



**Impact to Clients
from
QMS Certification Rules – Ed 2025
and CNCA Notification – 2025 No. 9
in China**

by DQS AP Ltd, Jan 16, 2025



Supervision

For Management System Certification Service in Mainland China



- Management system and product/service certification services in Mainland China (excluding HK, Macau or Taiwan) are regulated by the government.
- Besides complying with accreditation rules, certification activities for Chinese locations shall also comply with local regulations.

❖ Chinese locations in this document standards for client locations in Mainland China.

Supervision

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编号：CNCA-QMS-01:2025

质量管理体系认证规则

- QMS Certification Rules – Rev. Aug 2025 will become effective from Jan 1, 2026
- All provisions apply to ISO 9001, while some provisions apply to other QMS standards.
- This document covers only some of the provisions with direct impacts to the clients.

2025-08-31 发布

2026-01-01 实施

国家认证认可监督管理委员会发布

Supervision

For Management System Certification Service in Mainland China

- **CNCA Notification – 2025 No. 9** (dated Dec 31, 2025) was released on Jan 9, 2026 with immediate implementation.
- It applies to all management system certification services in Mainland China.
- This document covers only some of the provisions with direct impacts to the clients.

国家认监委关于进一步规范管理体系认证活动 切实提升认证有效性的通知

国家认监委 2026年1月9日 18:46 北京

国认监发〔2025〕9号

各省、自治区、直辖市和新疆生产建设兵团市场监管局（厅、委），各认证机构：
管理体系认证是助力企业提升管理水平、增强市场竞争力的基础性认证制度，在助力我国企业提升管理水平、保障产品和服务质量等方面发挥了重要支撑作用。当前，管理体系认证领域仍存在减少遗漏认证程序、超范围开展认证等违法违规行为，严重扰乱了质量认证市场秩序。根据《认证认可条例》和《认证机构管理办法》等法规规章的规定，为切实提升质量认证有效性和公信力，现就进一步规范管理体系认证活动通知如下：

Definition

For Management System Certification Service in Mainland China



- QMS in this document can be a quality management system based on any of the following standards:
ISO 9001,
IATF 16949, ISO 13485, ISO 22163, TL 9000, QC 080000, AS91xx, etc.
- The requirements with direct impact to clients are primarily related to ISO 9001.

Certification Fee Payment

For Management System Certification Service in Mainland China

For ISO 9001:

The certification related service fee shall be paid by the client, or its headquarters/subsidiaries, **directly** to the Certification Body.



Certification Application

For Management System Certification Service in Mainland China



When **applying** for ISO 9001 certification, the client shall meet below conditions:

- ✓ The client has valid business registration and any applicable permits,
- ✓ The client QMS has been implemented for 3 months with a valid Business Registration and applicable permits,
- ✓ The client's certificate was not suspended, withdrawn or cancelled by a certification body, due to a reason of the client, in the previous 12 months,
- ✓ The client's original ISO 9001 CB was not withdrawn by CNCA in the previous 3 months,
- ✓ ...

Certification Application

For Management System Certification Service in Mainland China



✓ ...

- ✓ The client is not in production suspension as ordered by the authorities,
- ✓ The client is not listed as a seriously illegal or untrusted organization by the authorities,
- ✓ The client was not ordered to suspend production due to a quality incident in the previous 12 months, and
- ✓ The client has been accepted for its improvement after a non-conformity from product quality sampling inspections by national authorities in the previous 12 months, when applicable.

Audit Planning

For Management System Certification Service in Mainland China



The interval between Stage 1 and Stage 2 Audit of an Initial Audit

- ✓ **For ISO 9001:**

The interval shall be no less than **5 calendar days** and no more than 6 months.

- ✓ **For other standards:**

A reasonable interval shall be planned.

(DQS normally set it as no less than 5 calendar days.

Certain standards may have extra requirements.)

Audit Planning

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For ISO 9001:

- ✓ After initial certification or recertification,
 - the **1st surveillance audit** shall start
 - within **12 months** from the certificate issuance date, and
 - the **2nd surveillance audit** shall start
 - within **24 months** from the certificate issuance date and
 - within **12 months** from the end of the **1st surveillance audit**.
- Otherwise, the certificate shall be **suspended**.

- ✓ The on-site audit shall be scheduled to ensure that the client has **production / service** operation during audit.
(Otherwise, a major NC with Special Audit and extra cost will be resulted in.)

Audit Planning

For Management System Certification Service in Mainland China



- For **all management system standards**,
at least one full-time auditor of the CB joins the whole audit.
- Integrated Audit shall NOT be applied to **ISO 9001**
with other management system certification activities without specific rules
defined by an accreditation/recognition body or CNCA for audit days.

Auditing - Opening and Closing Meeting

For Management System Certification Service in Mainland China



For **all management system standards**:

- ✓ The client's **top management** and relevant **department heads** shall attend the opening and closing meetings.
- ✓ The attendance records and **photos** for the Opening Meeting and Closing Meeting shall be retained by the Certification Body as evidence.
- If the client's top manager is unable to attend the opening meeting or closing meeting, another senior management member with **written authorization** shall attend.
(Otherwise, the audit team shall terminate the audit, which will result in extra cost to the client.)

Auditing - Audit of Top Management

For Management System Certification Service in Mainland China

For all management system standards:

The **top management** shall be audited at site by means such as face-to-face interview, to demonstrate the leadership in QMS, with **photos** and audit records as evidence.

Authorization is NOT allowed.

(Otherwise, a major NC with Special Audit and extra cost will be resulted in.)



Certification Records

For Management System Certification Service in Mainland China



For ISO 9001:

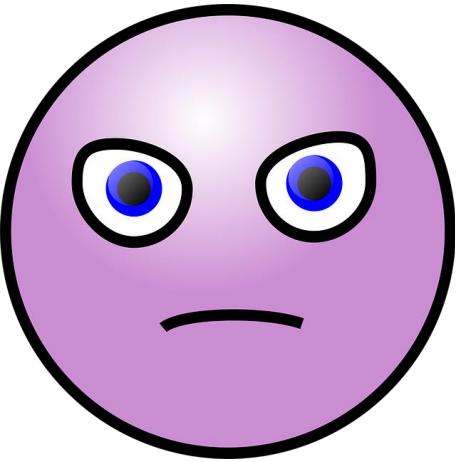
The following certification records require the client's signature or stamp:

- ✓ Certification application record (Basic Data Sheet of DQS),
- ✓ Certification contract,
- ✓ Audit plan,
- ✓ Opening and Closing Meeting attendance sheets, and
- ✓ Non-conformity reports.

Note: When electronic signature is used, it shall have electronic certification as defined by Electronic Signature Law of China.

Suspension of Certificate

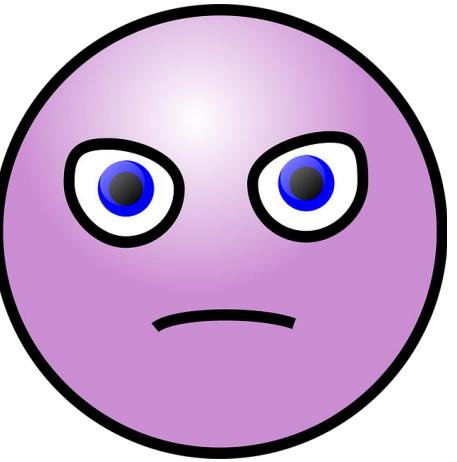
For Management System Certification Service in Mainland China



- Any of below situations of the client will trigger **suspension of ISO 9001 certificate**:
 - ✓ QMS persistently or seriously fails to meet certification requirements, including serious disconnection between QMS documents and actual business operations;
 - ✓ Failing to meet QMS related regulations and failing to take effective corrective actions;
 - ✓ Receiving administrative penalties related to quality and not completing rectification;
 - ✓ Major quality accidents occur, reflecting major defects in the QMS;
 - ✓ Refusing to cooperate with the market supervision department's certification inspections, or providing false information;
 - ✓ Expiration of administrative licenses, qualification certificates, or compulsory certification certificates related to the scope of QMS;
 - ✓ ...

Suspension of Certificate

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- ✓ ...
- ✓ Absence of surveillance audits within required intervals.
- ✓ Improper use of certificates, certification marks or relevant information;
- ✓ Failing to follow the requirements in certification contract;
- ✓ Ordered by the authorities to suspend its operation;
- ✓ Major negative public opinion associated with its quality issue;
- ✓ Requesting for certificate suspension by the client;
- ✓ Other situations that shall lead to certificate suspension.

Withdrawal of Certificate

For Management System Certification Service in Mainland China



- Any of below situations of the client will trigger **withdrawal of ISO 9001 certificate**:
 - ✓ Business Registration has been cancelled or revoked;
 - ✓ Being listed as an untrustworthy organization with serious legal violation by National Enterprise Credit Information Publicity System or Credit China;
 - ✓ The certificate suspension period has expired, but the cause has not been resolved or effectively corrected;
 - ✓ Major quality safety accident is confirmed by the authorities due to legal violation;
 - ✓ QMS is not running or no longer meet the conditions for operation;
 - ✓ Other situations that shall lead to certificate withdrawal.

Use of Certification Marks

For Management System Certification Service in Mainland China



For ISO 9001:

Certification records for Chinese locations shall be **stored in Mainland China**.

Existing Rules

For Management System Certification Service in Mainland China

By the way, a reminding of a few **existing** rules
(applicable to all management system certifications):

- ✓ For a client with sites in different countries/regions,
the similar sites in Mainland China shall be separated for sampling audits.
- ✓ In practice, the supervision authorities do **NOT** accept **remote audits** without solid
justifications.
For examples, pandemic can be a solid justification, whereas
a client request or long travel time is not considered solid justification.
- ✓ DQS Certification Marks shall NOT be used on product or product packaging.

Thank you !

www.dqsglobal.com

