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Administration and Accreditation Approach for Management System Certification in China

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9th June 2007

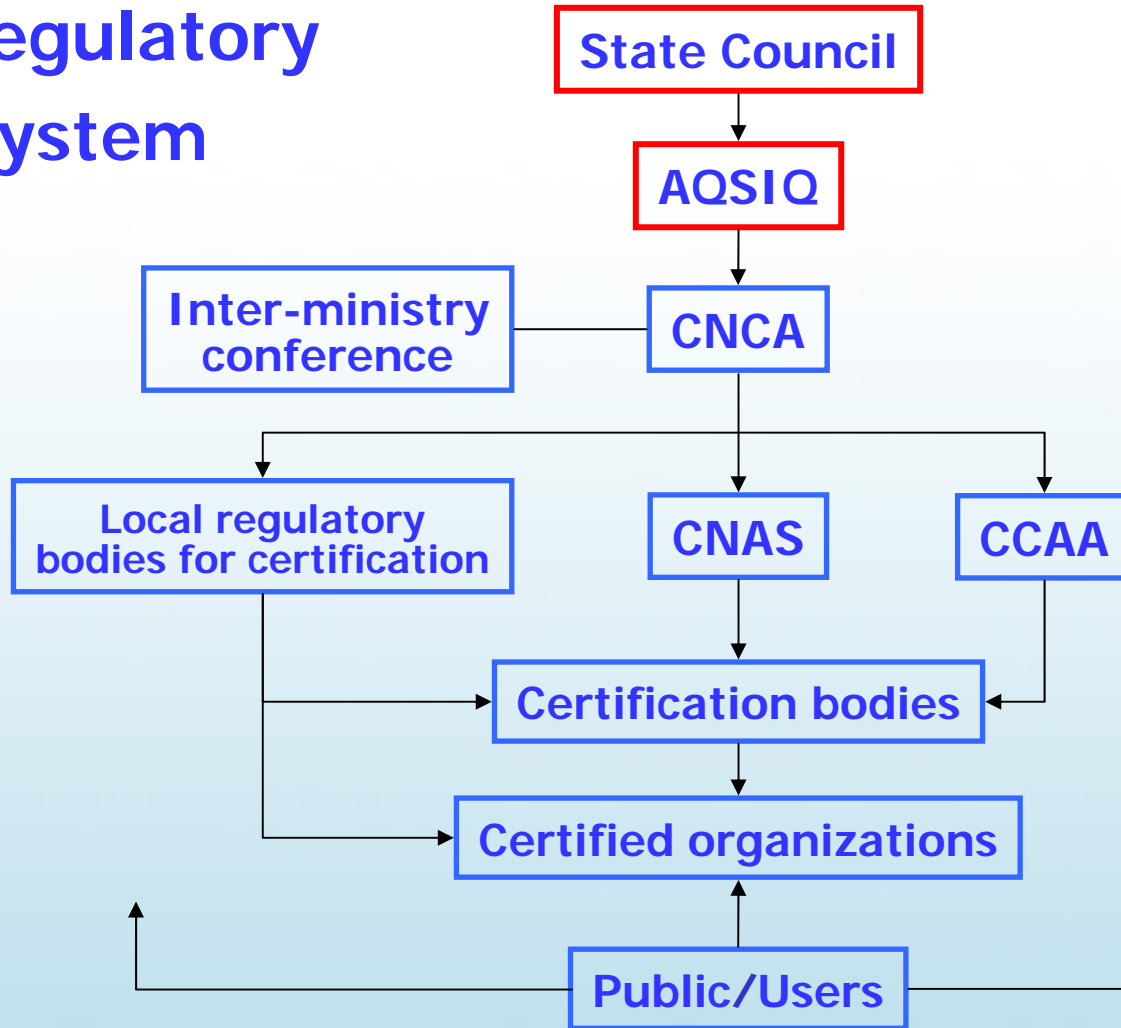


Topics

- 1. Regulatory system**
 - 1.1 Laws and regulations system**
 - 1.2 Administrative supervision system**
 - 1.3 Accreditation system**
 - 1.4 Self-discipline system**
- 2. Development of regulatory system**



1. Regulatory System





1. Regulatory system

Regulatory system – Development	Two stages divided by Aug 2001, the establishment of CNCA: Separated supervision vs. Unified supervision
Regulatory system – Composition	Statutory requirements Administrative supervision Accreditation Self-discipline Public supervision



1.1. Laws and regulations system

(1) Regulations on Certification and Accreditation of the People's Republic of China

(2) Associated administrative rules and regulating documents related to MS certification

- Measures on approval, registration and administration of certification bodies and certification training, consulting bodies
- Administrative rules on certification personnel and certification training, consulting personnel
- Administrative rules on certificates and marks of certification



1.2. Administrative supervision system

Features:

Based on international standards
Following the situation of China

Operation System:

Unified system of regulatory bodies for certification
with responsibilities assumed at respective levels

- Certification and Accreditation Administration of P. R. of China (CNCA)
- Local regulatory bodies for certification



1.2. Administrative supervision system

Principles:

- Marketization -
Promoting market's regulating functions
- Legalization –
Improving legal system, raising standard of law enforcement
- Informatization –
Improving information disclosure, increasing transparency, accepting public supervision
- Internationalization –
Utilizing international experiences and ideas, integrating actual conditions of China, establishing supervision system for certification consistent with international common rules



1.2 Administrative supervision system

(1) CBs approved by CNCA (by the end of 2007 May)

MS CBs, incl.	122
QMS CBs	110
EMS CBs	76
Product CBs (incl. organic CBs)	95
Total: CBs	182
CB's subsidiaries	192
CB's sub-offices	422

Note: Some certification bodies perform both MS certification and product certification



1.2. Administrative supervision system

Supervision means:

- Administrative approval
- Supervision checking of certified organizations regarding effectiveness of certification
- Examining certification files
- Surveys on satisfactions towards certification
- Voluntary supervisor of certification and accreditation
- Investigating and handling complaints



1.2 Administrative supervision system

(2) QMS & EMS CBs cleared out from certification market

Total of QMS & EMS certification bodies cleared out from certification market by CNCA since Nov. 2001: **19**

(3) Features of ad hoc administrative checking of certification effectiveness

Content	Mainly checking the operation of management system of the certified organizations, and tracing the related certification processes
Organization & performance	Organized by CNCA
	Related technical support for accreditation & certification provided by CNAS; some administrative checking combined with accreditation surveillance, focusing on CB's operation and post-follow up
	Implemented by local regulatory bodies for certification, focusing on the site of certified organizations



1.3 Accreditation system

Feature: Internationalized accreditation system &
Chinese characteristic enforcement measures

Body: China National Accreditation Service for Conformity Assessment

Accreditation criteria: adopting relevant international standards

Accreditation rules: conforming to relevant international standards

External support: Administrative supervision system
International multilateral recognition system
Self-discipline system
End-User feedback mechanism



1.3 Accreditation system

(1) Systematic evaluation

Systematic evaluation of certification competence and impartiality
incl. assessment of general management capability and
specific technical competence with respect to certification

CBs accredited by CNAS (by the end of May 2007)	No. of accreditations	No. of accredited scopes	No. of CB's critical locations
MS certification, incl.	87	5401	118
QMS	81	2016	95
EMS	67	1465	23
Product certification (incl. organic certification)	49	2277	12
Others	93	1928	4
Total No. of accredited CBs: 120	290 accreditations in total	7686	122

Note: Some certification bodies perform both MS certification and product certification



1.3 Accreditation system

(2) On-going surveillance

Surveillance methods: periodic surveillance assessment; ad hoc surveillance; periodic reassessment; complaints investigation

“Explanations on provisions for the non-acceptance of accreditation application and the suspension or withdrawal of accreditation”

- clearly stating the “red line” & “yellow line” in accreditation,
- enhancing cautioning mechanism, and
- strengthening elimination mechanism

MS CBs - accreditations were suspended or withdrawn by CNAS
(including those termination of accreditation as applied by CBs due to various reasons)
(2002/07 ~ 2007/05, since the merging of ABs)

No. of CBs whose accreditations were suspended or withdrawn (including those termination as applied by CBs)	33 CBs, 40 times
Percentage of suspended/withdrawn accreditations in total MS accreditations granted	30 %



1.3 Accreditation system

(2) On-going surveillance

Accreditation risk management based on risk grading (risk assessment started since 2007-05)

Purpose	Encourage CB's self improvement; reasonable allocation of assessment resources; increase accreditation effectiveness; reducing accreditation risk
Principle	Stable resources of information; combining scoring and direct assessment; dynamic management

Accreditation risk management

Grading	Grade A: System functioning normally; proactive self-discipline; remarkable achievement in continuous improvement; low accreditation risk Grade B: System functioning normally in general; capable of self-discipline; medium accreditation risk Grade C: System functioning normally in general; various concerns existing; high accreditation risk
Managing measures	In terms of: surveillance assessment intervals; intensity of witnessing; No. of samples; on-site assessment duration & man-days; assessment for extension of accreditation scopes



1.3 Accreditation system

(3) Support & interaction

Technical support	2003-2007, CNAS participated or undertook 11 ad hoc administrative checking of certification effectiveness, and those undertaken in 2006 equivalent to 40% of the workload of routine accreditation assessment.
Interactive surveillance	Utilizing information from administrative checking and self-discipline to trace relevant problems, identify accreditation risk, enhancing the relevance of accreditation surveillance, deepen the effects of administrative checking

(4) Information disclosure

- **Scope: accredited certifications**
- **Information on certified organizations:**
General information on status of certified organizations
Updated monthly on CNAS website since 2006



1.3 Accreditation system

(5) End-user supervising and feedback mechanism

Purpose: Understand end-user expectations, listen to end-user opinions, establish end-user supervision and feedback mechanism, focus on the end outcomes of accreditation, enhance the effectiveness, credibility and utilization of accreditation

- Establish end-user liaison network and information feedback platform
- Collect information on the end-user opinions about the effectiveness, credibility and utilization of accreditation and certification, and the demands for development and supervision of accreditation and certification
- Take corresponding generic and specific measures in accreditation work according to information and suggestions from end-users

Note: CNAS started feedback mechanism in 2006 and has been continuing to improve it.



1.3 Accreditation system

CNAS accredited MS certifications (by the end of 2006)	Accumulative total of Certificates issued	Increase than last year	Certificates suspended in 2006		Certificates withdrawn in 2006	
			No.	%	No.	%
QMS	163,298	13.5%	12,540	7.7%	20,750	12.7%
EMS	18,979	49.6%	745	4.0%	1,591	8.4%
Other type of MS:						
- OHSMS	10,064	69.9%	459	4.6%	617	6.1%
- FSMS	1440	341.7%	27	1.9%	32	2.2%

Note: The certificate-withdrawn organizations partially changed to other CBs' certifications. For the suspension of certification, non-acceptance of surveillance by certified organizations in due time was major reason in terms of number of suspensions, while there were other reasons.



1.4 Self-discipline system

Feature: bridging the communications among interested parties
mutual supervision and restraining

Enforcing body: China Certification and Accreditation Association
(CCAA)

Management mechanism: developing professional codes and conducting peer evaluation to promote self-discipline.

Motivating mechanism: awarding bodies, organizations and individuals for proper behavior and prominent contributions to advocate professional ethics.

Supervision mechanism: establishing scientific, objective and standardized evaluation system to assess bodies and individuals' performance and credibility, and announcing results for administrative supervision, accreditation and public to rely on adequately.



1.4 Self-discipline system

Professional codes already developed and implemented:

- (1) China Certification and Accreditation Self-discipline Pact
- (2) Certification Body's Fair Competition Codes
 - Management System Certification Prices
- (3) Provisions for Changing Employing Bodies by Certification Auditor



2. Development of China regulatory system for certification

Ultimate goal:

- Enhancing effectiveness of and public confidence on certification and accreditation
- Promoting prevalent confidence and acceptance of certification and accreditation results

Development strategy:

- From consolidation & improvement to substantiation & development



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2. Development of China regulatory system for certification

Medium-long term development objectives of China certification and accreditation

- Establish relatively sound and complete system of law, regulations, standards and technical specifications
- Form fit-for-use certification system combining both mandatory product certification and voluntary certification
- Build unified, authoritative national accreditation system of relatively high international fame
- Form sound and complete recognition system of testing and inspection qualifications
- Establish certification and accreditation administrative law enforcement and supervision system featured by well-defined authorities and responsibilities, regular behaviors, effective supervisions and convincing assurance
- Establish food and agricultural product certification and accreditation system meeting public demand and in line with international practices
- Proactive international interaction and cooperation with the core of achieving international mutual recognition
- Improve informatized operational network and service platform, achieve the sharing, exploiting and utilization of information resources
- Build a certification and accreditation talent pool suitable for the needs of development



2. Development of China regulatory system for certification

Main tasks of further development of China regulatory system for certification and accreditation

- (1) Further the progress and quality of government legislating, facilitate the improving and maturing of certification and accreditation regulations system**
- (2) Further the consolidation and improvement of administrative supervision outcomes, actively innovate and improve new systems and mechanisms of administrative supervision**



2. Development of China regulatory system for certification

- (3) Further the development of accreditation system, enhance accreditation's role of technical supervision
- (4) Further the advantages of self-discipline by professional association, expedite the development of honest-trust mechanism of certification and accreditation
- (5) Further the publicity of certification and accreditation, promote the utilization of certification and accreditation results
- (6) Strengthen international cooperation and exchange further, continue to enrich and develop internationalized certification and accreditation system with Chinese characteristics



China certification and accreditation

**Excel by quality,
develop scientifically**

**Follow international rules,
integrate the situation of China**



**Thanks IAF for supporting
the certification and
accreditation in China!**



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Thank you!