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**CERTIFICATION AND ACCREDITATION INDUSTRY STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

RB/T 073-2021

**Guidelines for risk management of certification body
(English Translation)**

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Table of Contents

Preface	
Introduction	
1 Scope	
2 Normative references	
3 Terms and Definitions	
4 Risk Management Principles	
4.1 Strategic Orientation	
4.2 Overall integration	
4.3 Business Coordination	
4.4 Full participation	
5 Risk Management Framework	
5.1 Policy and Objective	
5.2 Leadership and Commitment	
5.3 Frame Design	
5.4 Implementation	
5.5 Evaluation and Improvement	
6 Risk Management Process	
6.1 Overview	
6.2 Determining the scope, context and criteria of risk	
6.3 Risk assessment	
6.4 Risk response	
6.5 Communication and consultation	
6.6 Supervision and Inspection	
6.7 Record	
Appendix A (Informative) Example of Certification Body Risk List	
Appendix B (Informative) Example of Risk Analysis and Evaluation of Certification Body	
Reference	

Foreword

This document is in accordance with the provisions of GB/T 1.1-2020 "Guidelines for Standardization Work Part 1: Structure and Drafting Rules of Standardization Documents"

Drafting.

Please note that some content of this document may be patented. The issuing agency of this document assumes no responsibility for identifying patents.

Introduction

Effective risk management helps certification body decision makers make the right choices when faced with risks, creating and protecting certification bodies value.

This document provides general guidance on risk management for certification bodies. When different certification bodies carry out risk management practices, they can Considering the design and implementation path of the risk management framework, through risk identification, analysis, evaluation and formulating corresponding countermeasures to ensure its Effectiveness of risk management activities.

The risk management level of certification institutions will be significantly affected by factors such as personnel capabilities and their cognition levels, requiring full participation and clear responsibilities.

appoint. At the same time, due to the iterative nature of risk itself, certification bodies need to remain sensitive to changes in internal and external environments, and continuously improve risk management measure.

Risk Management Guidelines for Certification Bodies

1 Scope

This document provides the principles, framework and process for implementing risk management by certification bodies.

This document is applicable to certification bodies of all types and sizes and provides guidance on their risk management.

2 Normative references

The contents of the following documents constitute essential provisions of this document through normative references in the text. Among them, dated citations documents, only the version corresponding to that date applies to this document; for undated references, the latest edition (including all amendments) applies to this document.

GB/T 23694 Risk Management Terminology GB/T 27000 Conformity Assessment Vocabulary and General Principles GB/T 27065 Requirements for certification bodies for conformity assessment products, processes and services

3 Terms and Definitions

The terms and definitions defined in GB/T 23694, GB/T 27000 and GB/T 27065 and the following terms and definitions apply to this document. For convenience Use, the following repeats lists some terms and definitions in GB/T 23694, GB/T 27000 and GB/T 27065.

risk

The effect of uncertainty on goals.

Note 1 to entry. Impact refers to deviations from expectations, which can be positive and/or negative.

Note 2 to entry. Objectives can be objectives at different aspects (such as financial, health and safety, environment, etc.) and levels (such as strategy, organization, project products and processes, etc.).

NOTE 3 Risks are usually distinguished by potential events, consequences, or a combination of the two.

Note 4: Risk is usually expressed as a combination of event consequences (including changes in circumstances) and the likelihood of an event occurring.

Note 5 to entry. Uncertainty refers to a state of missing or partial understanding of an event and its consequences or likelihood.

[Source. GB/T 23694-2013, 2.1] 3.2 risk management in terms of risk, directs and controls the coordination activities of the organization.

[Source. GB/T 23694-2013, 3.1] 3.3 Certification certification Third-party certifications related to products, processes, systems or people.

NOTE 1 Management system certification is sometimes also referred to as registration.

Note 2: Certification applies to all conformity assessment objects except the conformity assessment body itself.

[Source. GB/T 27000-2006, 5.5]