 Review process and links

4.3.3.1 Certification audit is divided into the first and second stages of audit. The interval between the first and second stage on-site audits should be no less than 0.5 days and not more than 60 days. In the event of a public health event, travel restrictions, natural disasters and other restrictive circumstances that prevent the auditor from reaching the auditee's premises to conduct the audit, the certification body may arrange a remote audit.

4.3.3.2 The first stage of the audit shall cover at least the following:

(1) Whether the applicant organization (customer) has identified and complied with relevant laws and regulations;

(2) The applicant organization (customer) has sufficient resources to ensure

the conduct of the on-site audit;

and (3) collect necessary information, including:

a) the Customer's premises;

b) the use of energy equipment;

c) The sources and uses of energy media such as water, electricity, wind and gas are truthfully explained, and real use data is obtained;

d) a list of raw materials and annual usage of the applicant organization, and obtain real usage data;

e) a list of finished products and annual production of the application organization and obtain real data on their use;

If the applicant organization has multiple sites, sampling is not allowed, and the greenhouse gas emissions of all multiple sites must be calculated and summarized.

4.3.3.3 The content of the second-stage audit includes but is not limited to:

(1) the physical environment and boundaries of the organization;

(2) the management commitment of leaders at all levels, the roles, responsibilities and authority of the organization;

(3) risks and opportunities affecting the carbon emission management system;

(4) carbon management policy;

(5) carbon management targets;

(6) Documented information on resource allocation, personnel capabilities,

personnel awareness, internal and external communication, retention and retention of the carbon management system;

(7) Whether the greenhouse gas emission verification report prepared by the applicant organization (customer) is generally consistent with the actual situation, and the preparation process of the greenhouse gas emission verification report prepared by itself (the accounting method should be focused on checking whether the accounting method follows the relevant provisions of the General Principles for Greenhouse Gas Emission Accounting and Reporting of Industrial Enterprises in GB/T 32150-2015).

(8) The model and specification of the weighing instrument or meter of the application organization, check the recent measurement calibration or verification, and observe whether it has been effectively operated and maintained.

(9) How to correct or correct the non-conformities or errors in the preparation process, as well as the follow-up corrective measures;

(10) The management has taken improvement measures in terms of equipment, energy conservation, and emission reduction after the verification of greenhouse gas emissions.

(11) If the applicant organization has multiple sites, sampling is not allowed, and the greenhouse gas emissions of all multiple sites must be calculated and summarized.

4.3.4 In the event of any of the following situations, the audit team shall

report to the certification body and terminate the audit with the consent of the certification body.

(1) The auditee does not cooperate with the audit activities, and the audit activities cannot be carried out.

(2) There are major inconsistencies between the actual situation of the auditee and the application materials.

(3) Other circumstances that make it impossible to complete the audit process.

4.4 Carbon Footprint Report

4.4.1 The audit team shall form a written carbon footprint report for the audit activities, which shall be signed by the leader of the audit team. The carbon footprint report should accurately, concisely and clearly describe the main elements of the audit activities, including at least the following:

(1) The name and address of the applicant organization.

(2) Apply for the scope and place of the organization's activities.

(3) Report coverage period.

(4) The leader of the audit team, the members of the audit team and their personal registration information.

(5) Describe the procedures and requirements listed in Article 4.3.

4.4.2 The certification body shall retain evidence used to substantiate the relevant information in the carbon footprint report.

4.4.3 The certification body shall submit the carbon footprint report to the

applicant organization within 30 working days after making the certification decision, and retain the evidence of receipt or submission.

4.4.4 For the termination of the audit project, the audit team shall form a report on the work carried out, and the certification body shall submit the report and the reasons for the termination of the audit to the applicant organization, and retain the evidence of receipt or submission.

4.5 Certification Decisions

4.5.1 The certification body shall make a certification decision on the basis of a comprehensive evaluation of the carbon footprint report.

4.5.2 The certification decision personnel shall be the personnel under the management and control of the certification body, and the members of the audit team shall not participate in the certification decision of the audit project.

4.5.3 The certification body shall confirm the following circumstances before making a certification decision:

(1) The carbon footprint report meets the requirements of Article 4.4 of these rules, and the carbon footprint report and other information provided by the audit team can meet the information required to make a certification decision.

4.5.4 On the basis of meeting the requirements of Article 4.5.3, if the certification body has sufficient objective evidence to prove that the applicant organization meets the following requirements, the applicant organization shall be assessed to meet the certification requirements and a certification certificate

shall be issued to it.

4.5.5 If the applicant organization cannot meet the above requirements or has the following circumstances, the applicant organization shall be assessed as not meeting the certification requirements, and the applicant organization shall be notified in writing and explain the reasons for its failure to pass the certification.

4.5.6 After the certification body issues the certification certificate, it shall, within 30 working days, submit the relevant information of the certification results to the CNCA in accordance with the prescribed requirements.

5. Suspension and withdrawal of certification certificate

5.1 The certification body shall formulate a suspension, revocation of certification certificate or narrowing the scope of certification provisions and documented management system, and the regulations and management system shall meet the relevant requirements of these rules. The suspension and revocation of the certification certificate by the certification body shall be in accordance with its management system, and the certification certificate shall not be suspended or revoked at will.

5.2 Suspension of Certificates

5.2.1 If the certified organization has any of the following circumstances, the certification body shall suspend its certification certificate within 5 working days after investigation and verification.

(1) Failure to assume or perform the responsibilities and obligations agreed in the certification contract.

(2) Being ordered by the relevant law enforcement and regulatory departments to suspend business for rectification.

(3) The administrative license certificate, qualification certificate, compulsory certification certificate, etc. related to the scope of carbon footprint held by the holder has expired and expired, and the resubmitted application has been accepted but has not been renewed.

(4) Actively requesting a suspension.

(5) Other certification certificates shall be suspended.

5.2.2 The suspension period of the certification certificate shall not exceed 6 months. However, the suspension period in the case of subparagraph (3) of 5.2.1 may end on the date on which the relevant entity makes a licensing decision.

5.2.3 The certification body shall disclose the information of the suspension of the certification certificate in an appropriate manner, clarify the start date and suspension period of the suspension, and state that the certification organization shall not use the certification certificate, certification mark or reference certification information in any way during the suspension period.

5.3 Revocation of Certificates

5.3.1 If the certified organization has any of the following circumstances, the certification body shall revoke its certification certificate within 5 working days after obtaining the relevant information and investigating and verifying.

(1) The certificate of legal status has been cancelled or revoked.

(2) Included in the list of seriously untrustworthy enterprises by the relevant administrative law enforcement departments

(3) Refusing to cooperate with the supervision and inspection carried out by the certification regulatory department, or providing false materials or information for the inquiry and investigation of relevant matters.

(4) Refusal to accept the national product quality supervision and random inspection.

(5) There is a major quality and safety accident of products and services, which is confirmed by the law enforcement and supervision department to be caused by the violation of the certification organization.

(6) There are other serious violations of laws and regulations.

(7) The period of suspension of the certification certificate has expired but the problems that lead to the suspension have not been resolved or corrected (including the administrative license certificate, qualification certificate, compulsory certification certificate, etc. related to the scope of the carbon footprint held have expired but the application has not been approved).

(8) Failure to correctly quote and publicize the obtained certification information in accordance with relevant regulations, resulting in serious impact or consequences, or the certification body has required it to correct but has not been corrected for more than 2 months.

(9) Other certification certificates shall be revoked.

5.3.2 After the revocation of the certification certificate, the certification body shall withdraw the revoked certification certificate in a timely manner. If it cannot be recovered, the certification body shall promptly publish or declare the revocation decision in the relevant media and website.

5.4 The certification body suspends or revokes the certification certificate shall publish the relevant information on its website, and at the same time report to the CNCA in accordance with the prescribed procedures and requirements.

5.5 certification bodies should take effective measures to avoid all kinds of invalid certification certificates and certification marks to be used.

6. Certificate requirements

6.1 The certification certificate shall contain at least the following information:

(1) The name, address and unified social credit code (or organization code) of the certified organization. This information should be consistent with the information in their legal status documents.

(2) The address and business scope of production, operation or services covered by the carbon footprint. If the certified carbon footprint covers more than one site, state the name and address information of the relevant site covered.

(3) Carbon footprint certification is based on: ISO14067:2018 "Greenhouse Gases - Product Carbon Footprint - Quantitative Requirements and Guidelines"

and PAS 2050:2011 Life Cycle Greenhouse Gas Emission Evaluation

Specifications and Standards for Goods and Services.

(4) Certificate number.

(5) The name of the certification body.

(6) The date of the start and end of the validity period.

(7) Time boundaries.

(8) Product carbon footprint.

(9) The proportion of carbon footprint of each stage of the product.

(10) Relevant accreditation mark and accreditation registration number (if applicable).

(11) Certificate inquiry method. In addition to announcing the inquiry method of the certification certificate on the website of this institution, the certification body shall also indicate on the certificate: "The information of this certificate can be queried on the official website of the Certification and Accreditation Administration of the People's Republic of China (www.cnca.gov.cn)", so as to facilitate social supervision.

6.2 The certification body shall establish a certificate information disclosure system. In addition to providing certification certificate information to the applicant organization, certification supervision departments and other law enforcement and regulatory departments, certificate information shall also be provided to relevant social parties at their request and subject to social supervision.

7. Acceptance of complaints from organizations

When the applicant organization or the certified organization has any objection to the certification decision, the certification body shall accept the appeal and deal with it in a timely manner, and send a written notice of the result to the complainant within 60 days.

The written notice shall inform the complainant that if it believes that the certification body has not complied with the relevant laws and regulations of certification or these rules and has caused serious infringement of its legitimate rights and interests, it can directly complain to the local certification regulatory authority or CNCA, or to the relevant accreditation body.

8. Management of certification records

8.1 The certification body shall establish a certification record keeping system to record the whole process of certification activities and keep it properly.

8.2 Records should be true and accurate to confirm that the certification activities have been effectively implemented. The recorded materials shall be in Chinese, and the retention time shall be at least consistent with the validity period of the certification certificate.

8.3 If the records are kept in the form of electronic documents, they shall be in a non-editable electronic document format.

8.4 All written records signed by relevant personnel can be made into electronic documents for preservation and use, but the originals must be

properly kept, and the retention time should be at least consistent with the validity period of the certification certificate.

9 Miscellaneous requirements

9.1 References to the ISO14067 and PAS 2050 standards in these Rules refer to the effective version of the standard at the time of the certification activity. When the standard number is described in the certification activity and the certification certificate, the full standard number of the current version in force shall be used.

9.2 The photocopies of the various supporting documents mentioned in these rules shall be copied on the original, and shall be signed by the auditor to confirm that they are consistent with the original.

9.3 The certification body can carry out publicity and training on carbon footprint and related technical standards, so as to promote the correct understanding and implementation of carbon footprint standards by all employees of the organization.

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