



国际认可中国日

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中国认证认可监管体系

Administration and Accreditation Approach
for Management System Certification in China

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2007年6月9日 · 9th June 2007



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2. 监管体系的远景 Development of regulatory system



1. 监管体系 Regulatory system

<p>监管体系的发展 Regulatory system – Development</p>	<p>2001年8月，国家认监委成立前后，分散管理与统一管理两个阶段 Two stages divided by Aug 2001, the establishment of CNCA: Separated supervision vs. Unified supervision</p>
<p>监管体系的构成 Regulatory system – Composition</p>	<p>法律规范 Statutory requirements 行政监管 Administrative supervision 认可约束 Accreditation 行业自律 Self-discipline 社会监督 Public supervision</p>



1. 监管体系

1. Regulatory system





1.1. 法律法规体系 Laws and regulations system

(1) 中华人民共和国认证认可条例

Regulations on Certification and Accreditation of People's Republic of China

(2) 配套规章和规范性文件(管理体系认证相关的部分文件)

Associated administrative rules and regulating documents related to MS certification

认证机构及认证培训、咨询机构审批登记与监督管理办法

Measures on approval, registration and administration of certification bodies and certification training, consulting bodies

认证及认证培训、咨询人员管理办法

Administrative rules on certification personnel and certification training, consulting personnel

认证证书和认证标志管理办法

Administrative rules on certificates and marks of certification



1.2. 行政监管体系 Administrative supervision system

主要特征: 基于国际标准, 符合中国国情

Features: Based on international standards
Following the situation of China

工作体制: 统一和分级负责的认证行政监管机构体系

- 国家认证认可监督管理委员会
- 地方认证监督管理部门

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. 行政监管体系 Administrative supervision system

基本原则 Principles:

市场化—发挥市场调节作用

Marketization - promoting market's regulating functions

法制化—健全法律制度，提高执法水平

Legalization - improving legal system, raising standard of law enforcement

信息化—改善信息披露，提高透明度，接受社会监督

Informatization - improving information disclosure, increasing transparency, accepting public supervision

国际化—借鉴国际经验理念，结合中国实际状况，建立符合国际通行规则的认证监管体系

Internationalization - utilizing international experiences and ideas, integrating actual conditions of China, establishing supervision system for certification consistent with international common rules



1.2. 行政监管体系 Administrative supervision system

监管方式 Supervision means:

行政许可 Administrative approval

获证组织认证有效性监督检查 Supervision checking of certified organizations regarding effectiveness of certification

认证档案稽查 Examining certification files

认证满意度调查 Surveys on satisfactions towards certification

认证认可义务监督员制度 Voluntary supervisor of certification and accreditation

投诉案件调查处理 Investigating and handling complaints



1.2 行政监管体系 Administrative supervision system

(1) 批准的认证机构（截止2007年5月底）

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

从事管理体系认证的机构 MS CBs, incl.	122
其中，质量管理体系机构 QMS CBs	110
环境管理体系机构 EMS CBs	76
从事产品认证的机构(含有机认证机构) Product CBs (incl. organic CBs)	95
合计: 认证机构 Total: CBs	182
分支机构 CB's subsidiaries	192
办事机构 CB's sub-offices	422

注: 部分机构同时开展管理体系认证和产品认证

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



1.2 行政监管体系 Administrative supervision system

(2) 清理退出认证市场的质量和环境管理体系认证机构

QMS & EMS certification bodies cleared out from certification market

2001年11月以来，国家认监委清理
退出认证市场的质量和环境管理体系
认证机构数

19

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



1.2 行政监管体系 Administrative supervision system

(3) 获证组织认证有效性行政专项检查主要特点

Ad hoc administrative checking of certification effectiveness - Features

检查内容 Content	主要检查获证组织管理体系运行状况，并追溯相关认证过程 Mainly checking the operation of management system of the certified organizations, and tracing the related certification processes
组织实施 Organization & performance	国家认监委统一组织 Organized by CNCA
	认可委员会提供认可与认证技术支持；部分行政监督检查工作结合认可监督实施，侧重认证机构运行与后续跟踪 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
	地方认监部门具体实施，侧重获证组织现场 Implemented by local regulatory bodies for certification, focusing on the site of certified organizations



1.3 认可约束体系 Accreditation system

基本特征： 国际化认可体系，中国化实施机制

Feature: Internationalized accreditation system & Chinese characteristic enforcement measures

执行机构： 中国合格评定国家认可委员会

Body: China National Accreditation Service for Conformity Assessment

认可依据： 认可准则采用相应国际标准，认可规则符合相应国际标准

Accreditation criteria: adopting relevant international standards

Accreditation rules: conforming to relevant international standards

外部支持： 行政监管体系 Administrative supervision system

External support: 国际互认体系 International multilateral recognition system

support: 行业自律体系 Self-discipline system

用户反馈机制 End-User feedback mechanism



1.3 认可约束体系 Accreditation system

(1) 系统评价 Systematic evaluation

系统的认证能力与公正性评价

Systematic evaluation of certification competence and impartiality

含总体认证管理能力和具体认证专业能力评审

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



1.3 认可约束体系 Accreditation system

(1) 系统评价 Systematic evaluation

CNAS认可的认证机构 (截止2007年5月底) CBs accredited by CNAS (by end of May 2007)	认可数量(个) No. of accreditations	认证范围(个) No. of accredited scopes	分支机构(个) No. of CB's critical locations
管理体系认证 MS certification, incl.	87	5401	118
其中, 质量管理体系 QMS	81	2016	95
环境管理体系 EMS	67	1465	23
产品认证(含有机认证) Product certification (incl. organic certification)	49	2277	
其他 Others	93	1928	4
现行认可的认证机构总计(个) Total No. of accredited CBs: 120	认可的认证机构领域: 290 accreditations granted in total	7686	122

注: 部分机构同时开展管理体系认证和产品认证

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



1.3 认可约束体系 Accreditation system

(2) 连续监督 On-going surveillance

监督方式：定期监督、专项监督、定期复评、投诉处理

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

《不予受理认证机构认可申请和暂停、撤销认证机构认可资格 有关规定的说明》：

明晰认可红线与黄线,增强警示机制,强化退出机制

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



1.3 认可约束体系 Accreditation system

(2) 连续监督 On-going surveillance

CNAS暂停、注销和撤销认可资格的管理体系认证机构
2002年7月-2007年5月(认可机构整合以来)

MS CBs - accreditations were suspended or withdrawn
by CNAS (2002/07 ~ 2007/05, since the merging of ABs)

暂停/注销/撤销认可资格的管理体系认证机构总数 No. of CBs whose accreditations were suspended or withdrawn	33个机构, 40次 33 CBs, 40 times
暂停/注销/撤销认可资格的管理体系认证机构数占 管理体系认证机构累计认可数比例 Percentage of suspended/withdrawn accreditations in total MS accreditations granted	30 %



1.3 认可约束体系 Accreditation system

(2) 连续监督 On-going surveillance

认可风险分级管理 (2007年5月开始实施风险评价)

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

<p>目的 Purpose</p>	<p>鼓励认证机构自我完善, 合理分配评审资源, 提高认可有效性, 降低认可风险 Encourage CB's self improvement; reasonable allocation of assessment resources; increase accreditation effectiveness; reducing accreditation risk</p>
<p>原则 Principle</p>	<p>信息来源稳定, 评分和直接评价相结合, 动态管理 Stable resources of information; combining scoring and direct assessment; dynamic management</p>



1.3 认可约束体系 Accreditation system

(2) 连续监督 Systematic evaluation

认可风险分级管理 Accreditation risk management

级别划分 Grading	<p>A级： 系统运作正常，自律行为积极主动，持续改进效果明显，认可风险低 Grade A: System functioning normally; proactive self-discipline; remarkable achievement in continuous improvement; low accreditation risk</p> <p>B级： 系统运作基本正常，能采取自律行动，认可风险中等 Grade B: System functioning normally in general; capable of self-discipline; medium accreditation risk</p> <p>C级： 系统运作基本正常，存在问题较多，认可风险高 Grade C: System functioning normally in general; various concerns existing; high accreditation risk</p>
管理措施 Mgt. measures	<p>主要体现： 监督评审周期，见证项目数量，评审抽样量，现场评审人日数，业务范围的认可管理等方面 In terms of: surveillance assessment intervals; intensity of witnessing; No. of samples; on-site assessment duration & man-days; assessment for extension of accreditation scopes</p>



1.3 认可约束体系 Accreditation system

(3) 支撑互动 Support & interaction

<p>技术支撑 Technical support</p>	<p>2003年-2007年, CNAS参与或承担认证有效性行政专项监督检查11次, 其中, 2006年承担行政专项监督检查相当于日常认可评审工作量约40%</p> <p>2003-2007, CNAS participated or undertook 11 ad hoc administrative checking of certification effectiveness, and those undertaken in 2006 equivalent to 40% of the work load of routine accreditation assessment.</p>
<p>互动监督 Interactive surveillance</p>	<p>运用行政监督检查信息和行业自律信息, 跟踪相关问题, 识别认可风险, 增强认可监督针对性, 深化行政监督检查成果, 促进行业自律措施的实施</p> <p>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, and facilitate the enforcement of self-discipline measures</p>



1.3 认可约束体系 Accreditation system

(4) 信息披露 Information disclosure

– 范围 Scope

认可的认证项目 accredited certifications

– 获证组织信息 Information on certified organizations

认可的各获证组织认证状态基本信息

General information on status of certified organizations

自2006年起认可委员会每月网上更新

Updated monthly on CNAS website since 2006



1.3 认可约束体系 Accreditation system

(5) 最终用户监督反馈机制

End-user supervising and feedback mechanism

目的： 了解最终用户期望，听取最终用户意见，建立最终用户监督反馈机制，关注认可最终结果，提高认可有效性与采信度

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



1.3 认可约束体系 Accreditation system

(5) 最终用户监督反馈机制 End-user supervising and feedback mechanism

- 搭建最终用户监督信息反馈平台
- 采集最终用户对认可和认证规范性与有效性的评价信息，对认可和认证结果采信情况的信息，对认可和认证发展与管理要求的意见等信息
- 根据最终用户反馈信息和建议，普遍性与针对性相结合，采取相应认可工作措施

注：认可委员会于2006年启动反馈机制，正在继续完善

- 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 认可约束体系 Accreditation system

CNAS认可的 管理体系认证状况 (截止2006年12月底) CNAS accredited MS certifications (by the end of 2006)	认证证书 累计 Accumulative total of Certificates issued	比上年 增长率 Increase than last year	当年暂停证书 Certificates suspended in 2006		当年撤销证书 Certificates withdrawn in 2006	
			数量 No.	比例 %	数量 No.	比例 %
质量管理体系 QMS	163,298	13.5%	12,540	7.7%	20,750	12.7%
环境管理体系 EMS	18,979	49.6%	745	4.0%	1,591	8.4%
其他管理体系 Other type of MS:						
- 职业健康安全 OHSMS	10,064	69.9%	459	4.6%	617	6.1%
- 食品安全 FSMS	1440	341.7%	27	1.9%	32	2.2%

注：部分证书撤销的组织转换为其他认证机构认证

Note: some of certificate-withdrawn organizations transferred to other CBs' certifications



1.4 行业自律体系

Self-discipline system

基本特征：相关方沟通桥梁，相互间监督约束

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

执行机构：中国认证认可协会

Enforcing body: China Certification and Accreditation Association
(CCAA)



1.4 行业自律体系

Self-discipline system

管理机制： 制定行业规范并通过同行互查互评，促进行业自律。

激励机制： 表彰奖励行为规范贡献突出的机构、企业和个人，树行业风尚。

监督机制： 建立科学、公正、规范的评估体系，对从业机构和个人进行业绩和公信评估，发布评估结果，为行政监管和认可约束以及社会采信提供充分依据

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 行业自律体系 Self-discipline system

已制定并实施的行业规范:

- (1) 中国认证认可行业自律公约
- (2) 认证机构公平竞争规范 — 管理体系认证价格
- (3) 认证审核员转换执业机构暂行规定

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. 中国认证监管体系的远景

Development of China regulatory system for certification

根本目标:

提高认证认可的有效性和公信力

促进认证认可结果得到普遍信任和接受

发展战略:

先巩固、提高，再充实、拓展

Ultimate goal:

Enhancing effectiveness and public confidence of certification and accreditation

Promoting prevalent confidence and acceptance of certification and accreditation results

Development strategy:

From consolidation & improvement to substantiation & development



2. 中国认证监管体系的远景

Development of China regulatory system for certification

中国认证认可的中长期发展目标：

Medium-long term development objectives of China certification and accreditation

- **形成较为健全的法律法规、技术规范和标准体系**
Establish relatively sound and complete system of law, regulations, standards and technical specifications
- **形成适应需要的强制性产品认证与自愿性认证相结合的认证制度**
Form fit-for-use certification system combining both mandatory product certification and voluntary certification
- **建设具有较高国际声誉的统一、权威的国家认可制度**
Build unified, authoritative national accreditation system of relatively high international fame
- **形成完善的检验检测资质认定体系**
Form sound and complete recognition system of testing and inspection qualifications
- **建立权责明确、行为规范、监督有效、保障有力的认证认可行政执法监管体制**
Establish certification and accreditation administrative law enforcement and supervision system featured by well-defined authorities and responsibilities, regular behaviors, effective supervisions and convincing assurance



2. 中国认证监管体系的远景

Development of China regulatory system for certification

中国认证认可的中长期发展目标：

Medium-long term development objectives of China certification and accreditation

- **建立适应社会需要和与国际接轨的食品与农产品认证认可体系**
Establish food and agricultural product certification and accreditation system meeting public demand and in line with international practices
- **以实现国际互认为核心，积极开展国际互认和合作**
Proactive international interaction and cooperation with the core of achieving international mutual recognition
- **健全业务信息化网络和服务平台，实现信息资源共享和开发利用**
Improve informatized operational network and service platform, achieve the sharing, exploiting and utilization of information resources
- **建立一支适应业务发展需要的认证认可人才队伍**
Build a certification and accreditation talent pool suitable for the needs of development



2. 中国认证监管体系的远景

Development of China regulatory system for certification

深化中国认证认可监管体系建设的主要工作:

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

(1) 进一步加快和提高政府立法进度和质量，促进认证认可法规体系更趋完善和成熟

适时加快立法进度，不断提高立法质量

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

Timely expedite legislating progress, continuously improve the quality of legislation



2. 中国认证监管体系的远景

Development of China regulatory system for certification

(2) 进一步巩固和发展行政监管成果，积极创新和完善行政监管的新机制和新体制

进一步理顺行政监管体制，完善制度，不断提高行政监管的效能和水平

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

Further the coordination and completion of administrative supervision systems, continuously improve the efficiency and standards of administrative supervision



2. 中国认证监管体系的远景

Development of China regulatory system for certification

- (3) 进一步加强认可约束体系建设，强化认可技术性监督作用
进一步加强和充实CNAS认可体系，充分发挥认可体系对增强认证有效性的技术性监督和约束作用
不断增强CNAS的规范引导机制、技术服务机制和评价监督机制，进一步完善CNAS的最终用户监督反馈机制，继续加强CNAS与国际同行的合作与交流
- (3) Further the development of accreditation system, enhance accreditation's role of technical supervision
Further the strengthening and substantiation of CNAS accreditation system, adequately exert its technical supervision and restraining roles in enhancing certification effectiveness
Continuously enhance CNAS normalizing-directing mechanism, technical service mechanism and assessing-supervising mechanism, further improve CNAS end-user supervising and feedback mechanism, actively strengthen cooperation and exchange between CNAS and international peers



2. 中国认证监管体系的远景

Development of China regulatory system for certification

- (4) 进一步发挥行业自律组织自我约束的优势，加快认证认可诚信机制建设

逐步把自律的重点转变到认证过程的质量和诚信机制建设

在行业发展战略与技术研究、提升全社会对认证认可的认知程度、制定认证机构及相关组织内部管理导则、国际同行交流等方面发挥作用

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

Gradually shift the emphasis of self-discipline to the quality of certification process and the development of honest-trust mechanism

Play active roles in development strategy study and technical research, promoting public recognition of certification and accreditation, developing internal management directives for CBs and related organizations and international peer exchange



2. 中国认证监管体系的远景

Development of China regulatory system for certification

(5) 进一步加强认证认可宣传，提高认证认可结果的采信度

提高全社会对认证认可工作重要性和作用的认识

增强公众参与和监督意识

提高认证认可结果的采信度

(5) Further the publicity of certification and accreditation, promote the utilization of certification and accreditation results

Raise public awareness of the importance and role of certification and accreditation

Raise public awareness of participation and supervision

Enhance the utilization of certification and accreditation results



2. 中国认证监管体系的远景

Development of China regulatory system for certification

(6) 进一步加强国际交流与合作，不断丰富与发展具有国际化和中国特色的认证认可体系建设

积极开展双边、多边国际合作

不断强化认证认可国际协调机制，提升国际影响力

积极推进国际互认

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

Actively conduct bilateral and multilateral cooperation

Continue to enhance certification and accreditation international coordination mechanism, increase international influence

Actively promote international mutual recognition



中国认证认可

以质取胜, 科学发展

符合国际规则, 具有中国特色

China certification and accreditation

Excel by quality, develop scientifically

Follow international rules, integrate the
situation of China



感谢

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谢谢大家!

Thank you!