Conformity Assessment and Accreditation Practices - The China Experience

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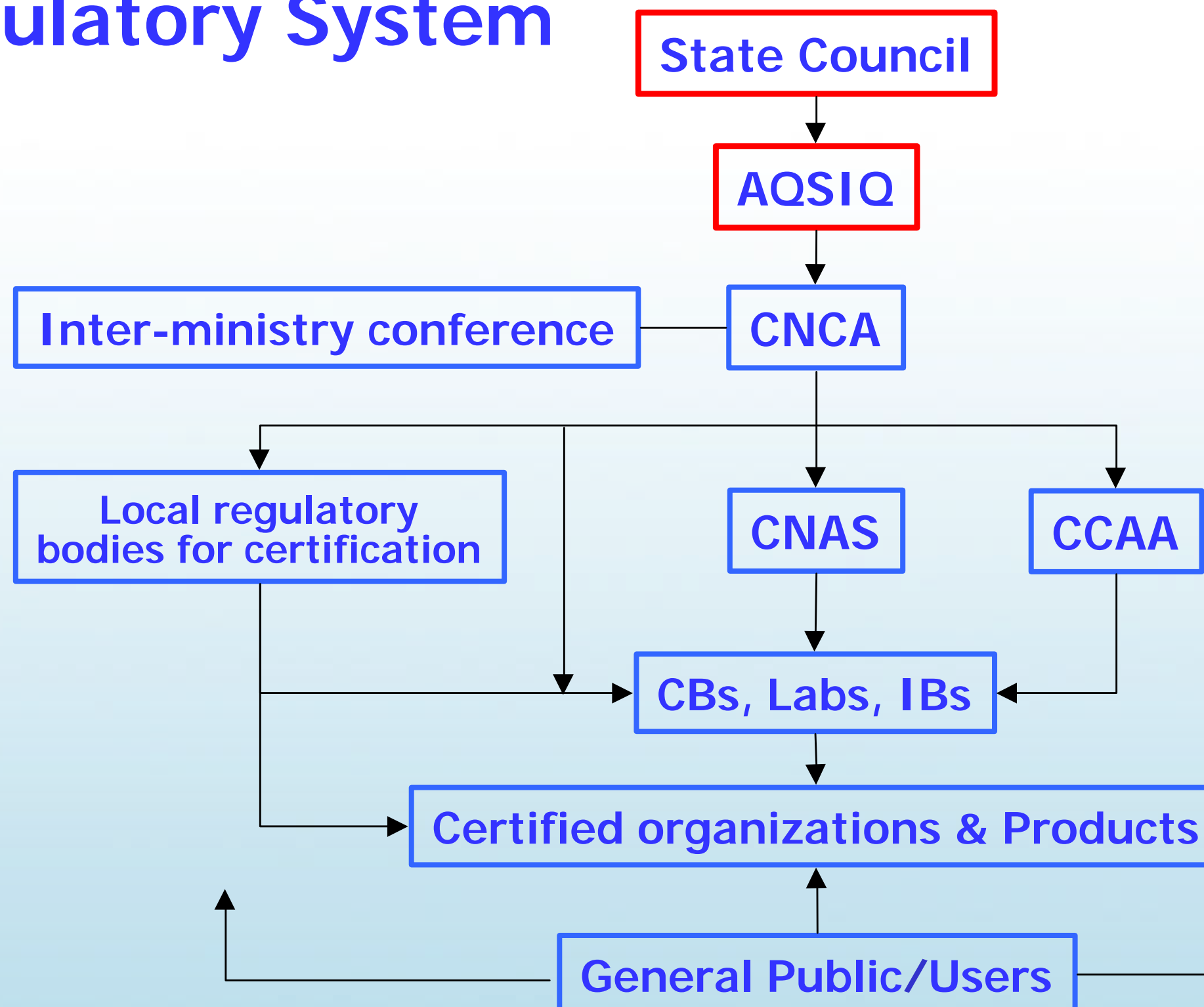# Topics

1. Regulatory system

2. Statutory requirements

3. Administrative supervision system

4. Accreditation system

5. Self-discipline system

6. Development of regulatory system

1. Regulatory System

State Council

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AQSIQ

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Inter-ministry conference — CNCA

Local regulatory bodies for certification

CNAS

CCAA

CBs, Labs, IBs

Certified organizations & Products

General Public/Users

1. Regulatory System

- **AQSIQ: General Administration of Quality Supervision, Inspection and Quarantine of the People's Republic of China**

- **CNCA: Certification and Accreditation Administration of the People's Republic of China**

- **CNAS: China National Accreditation Service for Conformity Assessment**

- **CCAA: China Certification and Accreditation Association**

1. Regulatory system

Regulatory system – Development	Two different stages before and after the establishment of CNCA in Aug 2001 : Separated supervision vs. Unified supervision
Regulatory system – Composition	- Statutory requirements - Administrative supervision - Accreditation - Self-discipline - Public supervision

2. Statutory requirements

(1) Laws

- **Law on Standardization**

- **Law on Product Quality**

- **Law on Import & Export Commodity Inspection**

- **and etc**

(2) Regulations on Certification and Accreditation

2. Statutory requirements

(3) Associated administrative rules and regulating documents related to certification

- Administrative rules on approval, registration and administration of certification bodies and certification training, consulting bodies

- Administrative rules on certification personnel and certification training and consulting personnel

- Administrative rules on compulsory product certification

- Administrative rules on the mark of compulsory product certification

- and etc

3. Administrative supervision system

Features:

> **Based on international rules and standards &
> Integrating 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**

3. Administrative supervision system

Principles:

- **Marketlization:** 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

3. Administrative supervision system

CBs approved by CNCA
(by the end of Oct 2007)

Management System CBs, incl.	
QMS CBs	**109**
EMS CBs	**83**
Product CBs	**96**
Total: CBs	**183**

Note: Some certification bodies perform both management system certification and product certification

3. Administrative supervision system

Supervision means:

- Administrative approval for certification service

- Designation for compulsory product certification

- Supervision checking of certified organizations and/or certified products regarding effectiveness of certification

- Examining certification files

- Surveys on satisfactions towards certification

- Voluntary supervisor of certification and accreditation

- Investigating and handling complaints

3. Administrative supervision system

Sanctions:

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. Administrative supervision system

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

4. Accreditation system

Feature:

Internationalized accreditation system & Chinese characteristic enforcement measures

Body:

China National Accreditation Service for Conformity Assessment (CNAS)

Accreditation criteria:

Adopting relevant international standards

Accreditation rules:

Conforming to relevant international standards

4. Accreditation system

Systematic evaluation: competence and impartiality

CBs accredited by CNAS (by the end of Oct 2007)	accreditations
MS certification, incl. QMS EMS OHSMS FSMS	238 84 66 61 27
Product certification, incl. organic food and GAP	58
Person certification	1
Total No. of accredited CBs:**124**	

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

4. Accreditation system

Systematic evaluation: competence and impartiality

Labs and related facilities accredited by CNAS (by the end of Oct 2007)	accreditations
Testing Laboratory	2530
Calibration laboratory	409
Medical laboratory	9
Laboratory Bio-safety	15
Provider of PT Schemes	11
Reference Material Producer	3
Inspection bodies accredited by CNAS (by the end of Oct 2007)	91

4. Accreditation system

On-going surveillance:

- **periodic surveillance assessment**
- **ad hoc surveillance**
- **periodic reassessment**
- **complaints investigation**

MS CBs - accreditations suspended or withdrawn by CNAS
(including those termination of accreditation as applied by CBs due to various reasons)

(2002/07 ~ 2007/10, since the merging of ABs)

No. of MS CBs whose accreditations were suspended or withdrawn by CNAS (including those termination as applied by CBs)	33 CBs, 49 times

4. Accreditation system

On-going surveillance:

Accreditation risk management based on risk grading

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

4. Accreditation system

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 and identify accreditation risk, enhancing the relevance of accreditation surveillance, and deepening the effects of administrative checking

Information disclosure

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

4. Accreditation system

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

4. 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%
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.

5. Self-discipline system

Feature:

bridging the communications among interested parties, mutual supervision and restraining

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.

5. Self-discipline system

Professional codes already developed and implemented:

- China Certification and Accreditation Self-discipline Pact

- Certification Body's Fair Competition Codes
    – Management System Certification Prices

- Provisions for Changing Employing Bodies by Certification Auditor

6. 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

6. 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

6. Development of China regulatory system for certification

Medium-long term development objectives of China certification and accreditation

- Establish certification/accreditation administrative law enforcement and supervision system featured by well-defined authorities and responsibilities, 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 and utilization of information resources

6. Development of China regulatory system for certification

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

- Further the progress and quality of government legislating, facilitate the improving and maturing of certification and accreditation regulations system

- Further the consolidation and improvement of administrative supervision outcomes, actively innovate and improve new systems and mechanisms of administrative supervision

- Further the development of accreditation system, enhance accreditation's role of technical supervision

6. Development of China regulatory system for certification

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

- Further the advantages of self-discipline by professional association, expedite the development of honest-trust mechanism of certification and accreditation

- Further the publicity of certification and accreditation, promote the utilization of certification and accreditation results

- Strengthen international cooperation and exchange further, continue to enrich and develop internationalized certification and accreditation system with Chinese characteristics

China certification and accreditation

Follow international rules,

integrate national situation

Questions!