

Update on accreditation and ISO standards

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ISO standards in AVR

- Annex II and III refer to EN ISO 14065 and EN ISO/IEC 17011 making them applicable to EU ETS verification/accreditation
- Both standards are general GHG programme neutral standards → GHG programme specific requirements supersede the standards
- Further EU ETS specific requirements included in the AVR; e.g.
 - Competence and impartiality
 - Verification process and reporting
 - Specifics on accreditation process and validity accreditation certificate
- Presumption of conformity in Article 4 AVR for verifiers
 - Demonstration of compliance with EN ISO 14065 - verifier is presumed to comply with Chapter II/ III AVR for as far as covered by standard
 - Verifiers must also demonstrate compliance with AVR requirements that are not equally covered in standard or are EU ETS specific

EN ISO/IEC 17011

- Imposes requirements on NABs and accreditation (lead) assessors and persons performing accreditation activities
- Requirements include:
 - Implementation of accreditation procedures
 - Use of accreditation symbols, documentation, confidentiality of information, access to information
 - Sub-contracting, appeals, complaints
 - Structure of NAB, impartiality, competence
- AVR contains EU ETS specific requirements in addition to EN ISO/IEC 17011, e.g. peer evaluation of NABs according to Art 64 specific on EU-ETS accreditation scheme.

Update of EN ISO/IEC 17011

The review process started in 2014, the final standard will be published as ISO/IEC 17011:2017 in December 2017 including the following:

- flexible accreditation scope – definitions and requirements,
- additional requirements on contractual arrangements between NAB and Conformity Assessment Body (e.g. Verification Body),
- risk based assessment program covering accreditation cycle instead of “surveillance”,
- new requirements on Quality Management System for NABs
- new requirements on competence management of assessors and persons performing accreditation activities.

Actually, no conflicts between requirements of ISO/IEC 17011:2017 and AVR chapter IV and V have been identified.

Additional standard ISO 17029 ?

EN ISO/IEC 17029 (WD) - Conformity assessment – General requirements for verification and validation bodies

- ISO 17029 contains general principles and requirements for the impartial, competent and consistent provision of validation and verification activities by validation and verification bodies.
- The standard is applicable to validation and verification bodies in any sector, and can be used in conjunction with sector specific programmes and schemes that contain requirements for validation and verification processes and procedures.
- ISO 17029 will serve as a framework standard for all types of verification in a wider range of conformity assessments.
- Therefore future version of ISO14065 remains applicable for verification and validation of greenhouse gases.

EN ISO 14065 and EN ISO 14064(3)

- Specific requirements for legal persons and legal entities that undertake GHG verification (and validation)
- Requirements include:
 - Internal procedures (appeals, complaints), verification process
 - Verifier's management system, documentation, confidentiality safeguards, access to information
 - Legal structure, responsibilities, impartiality and competence
- EN ISO 14065 refers to EN ISO 14064(3) which contains specific requirements on verification process/reporting
- EN ISO 14064(3) is also relevant for EU ETS → AVR does however provide additional and more specific rules that take priority over the standard.

Update of ISO 14064-3

- The standard revision has now reached the DIS-stage – Final Draft (FDIS) and publication is expected in 2019
- Change in structure for requirements on processes for validation and verification
- Some definitions (assertion, statement, opinion) have been changed
- New normative annex with requirements for verifiers adapting a limited level of assurance
- New process is included in informative annex: “agreed-upon procedures”
- ISO 14064-3 will be extended for carbon footprint of products.

Update of ISO 14065

- Revision process started in Sept. 2017 on 1st Working Draft, now ISO-experts decide on 1st Committee Draft.
- Responsible is ISO/TC 207/SC7 and ISO/CASCO Joint WG6 – leadership is represented by USA, Co-convenors from Australia and South Korea.
- Extension of scope to the assurance of all environmental information (not only GHG).
- Clear differentiation between ISO 14065 and ISO 14064-3 is expected from the revision, to avoid overlap or inconsistency between the two standards.

Next steps

- Updates of ISO-standards can impact the AVR
 - Updates of ISO-standards would become applicable in EU ETS, once they become harmonised standards
 - In general ISO standards contain clauses that national law or international law take priority over the standard
 - Where updated standard contains requirements that are not in line with AVR or detrimental to EU ETS, exceptions could be made in the AVR
- Updates of standards should be monitored to see for example:
 - Whether updates include clauses stating that EU law and national law would give precedence over the standard
 - Whether amendments are needed in AVR
- MS representatives should also closely monitor updates through national standardization Working Groups.

Not an ISO - but useful - EA-6/03:2013

- Mandatory Document prepared by a working group under the direction of the European co-operation for Accreditation (EA) Certification Committee
- Document is structured consistent with content and numbering of EN ISO 14065 to facilitate a harmonised approach to accreditation of verifiers for compliance with EN ISO 14065 and Regulation (EU) 600/2012 (AVR)
- Document has been implemented for all verification activities relating to the 3rd trading period starting 1st January 2013

Not an ISO - but useful - EA-6/03:2013

The harmonized assessment approach is supported by specific requirements on (examples):

- Impartiality – avoidance of conflict of interest
- Scope of independent review before signing final verification report (e.g. technical expertise of review personnel, verification activities, verification opinion)
- Verification plan
- Verification effort on repeat verifications
- Factors to consider for determining time allocation
- Misstatements and non-conformities

Not an ISO - but useful - EA-6/03:2013

Guidance Documents & Key Guidance Notes developed by the Commission are included in assessments according to EA-6/03:

- [KGN II.2 Verifiers risk analysis](#)
- [KGN II.3 Process analysis](#)
- [KGN II.4 Sampling](#)
- [KGN II.6 Verification report](#)
- [KGN II.7 Competence of verifiers](#)
- [KGN II.10 Information exchange](#)
- [EGD I – AVR Explanatory Guidance](#)
- [GD III Aviation verification guidance](#)

Next update of EA-6/03: will include guidance on witnessing to obtain a representative sample of the scope of accreditation and a representative sample of verifiers staff.

Thank you for your attention

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