TÜVNORD

Customer information
New CNCA requirements for the standardisation of management system certifications

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Customer information: New CNCA requirements for the standardisation of management system certifications

The Certification and Accreditation Administration of the People's Republic of China (CNCA) has issued new requirements for the further standardization of certification activities.

For customers with sites within China, the new regulations bring about several changes.

Below, we have provided an overview of key regulations that affect current procedures:

1. INVOLVEMENT OF TOP MANAGEMENT AND SYSTEM REVIEW

- Mandatory **participation:** Your company's top management must attend the opening and closing meetings of the audit.
- **Competence assessment**: During the audit, interviews are conducted to verify whether management is familiar with the quality policy and objectives and is personally committed to the implementation of the system. A lack of knowledge will result in the cancellation of the audit.
- **Operational duration:** The management system must have been effectively operational for at least 3 months prior to certification.

2. PROCESSES FOR DETERMINING THE AUDIT DURATION

- **Sampling:** For sites in China, a separate sample must be drawn for each standard/group.
- **Man-day tables:** The CNCA man-day table used for the calculation differs from the calculation basis in IAF-MD-5:2023. This applies in particular to the classification of effort levels (effective number of employees at the time of the audit) and the need to round to the nearest half-day.

3. AUDIT INTERVALS AND KEY DEADLINES

To confirm ongoing compliance, strict time intervals apply for surveillance:

- **Surveillance audits:** The first surveillance audit following initial certification or recertification must be carried out **within 12 months** of the certificate being issued. The interval between subsequent surveillance audits must not exceed 12 months.
- **Deadlines:** The following deadlines apply for the rectification of non-conformities: **6 months** for initial certification and **3 months** for surveillance audits. Recertification must be completed before the current certificate expires.

4. REQUIREMENTS FOR THE CERTIFICATION DECISION AND CERTIFICATES

- **Certification decision:** The decision to grant certification must be made by a **full-time employee** of the certification body, and **the certification decision must be made by staff within the territory of the People's Republic of China.**
- **Certificates** must be issued in Chinese

5. OBLIGATIONS OF THE CERTIFIED COMPANY

- **Internal audits:** You are obliged to carry out an annual internal audit covering **all departments and key processes**. This must also have been completed prior to initial certification.
- **Reporting obligation:** Significant changes to the organizational structure and operational processes, regulatory penalties or security incidents must be **reported** to the certification body **without delay**.
- **Consequences of non-compliance:** In the event of signs of manipulation (e.g. sham systems/'two sets of documents') or a lack of cooperation, the certificate will be **suspended or withdrawn immediately.**

6. LEGAL STATUS OF CERTIFICATION BODIES

The certification body must enter a contract directly with the client, setting out all relevant aspects, such as the scope of the service, fees, payment, etc. **TÜV NORD Hangzhou,** a subsidiary of **TÜV NORD**, is the body accredited by the CNCA and is responsible for ensuring that the regulations are properly implemented.

It is therefore necessary for the maintenance of the certificates that a **specific 'Declaration' (statement)** exists for **your sites in China**, confirming your compliance with these new requirements.

7. INFORMATION OBLIGATIONS OF THE CERTIFICATION BODY TOWARDS THE CNCA

- The certification body must provide the CNCA with the audit plan at least three days before the on-site audit takes place.

- After issuing the initial certificate, the certification body must report the relevant information regarding the certification result to the CNCA. The relevant information regarding the certification results must be reported to the CNCA by the 10th of the following month.
- The certification body must publish information regarding suspended, withdrawn and recalled certificates on its website or by other means.
- For suspended certificates, the start date and duration of the suspension must also be specified. The certification body must notify the CNCA of the relevant information within two working days of the date of suspension, withdrawal or revocation of the certificate, in accordance with the established procedures and requirements.

We are in close contact with our colleagues at TÜV NORD Hangzhou to ensure consistent implementation of the new requirements. Through our usual close cooperation with you, we are confident that we can continue the smooth technical process of the certification procedures with which you are familiar.

Note: The new CNCA regulatory regime is binding and must therefore be implemented. Please note that our summary covers only the key aspects. It is not exhaustive. Furthermore, the CNCA is still developing the regulatory framework, so further adjustments cannot be excluded.