Appendix: 1. Administrative Measures for Qualification Accreditation of Overseas Suppliers and Domestic Consignees of Recycling Copper and Aluminium Raw Materials (Trial version)

CHAPTER I: GENERAL PROVISIONS

Article 1: In order to ensure the quality of raw materials and strengthen industry self-discipline, the Administrative Measures for Qualification Accreditation of Overseas Suppliers and Domestic Consignees of Recycling Copper and Aluminium Raw Materials (Trial version) (hereinafter referred to as the Measures) have been enacted pursuant to related provisions of the "Law of the People’s Republic of China on Import and Export Commodity Inspection" and its implementing regulations thereof, the "Frontier Health and Quarantine Law of the People's Republic of China" and its implementation rules thereof, and the three national standards of "Recycling Raw Materials for Brass" (GB/T 38470 -2019), "Recycling Raw Materials for Copper" (GB/T 38471-2019), "Recycling Raw Materials for Cast Aluminum Alloy" (GB/T 38472-2019)

Article 2: Referred to in the Measures the qualification accreditation refers to the evaluation and accreditation of whether the basic conditions, capabilities, and credit levels that enterprises engaged in the import and export of recycling
copper and aluminum raw materials should have met the relevant standards, technical specifications or mandatory requirements.

**Article 3:** The Measures are applicable to application, acceptance, verification, accreditation and supervision of qualification accreditation.

**CHAPTER II ORGANIZATION**

**Article 4:** China Nonferrous Metals Industry Association Recycling Metal Branch (hereinafter referred to as: CMRA) is responsible for organizing the acceptance, verification, accreditation and supervision of the qualification accreditation of overseas suppliers and domestic consignees of recycling copper and aluminium raw materials.

**Article 5:** CMRA has established the "Qualification Accreditation Office for Overseas Suppliers and Domestic Consignees of Recycling Copper and Aluminum Raw Materials" (hereinafter referred to as the Qualification Accreditation Office) as a daily office responsible for the daily management and coordination of qualification accreditation. Establish a qualification accreditation Expert Review Committee (hereinafter referred to as the Review Committee) to be responsible for the review of materials, site and accreditation results.

**CHAPTER III REQUIREMENT OF ACCREDITATION**
**Article 6:** An overseas supplier shall comply with the following requirements for qualification accreditation:

(1) Possess legal business management qualifications in the country (or region) in which the overseas supplier is located;

(2) Possessing a regular office site and corresponding infrastructure in the country (or region) where the overseas supplier is located;

(3) Familiarize with and comply with China’s law, rules and regulations, and relevant standards concerning inspection quarantine and environmental protection;

(4) Accredited by ISO9001 Quality Management System (QMS), or ISO14001 Environment Management System (EMS) or Recycling Industry Operating Standard (RIOS);

(5) Possess the measures or ability to control the environmental quality of the supplied raw materials to ensure that they meet the mandatory requirements of China's national technical regulations and the national standards cited in Article 1;

(6) Possess radioactive detection equipment, facilities and detection capabilities;

(7) No major safety, sanitation, environmental protection and other issues
occurred in the past year.

**Article 7:** A domestic consignee shall comply with the following requirements for qualification accreditation:

1. Possess legal business management qualifications, and processing and utilization capabilities are preferred;
2. Possessing a regular office site and infrastructures such as storage for raw materials that meet relevant regulations, and establishes a corresponding management system;
3. Familiarize with and comply with China’s law, rules and regulations, and relevant standards concerning inspection quarantine and environmental protection;
4. Accredited by ISO9001 Quality Management System (QMS), or ISO14001 Environmental Management System (EMS) or Recycling Industry Operating Standard (RIOS);
5. Possess radioactive detection equipment and detection capabilities;
6. No major safety, sanitation, environmental protection and other issues occurred in the past year;
7. Not included in the list of untrustworthy enterprises by the Customs.

**Article 8:** An overseas supplier shall provide the following written materials
for the application of qualification accreditation:

(1) An Application Form for Qualification Accreditation of Overseas Suppliers of Recycling Copper and Aluminum Raw Materials (appendix 2)

(2) Notarized tax registration document or a notarized business registration document;

(3) A description of the organization and departments as well as job duties thereof;

(4) A dimensional floor plan of the regular office site, a floor plan of processing site(s) if a processing site is available, video files or more than 3 photographs which can fully capture the real scene of the above site;

(5) Color photocopies of Accredited by ISO9001 Quality Management System (QMS) or ISO14001 Environmental Management System (EMS) or Recycling Industry Operating Standard (RIOS) accreditation certificates and related operating guidance;

(6) Declaration of Regulatory Compliance and Freedom from Safety Incidents during Manufacture; (appendix 10)

(7) For entrusted applications, the original letter of attorney and copies of the identity certificates of the entrusting parties shall be submitted;

(8) Written materials submitted should be in Chinese or both in Chinese and
English.

**Article 9**: A domestic consignee shall provide the following written materials for the application of qualification accreditation:

(1) Application Form for Qualification Accreditation of Domestic Consignees of Recycling Copper and Aluminum Raw Material (appendix 3)

(2) Enterprise business license, organization code certificate, tax registration certificate (or three certificates in one), pollution discharge permit and relevant certification documents of commodity import qualification;

(3) A description of the organization and departments as well as job duties thereof;

(4) Project approval, environmental assessment, completion acceptance, quality, environmental management system and measures description, and other certification materials;

(5) Declaration of Regulatory Compliance and Freedom from Safety Incidents during Manufacture; (appendix 10)

**CHAPTER IV PROCEDURE OF ACCREDITATION**

**Article 10**: The qualification accreditation shall be conducted once a year in principle, and shall be handled according to the following procedures:

(1) After the Qualification Accreditation Office conducts a preliminary review
of the completeness and consistency of the application materials, it shall coordinate and organize the Review Committee to conduct the review.

(2) In accordance with the Measures, the Review Committee conducts material review and site inspection of the application materials of enterprise, and signs opinions.

(3) The Qualification Accreditation Office announces the preliminary accreditation results on the official website and official microblog of CMRA based on the opinions of the Review Committee.

(4) After the announcement, CMRA will issue a qualification certificate and report to the General Administration of Customs for the record.

(5) During the announcement period, if there are any objections to the preliminary accreditation result, the Qualification Accreditation Office will organize verification.

**Article 11**: Within 20 working days for the date of issuance of the announcement on The Qualification Accreditation of Overseas Suppliers and Domestic Consignees of Recycling Copper and Aluminium Raw Materials, the applicants will bind the application form and the paper version of the materials into a book in duplicate and express it to the Qualification Accreditation Office and an electronic version is sent to the specified email.
**Article 12:** The Qualification Accreditation Office shall coordinate and organize the Review Committee to complete the written review and site inspection within 50 working days after the notice issued. Written review means that the Review Committee reviews the completeness, authenticity, validity, and consistency of the application materials submitted by the applicant, fills in the "Qualification Accreditation Written Review Record" (appendix 4 and 5), and makes a written review conclusion. Site verification means that the Review Committee shall follow the "Site Inspection Procedures for Qualification Accreditation of Overseas Suppliers of Recycling Copper and Aluminum Raw Materials" and "Site Inspection Procedures for Qualification Accreditation of Domestic Consignees of Recycling Copper and Aluminum Raw Materials" (appendix 6 and 7) to conduct site inspections and draw a conclusion.

**Article 13:** The Review Committee conducts a comprehensive evaluation based on the written review and site inspection conclusion, and determines the preliminary evaluation results.

**Article 14:** The Qualification Accreditation Office will announce the preliminary evaluation results on the official website and official microblog of CMRA for 5 working days. To accept supervision and report during the public
announcement period, the report must be in written and provide corresponding evidence and contact information. For companies that are reported or have objections, the Qualification Accreditation Office will organize verifications, put forward handling opinions, and announce the final assessment results.

**Article 15:** After the announcement, the Qualification Accreditation Office will make an announcement on the official website and microblog of CMRA, and report to the General Administration of Customs for the record. The announcement date is the starting time of the qualification period.

**Article 16:** For applicants who passed the accreditation, the Qualification Accreditation Office will uniformly print and issue qualification certificates, and publish and promote them through various channels such as industry media, and conventions of CMRA.

**Article 17:** Applicant who committed one of the following acts within the past year will not be accredited.

1. Subject to administrative penalties such as Customs, environmental protection notifications, fines, orders to suspend production for rectification, temporary suspension or revocation of licenses, and confiscation of illegal income;
2. Subject to 3 or more violations of laws and regulations in the process of
commodity import and export;

3. Subject to provide qualifications, supporting documents, and application materials to falsify or conceal related violations of laws and regulations.

**Article 18:** Accredited company’s qualification certificate shall be withdrawn for the following acts within 1 year and announced, and further application shall not be allowed within 3 years.

1. Subject to administrative penalties such as Customs, environmental protection notifications, fines, orders to suspend production for rectification, temporary suspension or revocation of licenses, and confiscation of illegal income for more than 2 times;

2. Subject to import and export commodity do not meet national standards and regulatory requirements for more than 2 times;

3. Unqualified imported commodity refused to be returned;

4. Transferring the qualification certificate or certificate number to another enterprise for use;

5. Forgery, alteration, trading or use of forged or altered relevant documents;

6. Those who fail the annual audit.

**CHAPTER V Certificate Validity Period**

**Article 19:** The qualification certificate is valid for five years. Applicants
within the validity period of the certificate must submit the annual audit form within 30 working days before the expiration of each year (appendix 8 and 9). The qualification certification materials shall be resubmitted within 60 working days before the expiration of the certificate.

**Article 20:** Within the validity period of the accreditation, if the applicant’s name, registration/registered address, legal representative, category, scale, etc. accumulate two or more contents, the relevant content must be reported to the Qualification Accreditation Office for update within 30 working days after the relevant content is qualified or confirmed.

If the applicant’s name, registration/registered address, and legal representative have changed in two or more of the three items, it must be re-accredited within 30 working days after the relevant content is qualified or confirmed.

**CHAPTER VI SUPERVISION AND MANAGEMENT**

**Article 21:** In the process of qualification accreditation, comply with relevant national laws and regulations, accept the guidance and supervision of superior departments, and accept the supervision of enterprises and all sectors of the society.

**Article 22:** Establish a complete supervision and management mechanism,
strengthen the supervision and management of the accreditation process, and strengthen the dynamic management of accredited companies.

**Article 23**: If the applicant disagrees with the qualification accreditation process or the result of the accreditation, he/she can report or appeal in writing to CMRA or the superior departments, or to the General Administration of Customs.

**CHAPTER VII SUPPLEMENTAL PROVISIONS**

**Article 24**: Qualification certification adopts voluntary application and free methods. Site inspectors' travel expenses, board and lodging expenses shall be borne by the applicant.

**Article 25**: The Qualification Accreditation Office is responsible for the interpretation of the Measures.

**Article 26**: The Measures shall be implemented on a trial basis from the date of announcement.