

On the implementation of the new version of EMS and OHSMS authentication rules

Letter of notification

Dear management system certified customers and interested parties:

On January 14th, 2026, CNCA issued the new version of Rules for Certification of Environmental Management System and Rules for Certification of Occupational Health and Safety Management System (hereinafter referred to as the new version). Since March 1st, 2026, the above two management system certification activities shall be implemented according to the new version. January 14 to February 28, 2026 is the transitional period for changing the version of the rules. During the transitional period, the old and new rules are applied in parallel, and the related rules of the old version have been officially abolished since March 1, 2026.

The new version of the rules is a legal document that certification bodies and certified organizations must abide by. In order to help your organization make a smooth transition, meet the requirements of the new version of the rules and ensure the continued 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:

I. Relevant requirements of the new version of the rules

1. Certification application conditions (Article 5.1.2 of the 'Rules')

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

(1) It has obtained the legal subject qualification and is within the validity period;

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

(3) Environmental Management System (EMS) and Occupational Health and Safety Management System (OHSMS) have been established according to the corresponding system certification standards, and the single system has been running for three months;

(4) The certification of the corresponding system has been suspended, cancelled or revoked by the original issuing authority for one year due to the reasons of the certified organization itself (if applicable);

(5) It has been three months since the certification authority of the original corresponding system certification certificate was revoked by CNCA (if applicable);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 listed in the list of serious violations of

law and dishonesty published by 'National Enterprise Credit Information Publicity System' and 'Credit China', and it is not listed in the list of serious untrustworthy subjects in production safety (OHSMS) by the emergency management department;

(8) No sudden environmental incident (EMS) or major production safety accident (OHSMS) ordered by the administrative supervision department to stop production and business for rectification has occurred within one year;

(9) The activities covered by the scope of OHSMS to be certified meet the requirements of relevant OH&S laws and regulations, and there is no intentional or persistent illegal act;

(10) Other conditions that should be met.

2. Certification contracts and related responsibilities (Article 5.3 of the 'Rules')

A certification body shall sign a legally binding certification contract with each certification client, specifying the fees, payment methods and breach clauses of certification services, as well as the responsibilities of certification clients, certification bodies and certified organizations. The certification fee shall be paid directly by the certification client to the certification institution.

The organization shall truthfully provide relevant materials and information, cooperate with the supervision and inspection conducted

by the certification administrative supervision departments, correctly use certification certificates, certification marks and relevant information in advertising, promotion and other activities, and promptly notify the certification body of any changes to the "certification application conditions".The organization shall bear the risks arising from the termination of certification activities and the unavailability of certification certificates due to the revocation of the qualification of the selected certification body.

3. Supervision and Audit Time Interval (Article 5.4.1.4 of the 'Rules')

The first surveillance audit after the initial certification and recertification should be conducted within 12 months from the date of issuance of the certification certificate, and the second surveillance audit should be conducted within 24 months from the date of issuance of the certification certificate.

The interval between two supervisory audits should not exceed 12 months.

Except for the year of recertification, a surveillance audit needs to be conducted once every calendar year. Typically, the audit plan within a certification cycle includes at least two surveillance audits.

If supervision and inspection cannot be received at the prescribed intervals, the certificate will be suspended.

4. On-site Audit Plan (Article 5.4.2.1 and 5.4.5.2 of the 'Rules')

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.

If the certification client has experienced an unexpected environmental incident or a production safety accident with fatalities within a year, or has been subjected to administrative penalties related to environmental/occupational health and safety, or has major hazardous chemical sources (according to GB 18218), the audit time cannot be reduced.

On-site audits should be arranged to take place when the production, service, or management activities of the certification client are operating normally.

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

The audit team shall, together with the certification client, hold the initial and final meetings. The top management of the certification client and the heads of the relevant functional departments of the management system (for OHSMS, this also includes managers with

OH&S legal responsibilities, personnel responsible for monitoring employee health, and OH&S employee representatives) shall attend the initial and final meetings. The certification body shall retain sign-in records and photo/audio-visual evidence of the initial and final meetings. If the top management of the certification client cannot attend the initial and final 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 Points for Top Management (Article 5.5.4 of the 'Rules')

The audit team should focus on auditing how the top management of the certification client exercises leadership within the corresponding management system through face-to-face interviews and other forms, and should retain supporting materials such as on-site photos/videos and audit records. If the top management is not familiar with the organization's own policies and objectives of the corresponding system, and has not personally participated in and promoted the implementation of the system, the certification audit shall not be approved.

The audit team should interview the following personnel (OHSMS):

- (1) The top managers and managers who bear OH&S legal

responsibilities;

(2) Employee representative responsible for OH&S;

(3) Personnel responsible for monitoring employee health;

(4) Management personnel and employees, including those engaged in activities related to the prevention of OH&S risks, both long-term and temporary employees;

(5) Managers or employees of contractors working on-site for the certification client (where applicable).

7. Termination of Review (Article 5.5.5 of the 'Rules')

The certification client fails to cooperate with the audit activities, making it impossible to proceed with the audit;

(2) The top management or an authorized senior management member of the certification client is absent from the initial and final meetings;

(3) There is a significant discrepancy between the actual circumstances of the certification applicant and the application materials;

(4) Within one year, the certification applicant experiences a major production safety accident or a fatal incident during the audit implementation (OHSMS);

(5) Other circumstances that prevent the completion of the review process.

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

The initial certification audit shall be conducted in two stages

Phase one audit and phase two audit. The minimum interval between the two phases should not be less than 5 days and should not exceed 6 months. If a longer interval is required, phase one audit must be re-conducted.

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

If the certification body discovers during the first-stage audit that the relevant application information and supporting documents contain false information, it shall terminate the certification activity.

9. Supervisory Audit (Article 5.7 of the 'Rules' and its Interpretation)

The scope of certification for the certified organization includes seasonal production/service/management activities (such as seasonal emissions). When planning surveillance audits, consideration should be given to their seasonal operations, and audits may be conducted in multiple sessions if necessary.

10. Re-certification Audit (Article 5.8 and 5.12.4 of the 'Rules')

The re-certification audit shall be conducted on-site at the certified organization and completed before the expiration of the certification certificate.

The certification decision for re-certification audits should be completed before the expiration of the previous certification cycle's certificate, and no later than 6 months from the date of expiration. If the certification body fails to complete the re-certification audit or verify the corrective actions and measures for major non-conformities before the termination date of the current certificate, re-certification shall not be granted, nor shall the validity of the original certificate be extended. The certified organization must reapply for certification.

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

To investigate complaints, related incidents (environmental, safety, etc.), respond to changes, or track suspended clients, audits may need to be conducted with short notice or without notifying the certified organization.

When products/services/management activities within the certified scope of an accredited organization are found non-compliant during administrative regulatory supervision inspections, the certification body shall conduct an audit with a relatively short notice to the organization within 30 days from the date of the regulatory notice.

12. Verification Time Limit for Serious Nonconformities (Article 5.10.3 of the 'Rules')

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

(2) Supervisory review: completed within 3 months from the date of the review's conclusion;

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

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

The Certificate of Certification and the Certification Mark shall not continue to be used after the Certificate of Certification is suspended, revoked or cancelled.

The certified organization shall correctly use the corresponding management system certification mark in advertisements and other related publicity, and shall not only mark the system certification mark on the product/service carrier. Only when the certified organization has passed the corresponding system certification and the name of the certification body is indicated, the certification mark can be marked on the product packaging.

Each system certification certificate shall be given a unique certification certificate number, and the numbering rules shall comply

with the relevant requirements of the appendix of each new version of the Management System Certification Rules.

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

If a certified organization has any of the following circumstances, the certification body shall suspend its certification certificate within 5 days after investigation and verification, and retain the corresponding evidence:

(1) the corresponding management system continues or seriously fails to meet the certification requirements, including the serious departure between the system documents and the actual business operation;

(2) Failing to meet the requirements of applicable laws, regulations, standards and specifications of the system, and failing to take effective corrective measures;

(3) Subject to administrative penalties related to the environment and occupational health and safety, and the rectification has not been completed;

(4) refusing to cooperate with the certification law enforcement supervision and inspection of the market supervision department, or providing false materials or information;

(5) the occurrence of major related accidents, reflecting the

existence of major defects in the operation of the corresponding management system of the certified organization;

(6) The administrative license documents and qualification certificates held related to the scope of system certification have expired;

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

(8) Failure to properly quote and publicize the obtained certificates and related information in accordance with relevant regulations, including the use of certificates and certification marks;

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

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

(11) significant public opinion related to system management occurs;

(12) the serious non-compliance corrective measures found during the supervision audit fail to complete the verification within 3 months;

(13) voluntarily requesting suspension;

(14) Other circumstances in which the certificate of authentication should be suspended.

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

If a certified organization has any of the following circumstances, the certification body shall revoke its certification certificate within 5 days after obtaining relevant information and investigating and verifying it, and retain the corresponding evidence:

(1) The documents proof of legal status have been cancelled or revoked;

(2) Listed in the list of serious illegality and dishonesty by the National Enterprise Credit Information Publicity System and Credit China;

(3) the suspension period of the certification certificate has expired, but the problem leading to the suspension has not been resolved or effectively corrected;

(4) Major safety, environmental and information security accidents such as products, services or management activities caused by violations of regulations by certified organizations confirmed by the administrative supervision department;

(5) the corresponding management system is not in operation or no longer has the operation conditions;

(6) Other circumstances in which the certificate should be revoked.

16. Cancellation of Certificates of Accreditation (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.

17. Preservation of certification records (Article 10.5 of the 'Rules')

In order to confirm the implementation of certification activities, the certified organization shall keep the corresponding certification records within the validity period of the certification certificate, including at least:

- (1) certification contract;
- (2) audit plan;
- (3) Sign-in forms for the first and last meetings;
- (4) Non-conformance report, cause analysis and corrective measures;
- (5) Audit report;
- (6) Notice of suspension or cancellation (if applicable).

II, the requirements for the implementation of the new rules

The new version of the rules is a regulatory document that must be observed in the certification activities of environmental

management system and occupational health and safety management system, which puts forward more clear and strict requirements for certification institutions and certification customers. During the transition period, according to your organization's application, combined with the annual supervision or re-certification audit, our institution can carry out a version change audit of the current valid certification certificate according to the new version of the rules. If the audit meets the requirements of the new version of the rules, a new version of the certification certificate will be issued, and the validity period of the new certificate will be the same as that of the original certificate.

Please attach great importance to your organization, organize the relevant personnel of system management to carry out special study on the new version of the rules, fully grasp the compliance requirements of each system certification work, and complete the revision and landing of system documents in combination with the actual situation of the organization. Our organization will continue to provide support in the later period to help your organization smoothly transition to the requirements of the new regulations and jointly improve the effectiveness of the operation of the environmental and occupational health and safety 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!

Annex 1: New Edition of Environmental Management System Certification Rules

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

Annex 3: New Edition of Occupational Health and Safety Management System Certification Rules

Appendix 4: Interpretation of the New Edition of the Certification Rules for Occupational Health and Safety Management System

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