

JI-AP: Fifth progress report

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Reporting period

- 24 September – 5 November 2007 (JI-AP 08)

Applications

- 15 applications (JI-AT established for 14 applications)

Roster of experts

- 40 experts from 3 calls

Recommendations to the JISC

- JI accreditation procedure (Version 03)
- Clarification on the timing of witnessing activities

Other outputs

- Revised forms for:
 - Witnessing for “determination” function
 - Evaluation of JI-AT leaders/members
 - Workplan for JI-ATs
- Guidance for JI-ATs for undertaking witnessing activities



- Collaboration with the CDM accreditation process
- Revision of the form for witnessing for the “verification” function
- Organization of 3rd training session for JI-AT experts
- On-line training for JI-AT experts
- Concerns over limited resources of the secretariat staff affecting the support to the work of the JI-AP

- 15 applications, of which 13 are DOEs

Ref No.	Entity name	Sectoral scopes applied
0001	Det Norske Veritas Certification AS (DNV)	1-15 (all scopes)
0002	Japan Quality Assurance Organization (JQA)	1-15 (all scopes)
0003	Deloitte Tohmatsu Evaluation and Certification Organization Co., Ltd (TECO)	1-10, 12-13, 15
0004	Lloyd's Register Quality Assurance Ltd. (LRQA)	1-13
0005	JACO CDM., Ltd.	1-15 (all scopes)
0006	Japan Consulting Institute (JCI)	1-5, 8-11, 13
0007	Bureau Veritas Certification Holding SAS	1-15 (all scopes)
0008	TÜV SÜD Industrie Service GmbH	1-15 (all scopes)
0009	Spanish Association for Standardisation and Certification (AENOR)	1-15 (all scopes)
0010	SGS United Kingdom Limited	1-15 (all scopes)
0011	TÜV NORD CERT GmbH	1-15 (all scopes)
0012	TÜV Rheinland Japan Ltd.	1-15 (all scopes)
0013	SQS, Swiss Association for Quality and Management Systems	1-15 (all scopes)
0014	KPMG Sustainability B.V. (KPMG)	1-4, 13
0015	Germanischer Lloyd Certification GmbH	1-3, 10

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Ref No.	Entity name	Completeness check	Preliminary consideration	Desk review	On-site assessment	Witnessing
0001	DNV	✓	✓	✓	Site visit done	
0002	JQA	✓	✓	✓	Site visit done	
0003	TECO	✓	✓	✓	Site visit done*	
0004	LRQA	✓	✓	✓	Site visit done	
0005	JACO CDM	✓	✓	✓	Site visit done	
0006	JCI	✓	✓	✓	Site visit done*	
0007	Bureau Veritas	✓	✓	✓	Site visit done	
0008	TÜV SÜD	✓	✓	✓	Site visit done	
0009	AENOR	✓	✓	✓	Site visit done	
0010	SGS UK	✓	✓	✓	Site visit done	
0011	TÜV NORD	✓	✓	✓	Site visit done	
0012	TÜV Rheinland Japan	✓	✓	✓	Site visit done*	
0013	SQS	✓	✓	✓	Site visit done	
0014	KPMG	✓	✓	✓*		
0015	Germanischer Lloyd	✓	✓			

* Conducted after the reporting period.



Main changes

- **On-site assessment**
 - The roles of assessment reports (on-site assessment report, preliminary assessment report, final assessment report) and the timing of applicant IE's commenting on them have been modified to streamline the process as well as to reflect better the issues to be focused at the corresponding stages of reporting;
 - It is made clear that all proposed corrective actions shall be accepted by the JI-AT before the applicant IE starts implementing them.
- **Witnessing activities**
 - The JI-AT leader, in deciding the acceptance of a witnessing opportunity, may consult with the JI-AP;
 - It is made clear that the JI-AP will take into account sectoral scope(s) of a project under witnessing in selecting a methodology expert of the JI-AT for that witnessing;

Main changes (cont.)

- **Witnessing activities (cont.)**
 - Lists of documentary evidences that the applicant IE shall submit to the JI-AT for its witnessing activities have been added;
 - It was made clear that the JI-AT, in preparing a witnessing activity report, shall also prepare non-conformity reports and/or observation reports as appropriate, and submit them together to the applicant IE;
 - The roles of assessment reports (witnessing activity report, non-conformity report, observation report, preliminary assessment report, final assessment report) and the timing of applicant IE's commenting on them have been modified to make them comparable as at the on-site assessment. This modification allows both the applicant IE and the JI-AT to agree on non-conformities and/or observations before the applicant IE proposes corrective actions, as well as reflects better the issues to be focused at the corresponding stages of reporting.

Main changes (cont.)

- **Re-accreditation**
 - The number of witnessing activities will be “decided” by the JI-AP based on the accredited independent entity’s performance in the previous accredited period.
- **Issuing indicative letter**
 - The provisions have been simplified to avoid confusion;
- **Appeals**
 - A new step has been introduced before the appeal panel starts its review on the appeal that the appeal panel checks if the appeal relates to the issues that are allowed to address (i.e. the qualification of the JI-AT and/or noncompliance with procedures);
 - The JISC shall always consider the case at the next meeting (electronic decision is not made possible).
 - After the decision by the JISC on the case, a copy of the appeal panel report will be made available to the appellant.

Main changes (cont.)

- Other
 - Time frame for actions by the JI-AT and applicant IE at each step of assessment has been modified where appropriate, and made consistently expressed in “days”.



Background

- The focus of on-site assessment is to assess whether the applicant IE has a capacity (e.g. policy/procedures, resources) in place.
- The focus of witnessing activities is to assess whether the applicant IE is implementing its tasks effectively in line with the documented policy and procedures.
- Effectiveness of a witnessing activity is questionable if significant non-conformities are found at the on-site assessment and if the witnessing activity has started before the closure of the non-conformities.

Clarification

- After the completion of the site-visit of the on-site assessment, JI-ATs can proceed with witnessing activities if:
 - No non-conformity was identified during the on-site assessment; or
 - Outstanding non-conformities do not substantially affect the applicant IE's:
 - i. Legal identity;
 - ii. Identification of conflict of interest situation;
 - iii. Contract review process;
 - iv. Demonstrated competence of the resources for contract review, assessment team and technical review;
 - v. JI determination procedure