

On the implementation of the new version of the Quality Management System Certification Rules Notification letter of

Dear quality management system certification customers and related parties:

The National Certification and Accreditation Administration issued a new version of the Quality Management System Certification Rules (hereinafter referred to as the new version of the rules) on September 4, 2025. Starting from January 1, 2026, the quality management system certification activities shall be implemented in accordance with the new version of the rules.

The new version of the rules is a regulatory document that certification bodies and certified organizations must comply with. In order to assist your organization in smooth transition and meet the requirements of the new version of the rules, and ensure the continuous validity of the certification certificate, our organization has systematically sorted out the relevant requirements of the new version of the rules, and we hereby inform you. The specific requirements are as follows:

REQUIREMENTS OF THE NEW RULES

1. Conditions for application for accreditation (Rule 5.1.2 of the Rules)

When applying for certification, the certification client shall meet the following conditions:

(1) obtain the qualification of legal subject and be within the validity period;

(2) obtain the administrative license stipulated by relevant laws and regulations (when applicable) and is within the validity period;

(3) QMS has been established according to the certification standards and has been in operation for three months;

(4) the certification certificate has been suspended or revoked by the original issuing authority for one year (when applicable) due to the certified organization's own reasons;

(5) It has been three months since the original QMS certification issuing authority was revoked by the National Certification and Accreditation Administration (when applicable);

(6) At present, it has not been ordered by the administrative supervision department to suspend production and business for rectification;

(7) At present, it is not included in the list of serious illegal and dishonest released by the National Enterprise Credit Information Publicity System and Credit China;

(8) There is no major quality accident ordered by the administrative supervision department to suspend production and

business for rectification within one year;

(9) The products within the scope of application for certification within one year have not passed the national supervision and spot check of product quality, or have failed the national supervision and spot check of product quality but have been rectified and qualified according to relevant regulations;

(10) Other conditions that should be met.

2. Certification contracts and related responsibilities (Rule 5.3)

The certification body shall sign a legally valid certification contract with each certification client, specifying the fee, payment method and breach terms of the certification service, and the responsibilities of the certification client, the certification body and the certified organization. The certification fee shall be paid directly by the certification principal to the certification body.

The organization shall truthfully provide relevant materials and information, cooperate with the supervision and inspection of the certification administrative supervision department, correctly use certification certificates, certification marks and related information in advertising, publicity and other activities, and timely inform the certification body of the changes in the \certification application conditions\. Bear the risk that the certification activity will be terminated and the certification certificate will not be used due to the

revocation of the qualification of the selected certification body.

3. Oversight review time interval (Rule 5.4.1.4)

The first supervisory audit after the initial certification and re-certification shall be conducted within 12 months from the date of issuance of the certification certificate. Thereafter, the supervision review interval should not exceed 12 months.

4. On-site audit plan (Rules 5.4.2.1 and 5.4.5.2)

The audit time is calculated in person-days, with 1 person-day equal to 8 hours. The number of audit person-days should not be reduced by increasing the working hours per working day. If the actual working hours of the client's working day are less than 8 hours, the on-site audit days should be extended to meet the audit time requirements.

The on-site audit should be arranged when the client's production or services are operating normally.

5. Participation requirements for the first and last meetings (Article 5.5.3 of the 'Rules')

The audit team shall convene the opening and closing meetings together with the certification client. The top management of the certification client and the heads of QMS-related functional departments shall attend the opening and closing meetings. The certification body shall keep records of attendance and

photographic/audio-visual evidence of the opening and closing meetings. If the top management of the certification client cannot attend the opening and closing meetings, another senior management member with written authorization shall attend, and the audit team shall record the reason for the top management's absence.

6. Key Audit Focus of Top Management (Article 5.5.4 of the 'Rules')

The audit team should focus on auditing the role of the top management of the certification client in leading the QMS through face-to-face interviews and other forms, and keep supporting materials such as on-site photos/videos and audit records. If the top management is not familiar with the organization's own quality policy and quality objectives, and does not personally participate in and promote the implementation of the QMS, the certification audit should not be approved.

7. Audit Termination Situations (Article 5.5.5 of the 'Rules')

(1) The certified client does not cooperate with the audit activities, making the audit activities impossible to carry out;

(2) The principal of the certification client or an authorized senior management member is absent from the first and last meetings;

(3) There is a significant inconsistency between the actual situation of the certification principal and the application materials;

(4) Other situations that prevent the review procedure from being completed.

8. Initial Certification Audit (Article 5.6 of the 'Rules')

The initial certification review should be carried out in two stages:

Stage one audit and stage two audit. The interval between the two stages should be no less than 5 days and no more than 6 months. If a longer interval is needed, the stage one audit should be carried out again.

The content of the first-stage audit includes, but is not limited to, verifying the authenticity of the applicant's information and documents, and confirming the effective number of personnel and locations within the scope of the applicant's QMS certification and system coverage.

If the certification body discovers false information and documents in the relevant application during the first stage of the audit, it shall terminate the certification activities.

9. Supervision and Review (Article 5.7 of the 'Rules')

The certification scope of the certified organization includes seasonal production/service activities. When planning surveillance audits, the seasonal production/service situation should be taken into account, and if necessary, surveillance audits should be conducted

multiple times.

10. Re-certification Review (Articles 5.8 and 5.12.4 of the 'Rules')

Re-certification audits should be conducted on-site at the certified organization and should be completed before the certification expires.

The certification decision for the recertification audit should preferably be completed before the expiration of the previous certification cycle certificate, and must be completed no later than 6 months from the certificate's expiration date. If the certification body fails to complete the recertification audit or fails to verify the implementation of corrective and corrective measures for major nonconformities before the termination date of the current certification certificate, recertification should not be granted, nor should the validity period of the original certification certificate be extended.

11. Special audit (Article 5.9 of the 'Rules')

In order to investigate complaints, quality accidents, respond to changes, or follow up suspended customers, it may be necessary to conduct audits in a short time in advance or without notifying the certified organization.

When the products within the certification scope of the certified organization are found to be unqualified in the national supervision and spot check of product quality, the certification institution shall,

within 30 days from the notification issued by the market supervision department, conduct an audit with a short notice in advance for the organization.

12. Time limit for verification of serious nonconformities (Article 5.10.3 of the 'Rules')

(1) Initial certification: completed within 6 months from the end of the second-stage audit;

(2) Supervision and audit: completed within 3 months from the end of the audit;

(3) Re-certification: completed before the expiration of the original certification certificate.

13. Certification certificate and certification mark (Articles 6.1.2, 6.1.3 and 6.2.4 of the 'Rules')

After the certification certificate is suspended, revoked or cancelled, the certification certificate and certification mark shall not be used any more.

The certified organization shall correctly use the QMS certification mark in advertising and other related publicity, and shall not only mark the QMS certification mark on the product, but only mark the QMS certification mark on the product packaging if the name of the certified organization has passed the QMS certification and certification institution is indicated.

Each QMS certificate should be given a certificate number, and the certificate number should follow certain rules. The numbering rules follow Appendix C of the Certification Rules for Quality Management System (CNCA-QMS-01:2025).

14. Suspension of authentication certificate (Article 7.2.1 of the 'Rules')

In any of the following circumstances, the certification institution shall suspend its certification certificate within 5 days after investigation and verification, and keep the corresponding evidence:

(1) QMS continuously or seriously fails to meet the certification requirements, including the serious separation between QMS documents and actual business operation;

(2) Failing to meet the requirements of applicable laws and regulations of QMS and failing to take effective corrective measures;

(3) Subject to administrative punishment related to quality, and the rectification has not been completed;

(4) A major quality accident occurs, reflecting that there are major defects in the QMS operation of the certified organization;

(7) failing to accept supervision and audit at the prescribed time interval.

(6) The administrative license documents, qualification certificates and compulsory certification certificates related to the

scope of QMS have expired;

(7) Failing to accept supervision and audit at the prescribed time interval;

(8) Failing to correctly quote and publicize the obtained certification certificate and related information according to relevant regulations, including the use of certification certificate and certification mark; Conditions of original revocation

(9) Failing to undertake or perform the responsibilities and obligations stipulated in the certification contract;

(10) being ordered by the relevant administrative supervision department to suspend business for rectification;

(11) Major public opinion related to quality occurs;

(12) voluntarily requesting suspension;

(13) Other certificates should be suspended.

15. Revocation of authentication certificate (Article 7.3 of the 'Rules')

In any of the following circumstances, the certification institution shall revoke its certification certificate within 5 days after obtaining the relevant information and investigating and verifying it, and keep the corresponding evidence:

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

(2) Being listed in the list of serious violations of law and

dishonesty by 'National Enterprise Credit Information Publicity System' and 'Credit China';

(3) The suspension period of the certification certificate has expired, but the problem that caused the suspension has not been solved or effectively corrected;

(4) It is confirmed by the administrative supervision department that major quality and safety accidents such as products and services are caused by violations of the certified organization;

(5) QMS is not running or has no operating conditions;

(6) Other certificates should be revoked.

16. Cancellation of authentication certificate (Article 7.4 of the 'Rules')

When the certified organization voluntarily applies for not keeping the certification certificate, the certification institution shall confirm that it will cancel its certification certificate after there is no suspension or revocation, and keep the corresponding evidence.

Second, the requirements for the implementation of the new rules

The new version of the rules is a regulatory document that certification activities must abide by, which puts forward more clear requirements for certification institutions and certification customers. Please attach great importance to your organization, organize relevant personnel to study and fully understand the compliance requirements

of certification work. Our organization will continue to provide support in the later period to help your organization smoothly transition to the requirements of the new version of the rules and jointly improve the effectiveness of the operation of the quality management system.

Enclosed please find the Certification Rules for Quality Management System (CNCA-QMS-01:2025) and its interpretation, as well as the answers to the frequently asked questions of CNCA about the new version of the Certification Rules for Quality Management System. Please refer to them in detail.

If you have any questions, you can contact our company at any time through the following ways:

Tel: 0543-8910778

Email: cajcrz@163.com.

Website: www.cajcrz.com

Thank you for your trust and support!

Appendix 1: New Edition of Quality Management System Certification Rules

Appendix 2: Interpretation of the New Edition of Quality Management System Certification Rules

Attachment 3: Answers to Frequently Asked Questions in the

New Edition of Quality Management System Certification Rules

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2025-10-31