Requirements for competence

of CFP system auditor

under the CFP Communication Program

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Japan Environmental Management Association for Industry

Contents

Preface

This document prescribes the requirements for a person or team that conducts CFP system audit for a system established based on the requirements for CFP system certification under the CFP Communication Program (hereinafter called "the CFP Program").

The requirements prescribed in this document will be revised timely and appropriately through activities of the CFP Program.

Requirements for competence of CFP system auditor under the CFP Program

0.1 Introduction

For dissemination of the CFP Program, it is indispensable to ensure reliability and transparency of the numerical values and displayed information that are released to consumers. It is also important to make efforts to reduce the burden of verification on businesses when they conduct quantification, internal verification, and display of CFP while ensuring its reliability and transparency.

In the CFP Program, there are two methods of verification: "product-by-product verification method" by which each product quantified by a business is verified externally; and "CFP system certification method" by which a CFP system internally established within an organization, incorporating the processes of quantification, verification, and release of CFP, will be audited and certified by an external certification body, i.e. this method achieves the omission of external verification steps.

This document prescribes the requirements for staff member which conducts certification of a established CFP system by using the CFP system certification method.

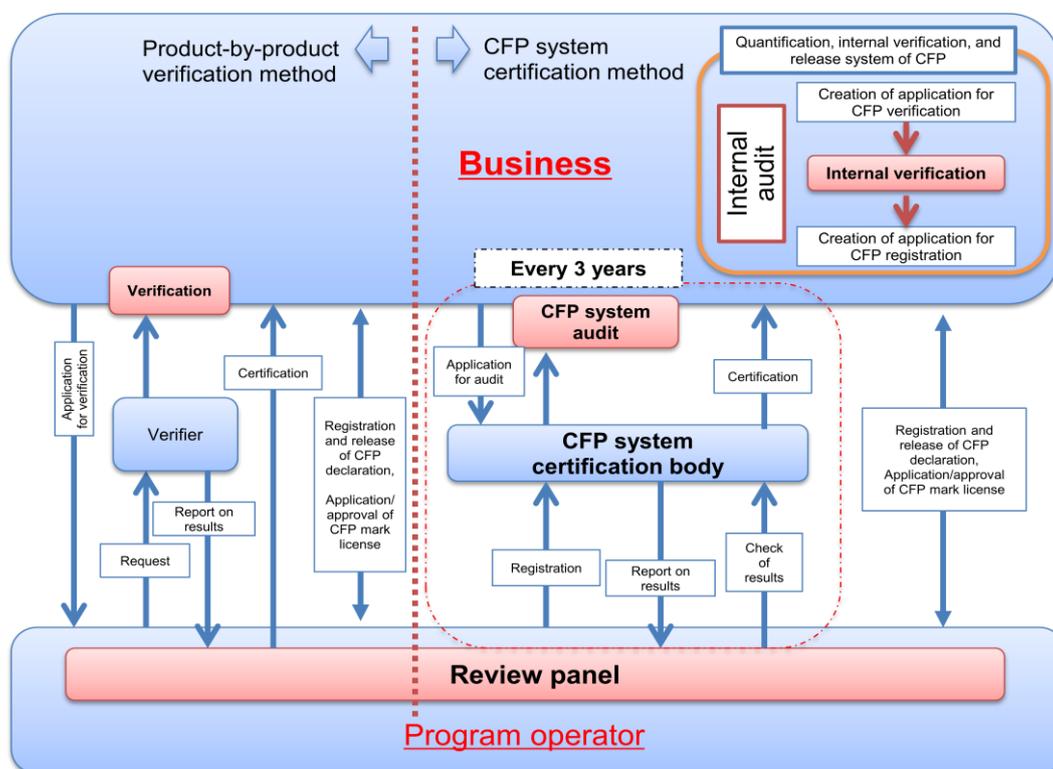Figure 1 shows the structure and flow of verification/certification method in the CFP Program.

Figure 1: Structure and flow of verification/certification method

0.2 Scope

The requirements prescribed in this document shall apply to the staff members who can conduct CFP system audits for any organizations participating in the CFP Communication Program (hereinafter called "the CFP Program"), to the extent that the CFP-PCR exists under the CFP Program.

The requirements in this document do not intend to prescribe specifications or standards in accordance with laws and regulations.

0.3 Normative reference

These documents listed below constitute part of this document by being referenced in this document as normative reference.

a) Program instructions

b) Rules on registration and release of CFP declaration

c) Rules on registration and assessment of CFP system certification body

d) Rules on CFP verification

e) Judgment criteria on CFP verification

f) Procedures for CFP verification

g) Rules on CFP system certification

h) Requirements for CFP system certification

i) Criteria on CFP system audit and checklist

j) Reporting format for CFP system audit results

k) Indicated matters, and measures to be taken (audit assessment)

l) Rules for the handling of ethical and confidential matter

m) Rules on appeals, complaints, and dispute resolution

n) Requirements for competence of CFP system certification body

o) JIS Q 17021:2011 Conformity assessment - Requirements for bodies providing audit and certification of management systems

p) JIS Q 14065: Greenhouse gases - Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of approval

0.4 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

[Terms related LCA (life cycle assessment)]

- LCA (life cycle assessment)

  The method to quantify environmental burdens through an entire life cycle of a product,

from raw material acquisition stage to disposal and recycling stage.

- CFP-PCR (Carbon Footprint of Products - Product Category Rule)
  Common criteria on CFP quantification applied in each product category.

- Primary data
  Data collected by a business that quantifies CFP on its own responsibility.

- Secondary data
  Data only collected by referring to common data and literature data, and by excerpting from case studies of LCA, to be used when it is difficult to collect primary data

- Product
  Any goods or services

[Terms related to the CFP Program]
- The CFP Communication Program
  A system to display CO_2 equivalent emissions on applicable product in an easy and understandable way, by converting from GHG (greenhouse gas) emissions emitted from an entire life cycle of a product, from raw material acquisition stage to disposal and recycling stage, using GWP (global warming potential) of each GHG.

- CFP quantification
  Collecting data in accordance with CFP-PCR, multiplying activity data collected by emission factor, then totaling the results

- CFP verification
  Confirmation whether or not a CFP quantified conforms to CFP-PCR, independently from CFP quantification, and confirmation of data basis used for the quantification. Confirmation of conformity to the requirements of CFP-PCR and the conformity to the rules related to the CFP Program, which are related to display of CFP.

- CFP declaration
  CFP mark, CFP value in the CFP mark, additional information, and registration information released on the CFP website, disclosed based on quantification results.

- Release of CFP

  To disclose information of the verified CFP quantification results and the display contents of CFP declaration on the websites operated by the CFP program operator or by the organization to be certified. Or, to display such information on a product.

- Product-by-product verification method

  A verification method that a third party verifies an application for each product

- CFP system certification method

  A certification method that an organization establishes the quantification, internal verification and release system of CFP within the organization and a third party certifies the CFP system, by following the "Requirements for the CFP system certification."

- CFP system audit

  To make an audit whether or not an applicant conforms to the requirements for CFP system certification

- Certification

  As a result of a CFP system audit, when a CFP system established by an applicant conforms to the requirements for CFP system certification, the effectiveness of the CFP system is approved.

[Terms related to management system]
- CFP manual

  Document which prescribes outline and procedure of a CFP system established based on the requirements related to a CFP system.

- Competence <ISO 9000>

  Demonstrated ability to apply knowledge and skills

- Corrective action <ISO 9000>

  Action to eliminate the cause of a detected nonconformity or other undesirable situation

- Nonconformity <ISO 14001>

  Non-fulfilment of a requirement

- Applicant

  An applicant that applies for CFP system audit to gain certification of quantification, internal verification, and release system of CFP

- Organization to be certified <JIS Q 17021: 2008>

  An organization whose CFP system is certified

- Appeals

  A request from an applicant or an organization to be certified for reconsidering a negative decision made by a CFP system certification body, against the certification which the applicant wishes to gain

- Complaint

  An expression of dissatisfaction with an applicant or an organization to be certified, for a product or a process of responding to a complaint, and better response or resolution to such complaint is expected explicitly or implicitly.

1. Qualification standards for CFP system auditor

This qualification standards shall prescribe the standards that CFP system auditors shall meet to conduct CFP system audits effectively and uniformly. These standards have been developed based on the concept prescribed in Annex.

1.1 Definition of CFP system auditor

There are two types of CFP system auditor: CFP system auditor and CFP system lead auditor. Each type of CFP system auditor shall be defined as follows.

1.1.1 CFP system auditor

a) The person who has been approved by JEMAI as fulfilling the qualification standards prescribed in clause 1.2.1, and has been registered as a CFP system auditor.

b) A CFP system auditor can conduct a CFP system audit under the instructions of a CFP system lead auditor who has been approved by JEMAI.

1.1.2 CFP system lead auditor

a) The person who has been approved by JEMAI as having the competence to lead the audit as an audit team leader by fulfiling the qualification standards prescribed in clause 1.2.2, and has been registered as a CFP system lead auditor.

1.2 Qualification standards for CFP system auditor and CFP system lead auditor

1.2.1 CFP system auditor

CFP system auditor shall meet all the requirements listed from (a) to (d) below, and should meet (e).

a) Having academic background of graduation from a high school or higher defined in the School Education Act, or having the equivalent academic background as specified below:

(1) Having graduated from a technical college; having completed a 3-year or longer upper secondary course of specialized training college, which is designated by the Minister of Education, Culture, Sports, Science & Technology; having acquired the certificate of students achieving the proficiency level of upper secondary school graduates, which is specified by the Ordinance of the Ministry of Education, Culture, Sports, Science and Technology; or having completed an overseas institution of secondary education or higher.

(2) Having completed a course of an educational institution within an organization which is equivalent to high school or higher.

b) Having work experience for over 5 years in a technical, managerial or expert position.

c) Having participated in a training session for CFP system auditors provided by JEMAI within the last 3 years.

d) Being recommended as a person who has personal qualities listed in A4 of Annex, by a manager of the organization in which he/she has been working for over 1 year.

f) Having passed the LCA Expert Certification Test which is jointly conducted by JEMAI and the Institute of Life Cycle Assessment, Japan.

1.2.2 CFP system lead auditor

CFP system lead auditors shall have the qualification as a CFP system auditor prescribed in clause 1.2.1, and meet all the following requirements:

a) Having experience of conducting a product-by-product verification or conducting a product-by-product verification as part of the CFP system audit, at least once within the last 3 years.

b) Having experience of conducting an audit related to the management system of ISO9001 or ISO14001, or an audit in the CFP system audit, at least once within the last 3 years.

c) Being recommended as having ability to play the role of audit team leader, by a CFP system lead auditor with whom he/she once conducted an audit in the same audit team; by a person in charge of the organization to be certified for which he/she once conducted an audit; or by the manager of the management system certification body.

2. Registration of CFP system auditor
2.1 Qualification for CFP system auditor
2.1.1 CFP system auditor

A person who meets the qualifications prescribed in clause 1.2.1 can be registered as a CFP system auditor. A CFP system auditor shall conduct the procedure to maintain its qualification registration every year, and shall conduct the procedure to renew its qualification registration every 3 years.

2.1.2 CFP system lead auditor

A person who meets the qualifications prescribed in clause 1.2.2 can be registered as a CFP system lead auditor. A CFP system lead auditor shall conduct the procedure to maintain its qualification registration every year, and shall conduct the procedure to renew its qualification registration every 3 years.

2.2 Maintenance and renewal of qualification for CFP system auditor

2.2.1 Maintenance of qualification registration as a CFP system auditor

If a CFP system auditor and a CFP system lead auditor receive any appeal or complaint from an organization to be certified during procedures for maintaining the registration every year, they shall submit a record of the content to the secretariat of CFP Program.

2.2.2 Renewal of qualification registration as a CFP system auditor

If a CFP system auditor receives any appeal or complaint from an organization to be certified during renewing its qualification registration every 3 years, the CFP system auditors shall submit a record of the content to the secretariat of CFP Program. Prior to renewing the registration, CFP system auditor should participate in a training session for CFP system auditors hosted by JEMAI.

2.2.3 Renewal of qualification registration as a CFP system lead auditor

When a CFP system lead auditor renews its qualification registration every 3 years, the CFP system lead auditor shall meet the requirements of c) and either of a) or b), within the period from the date of its initial registration or its initial renewal to the date of a renewal application for the next time:

a) Having experience of conducting CFP system audit at least twice.

b) Having experience of conducting a product-by-product verification or conducting product-by-product verification as part of the CFP system audit, for one or more time; and having experience of conducting an audit in relation to the management system of ISO9001 or ISO14001 for one or more time, or enabling to prove having an equivalent experience to that.

c) Having participated in a training session for CFP system auditors hosted by JEMAI.

If a CFP system lead auditor receives appeal or complaint from an organization to be certified, the CFP system lead auditor shall submit a record of the content to the secretariat of CFP Program.

3. Lapse of qualification as a CFP system lead auditor

When a CFP system lead auditor fails to meet the requirements of CFP system audit experience prescribed in clause 2.2.3 in renewing its registration every 3 years, he/she shall be demoted to a CFP system auditor.

4 Suspension and revocation of qualification

JEMAI can suspend or revoke the registration of CFP system auditor who is in appropriate

in performing a CFP system audit, or who violates the rules of the handling of ethical and confidential matter under the CFP Program. If JEMAI finds that a CFP system auditor had obtained its qualification by using an unfair mean, JEMAI can suspend or revoke the registration of the CFP system auditor.

Annex

A1. General

A1.1 General requirements

The credibility and reliability of the process of CFP system audit in the CFP system certification depend on the competence of the persons who conduct the CFP system audits. Such competence is based on the following evidence:

- Knowledge and skills described in A2, which were acquired through the education, work experiences, training for CFP system auditors, and experience of audit described in A3.
- Personal qualities described in A4.

CFP system auditors shall develop, maintain, and improve their competence, by continuously developing their professional skills and by participating in CFP system audits on a regular basis (refer to A5).

A1.2 Types of CFP system auditor

There are two types of CFP system auditor:

- CFP system auditor
- CFP system lead auditor

A2. Knowledge and skills

A2.1 Common knowledge and skills related to management systems

CFP system auditors shall have the knowledge and skills in the following fields.

a) Knowledge of works of business management

b) Knowledge of general principles, works, and techniques of audit

c) Knowledge of specifications/standard documents of specific management system

d) Knowledge of certification process

e) Knowledge of the business field of a client

f) Knowledge of the products, processes and the organization of a client

g) Adequate language skill toward all levels of hierarchy within the client organization

h) Skill to take notes and prepare a report

i) Skill of presentation

j) Skill of interview

k) Skill of audit management

A2.2 Knowledge and skills related to products (goods and services), knowledge and skills in environmental science and environmental technology, and technological and environmental aspects of operation

CFP system auditors should have knowledge and skills in the following fields.

a) Knowledge and skills regarding quality management tools and their applications

- Quality terms, general rules on quality management, and its application

b) Knowledge and skills regarding products including processes and services

- Industry-specific terms, technical characteristics of products, and industry-specific processes and practices

c) Method and application of environmental management

- Environmental terms, general rules on environmental management, and its application

d) Knowledge and skills regarding environmental science and environmental technology

- Impact on the environment due to human activities, interaction in ecological systems, environmental medium, management of natural resources, and a general method of environmental conservation

e) Technological and environmental aspects of operation

- Industry-specific terms, environmental aspect and impact, important characteristics of operational process and product, method of monitoring and measuring, and technology to prevent pollutions

A2.3 Specific knowledge and skills required for CFP verification

CFP system auditors shall have knowledge and skills in the following fields.

a) Knowledge of LCA/CFP

- Knowledge of CFP rules

> Knowledge of the program instructions, CFP-PCR, and various rules

- Expertise in LCA and procedures for LCA work (general knowledge on LCA)

> Distribution method, etc.

- Knowledge of the quantification method of GHG emissions

> Knowledge of GHG source

> Knowledge of quantification method of GHG emissions related to site and transportation

- Knowledge of environmental declaration label

> Knowledge of ISO14025 and ISO14020, etc.

b) Skill of CFP verification

- Skill to conduct verification in accordance with judgment criteria for CFP verification and

procedures for CFP verification

- Communication skill

- Skill of writing of reports and reporting

- Capability to appropriately handle issues indicated during the review process

- Capability to make an expert judgment

A3. Education, work experience, training for CFP system auditors, and audit experience

A3.1 General

CFP system auditors should have the following experiences of education, work, training for CFP system auditors, and audit.

a) Having completed courses of adequate education necessary to acquire the knowledge and skills listed in A2.

b) Having work experience that contributed to the development of knowledge and skills listed in A2.1 to A2.3. This work experience should be the experience in a technical, managerial or expert position, including making judgment, solving problems, and communicating with other managers, experts, peers, customers and/or interested parties.

c) Having completed a training session for CFP system auditors that contributed to the development of knowledge and skills listed in A2.1 to A2.3. Such training session may be provided either by an organization to which the person belongs to or by an external organization.

d) Having completed a training session which contributes to the development of knowledge and skills listed in A2.3.

e) Having experience of conducting a product-by-product verification under the CFP Program.

f) Having experience of conducting an audit under the CFP Program. This experience should be the one under the instructions and guidance of a CFP system auditor who has the competence as an audit team leader in the same field.

A3.2 Level of education, work experience, training for CFP system auditors, and experience of audit

CFP system auditors and CFP system lead auditors shall meet the following standard levels of education, work experience, training for CFP system auditors, and experience of audit as shown in Table 1.

Table 1: Levels of education, work experience, training for CFP system auditors, and audit experience which CFP system auditors shall have for conducting CFP system audit

Parameter	CFP system auditor	CFP system lead auditor
Education	Having graduated from a high school or higher defined in the School Education Act, or having an equivalent academic background to that	
Work experience	Work experience in a technical, managerial or expert position	
Knowledge and skill	Knowledge and skills listed in A2.1 and A2.3	
LCA-related work experience	-	Work of CFP verification
Work experience in quality or environmental management field	-	Experience of audit of management system in ISO9001 or ISO14001, or experience of the CFP system audit
Staff training	Training on CFP/LCA verification	Training on CFP verification + Training on management system

A4. Personal qualities

CFP system auditor should have personal qualities so that he/she can behave by following general rules for audit shown in A1, which prescribes the requirements for competence of CFP system certification body.

CFP system auditor should have the following qualities:

a) Ethical: fair, credible, faithful, honest and sensible

b) Broad-minded: willing to take different opinions and views into consideration

c) Diplomatic: tactfully communicate with others to achieve objectives

d) Cooperative: effectively interact with others

e) Observant: conscious of physical circumstances and activities around him/her

f) Perceptive: intuitively recognize and understand the situation

g) Responsive: easily adapt to changing situation

h) Persistent: persevering and focused on achieving objectives

i) Decisive: timely reaching to a conclusion based on logical reasons and analysis

j) Autonomous: acts independently and plays his/her role

k) Professional: behave appropriately in the workplace as a whole in a polite and faithful manner

l)   Strong mind: willing to take responsibility and act ethically even if his/her action is not accepted or can cause discrepancy or conflict

m) Systematic: demonstrates effective time management, prioritization, planning, and efficiency.

A5. Maintenance and improvement of competence

A5.1 Ongoing development of professional skills

Ongoing development of professional skills will lead to maintenance and improvement of knowledge, skills, and personal qualities. This can be achieved in various ways including additional work experiences, training, self-learning, teaching, participating in a seminar, meeting, or conference, and other related activities. CFP system auditor should demonstrate ongoing development of their professional skills.

A5.2 Maintenance of audit skill

CFP system auditor should maintain and demonstrate their audit skills, by participating in audit of CFP system on a regular basis.

Supplementary provision

This document shall come into effect on July 2, 2012.

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