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

**RB/T 074-2021**

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**Implementation guidance for management of certification  
responsibility of certification bodies  
(English Translation)**

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## 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" drafted.

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

## Introduction

The certification industry shoulders the mission of transmitting trust and serving development in market economic activities. As the main body of the industry, the certification body has the the different social attributes of other social and economic organizations have certain public welfare attributes, and their own value is established through standardized, effective and honest certification activities.

reflect.

Certification bodies need to effectively perform their own responsibilities and urge relevant parties to perform their corresponding responsibilities in all aspects of the implementation of certification activities.

Any lack of management or out of control, failure to fully perform certification responsibilities will lead to certification risks, and certification risk events will be formed in serious cases, affecting certification goals.

The realization of it will cause losses and other adverse consequences to the certification body itself. Therefore, it is necessary to improve the awareness of certification responsibility, risk management, and effectively implement the Implementing risk prevention and control and implementing certification responsibility traceability are the basic capabilities that certification bodies need to have in market activities. Certification bodies for their own normal for operation and healthy development, it is necessary to comprehensively consider the uncertainty of risks, take necessary prevention and control measures, and integrate relevant post responsibilities into risk prevention.

in control measures.

Certification responsibility management is applicable to the entire certification process of certification bodies and various certification fields, such as system certification, product certification, service certification, process certification Certification, personnel certification, etc., taking into account the relevant certification elements and the functions, levels and activities of the parties involved. An effective risk prevention and control system involves groups the organization's business philosophy, governance structure, management requirements, work procedures, system rules, corporate culture and other aspects, the

implementation of certification responsibilities and the atmosphere Risk prevention awareness, behavior and results are an important part of the management objectives of certification bodies.

The purpose of this document is to guide certification bodies based on the thinking of risk management and control, adopt systematic management methods, allocate resources reasonably, and pass management certification.

Certification responsibility, improve risk response capability and efficiency, and enhance compliance of certification activities. At the same time, guide the certification body to manage the certification responsibility, Provide a unified and standardized basis for institutions to carry out risk prevention and control work.

This document provides guidance for certification bodies to implement certification responsibility management. Certification bodies may self-manage their certification responsibilities in accordance with this document and self-declaration, the certification body may refer to this document when seeking confirmation of the compliance of the relevant parties for the management of certification responsibility and the prevention and control of certification risks.

Implementation Guide for Certification Body Certification Responsibility Management

## 1 Scope

This document establishes the principles for certification bodies to carry out certification responsibility management, and provides identification of certification responsibilities, risks arising from certification responsibilities Guidelines for management, traceability of certification responsibilities, performance evaluation and improvement.

This document applies to the certification responsibility management and responsibility risk prevention and control of certification bodies to carry out certification activities. Relevant parties can use it for reference.

## 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 19000 Quality Management System Fundamentals and Terminology GB/T 23694 Risk Management Terminology GB/T 27000 Conformity Assessment Vocabulary and General Principles ISO 31000 Risk Management - Guidelines (Riskmanagement-Guidelines)

### 3 Terms and Definitions

Terms and definitions defined in GB/T 19000, GB/T 23694, GB/T 27000 and ISO 31000 and the following terms and definitions apply to this document.

To ensure that the certification results are true, credible and unbiased to prove that the certified content of the certified organization meets the requirements of the certification standards, and that it is true this objective involves a commitment to the impartiality, independence and normative integrity of the certification process.

In order to achieve the certification objectives, identify the certification responsibility (3.1) and control the risk caused by the certification responsibility in the whole process of planning and implementing the certification activities.

Make appropriate arrangements for the traceability and responsibility assumption of certification responsibility (3.1), and continuously improve the entire process of the management mechanism.

**Note:** In this document, the risk arising from the certification responsibility of the certification body can also be expressed as "certification risk".

**certificationpersons** Persons in a certification body who can have a significant impact on all aspects of certification activities.

**Note:** Usually includes certification rule-makers, contract reviewers, audit program developers, auditors/inspectors, and certification decision-makers.

### 4 Principles of Certification Responsibility Management

Certification agencies should manage certification responsibilities and integrate certification responsibility management into all aspects of agency management. in the planning and implementation of certification activities During the process, proper arrangements have been made for the assumption of certification responsibilities, the prevention and control of certification risks caused by failure to perform certification responsibilities, and the traceability of responsibilities. Certification Responsibilities should be managed as a whole according to the following principles.