

Requirements for competence of CFP system certification body under the CFP Communication Program

“Application of requirements in this document”

For the CFP system certification bodies to which the requirements prescribed in this document will be applied, we limit to solicit only the organizations that had been participated in the CFP pilot project and will operate them based on the outcomes of the CFP pilot project, and it is not planned to newly solicit an applicant organization for the immediate future.

You can see announce of our future plans and schedules from the CFP website (<http://www.cfp-japan.jp/>).

Revised on July 27, 2012

Document ID: C-18-02

Japan Environmental Management Association for Industry

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Preface

This document prescribes the requirements for the bodies that conduct certification of a CFP 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 certification body 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 release of CFP 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 (Figure 1 shows the structure and flow of verification/certification method in the CFP Program).

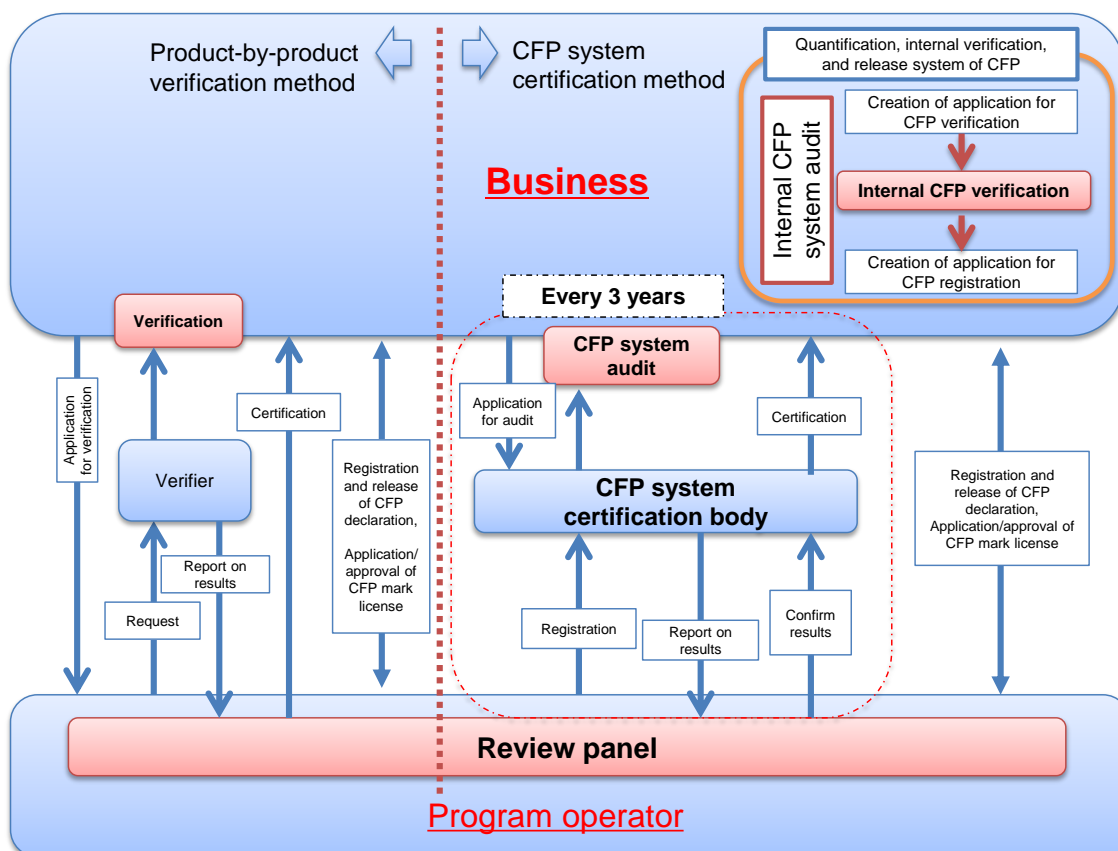


Figure 1: Structure and flow of verification/certification method

This document prescribes the requirements for competence of body which conducts certification of a CFP system by using the CFP system certification method.

0.2 Scope

The requirements prescribed in this document applies to the organizations that conduct the certification of a CFP system established based on the requirements for CFP system certification 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 CFP verification
- d) Requirements for CFP system certification
- e) Rules for the handling of ethical and confidential matter
- f) Rules on appeals, complaints, and dispute resolution
- g) Requirements for competence of CFP system auditor
- h) JIS Q 17021:2011: Conformity assessment - Requirements for bodies providing audit and certification of management systems
- i) JIS Q 14065: Greenhouse gases - Requirements for bodies that verify and validate greenhouse gases for 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 quantify 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 CO₂ 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.

- CFP system

A system established based on the "Requirements for the CFP system certification."

- 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 a CFP system 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.

- CFP system auditor

A person who conducts an audit for the applicant in the CFP system audit. There are two types of registration of CFP system auditor: CFP system auditor and CFP system lead auditor. Both types of auditors shall meet the requirements for registration which are separately prescribed in the "Registration requirements for competence of CFP system auditor under the CFP Program."

- Audit team

A team that conducts an audit of the CFP system established by the applicant. An audit team consists of CFP system auditors.

- Review team

A team that reviews the audit conclusion made by the audit team. The review described in this document is different to the CFP-PCR review conducted by a licensed reviewer.

[Terms related to management system]

- CFP manual

Document which prescribes basic matters of a CFP system established based on the requirements related to a CFP system.

- Competence <JIS Q 9000>
Demonstrated ability to apply knowledge and skills

- Corrective action <JIS Q 9000>
Action to eliminate the cause of a detected nonconformity

- Nonconformity <JIS Q 14001>
A failure to comply with requirements

- Applicant
An applicant that apply 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 to reconsider a negative decision made by a CFP system certification body, for 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. General rules

1.1 General

1.1.1

General rules described in this chapter are basis for the specific requirements for performance and the descriptive requirements prescribed in Chapter 2 and onward. These general rules should be applied as guidelines, not as requirements, in the case of making a decision in unexpected circumstances.

1.1.2

The ultimate objective of the certification is to confirm whether a CFP system established within an organization to be certified meets the prescribed requirements, and to give reliability to the CFP quantified and verified by the organization. The value of this certification is society's confidence established by an audit which is fairly conducted by a third party with ensured competence.

1.1.3

General rules for establishing reliability shall include the following items.

- Fairness
- Competence
- Responsibility
- Transparency
- Confidentiality
- Appropriate response to complaints

1.2 Fairness

In order that the CFP system certification body ensures reliability of certification, the CFP certification body is need to be fair and be recognized as fair. Unless otherwise specifically prescribed in this requirements, procedure to ensure such fairness shall not be used to prevent or inhibit applicants from using services of the CFP system certification body, including inquiring or making an application.

1.3 Competence

The competence of the staff members is necessary for ensuring reliability of the certification.

1.4 Responsibility

1.4.1

The responsibility for conforming to the requirements for CFP system certification shall be borne by the applicant, not by the CFP system certification body.

1.4.2

The CFP system certification body shall be responsible for the assessment of sufficient objective evidence which is basis for the decision of certification. Based on the results of the audit, the CFP system certification body decides to grant certification if the evidence for conformance is sufficient, or decides not to grant certification if the evidence for conformance is not sufficient.

1.4.3

As all audits are conducted based on the sampling from the CFP system of the applicant, they do not ensure that the CFP system conforms to 100% of the requirements.

1.5 Transparency

1.5.1

To gain confidence in completeness and reliability of the certification, the CFP system certification body is required to make available by or disclose to the public the timely and appropriately information related to the audit/certification processes conducted by the CFP system certification body, and related to the certification status of all organizations to be certified. "Transparency" means a general rule that appropriate information shall be made available or disclosed.

1.5.2

To gain or maintain confidence in the certification, the CFP system certification body should provide a specific interested party in a way to access non-confidential information or should disclose such information, for the results of a specific audit (e.g. an audit conducted in response to a complaint).

1.6 Confidentiality

It is essential for the CFP system certification body to keep all proprietary information of the applicant as confidentiality, in order to obtain necessary information under privilege for properly conducting an audit on conformance to the requirements for CFP system certification.

1.7 Response to complaints

Anyone who relies on the certification should expect that a complaint will be examined, and if the complaint is found valid, he/she should have confidence that the complaint will be appropriately resolved and adequate efforts will be made to resolve the complaint. Effective response to complaints in an appropriate manner is a significant method to protect the CFP system certification body, applicant, and other user of the certification, from faults, negligence, and inappropriate actions. Confidence in the certification will be maintained when complaints are properly resolved.

2. General requirements

2.1 Clarification of scope

The CFP system certification body shall establish, implement, and maintain a certification system within the organization by following the requirements prescribed in this document. In addition, the CFP system certification body shall clarify the scope of the established certification system.

The CFP system certification body which conducts activities of CFP system certification under the CFP Program shall register its structure and scope of activities in the secretariat of the CFP Program in JEMAI (Japan Environmental Management Association for Industry).

The CFP system certification body should have acquired the certification of ISO17021 [JIS Q 17021], ISO17025 [JIS Q 17025], ISO14065 [JIS Q 14065], or Guide65 [JIS Q 0065].

2.2 Management of fairness

2.2.1

The CFP system certification body shall ensure that all applicants conducting activities within the ranges of business operation relating to a CFP project, announced by the CFP system certification body, can receive the services of the certification body. The CFP system certification body shall not impose any unfair financial condition or other condition on applicants. Provision of services shall not be conditional on the size of a supplier or the membership of JEMAI or other group. Furthermore, it shall not be conditional on the number of certificates that have already been issued.

2.2.2

The CFP system certification body or any division of the same legal body shall not offer to or provide consulting on a CFP system or an internal CFP system audit, to any applicant conducting certification and any organization to be certified. When providing consulting or internal CFP system audit, the CFP system certification body or any division of the same legal body shall not engage in any certification activity for such applicant or organization for

2 years after completing its consulting or internal system audit.

3. Requirements for operational body

3.1 Clarification of organizational structure

The CFP system certification body shall clarify the obligation, responsibility, and authority of staff members involved in the certification.

3.2 Responsible persons for operation and management

The CFP system certification body shall identify persons responsible for operation and management, having authority and responsibility for the following works under the CFP Program:

- a) Supervising of operational policy
- b) Supervising of financial matters
- c) Development of certification services and schemes
- d) Performance of audit and certification, and appropriate response to complaints
- e) Making decisions on certification
- f) Making contractual agreements
- g) Provision of appropriate resources for certification works

3.3 Constitution of audit team and review team

The CFP system certification body shall set up an audit team and a review team. In the same CFP system certification, the same person shall not serve as a member of both an audit team and a review team.

3.4 Audit team

3.4.1

An audit team shall consist of a few persons or one person, and shall conduct an audit of a CFP system established by the applicant. The audit team shall have an audit team leader for each case of certification. A CFP system lead auditor should serve as an audit team leader. The audit team shall judge the preparation status for the stage 2 audit through the stage 1 audit. As a result, if it is judged that the stage 2 audit can be conducted, the following items shall be checked through the audit. In addition, the auditing process of the audit shall be clarified.

- a) Appropriateness of the range of CFP system
- b) Compliance with the requirements for CFP system certification
- c) Validity of CFP declaration by verifying the CFP quantification results and released

contents

The audit team shall prepare reports on the audit conclusion, each time after completing the stage 1 audit and stage 2 audit.

3.4.2

The audit team leader shall communicate with the person in charge of the application prior to conducting an audit. The communication should include the following:

- a) Confirmation of the date of the audit
- b) Confirmation of the place where the audit will be conducted
- c) Explanation of the audit team that will conduct the audit
- d) Confirmation of the documents necessary for the audit
- e) Judgment result on the possibility of conducting the audit

3.5 Review team

A review team should consist of about three persons. The review team shall conduct a review of the audit conducted by the audit team. The review team shall check the following items through the review, and also clarify the review process in the review.

- a) Validity of the audit process conducted by the audit team
- b) Validity of the audit results concluded by the audit team

After completing the review, the review team shall prepare a report on the audit review results.

4. Requirements for resources

4.1 General considerations

The CFP system certification body shall have a process to ensure that staff members with competence. The CFP system certification body shall define the competence necessary in each field of expertise and for each function of the certification works. In addition, the CFP system certification body shall have a process to assess the competence.

4.2 Competence of audit team

The members of the audit team shall have the competence that meets the separately prescribed in the "Requirements for competence of CFP system auditor under the CFP Program."

4.3 Competence of review team

The review team shall have the competence as a team as shown below:

- a) Knowledge of the CFP Program
- b) Knowledge of the LCA including ISO14040 and ISO14044
- c) Knowledge of the management system of ISO9001 or ISO14001
- d) Knowledge of the act of certification

4.4 Management of staff members

The CFP system certification body shall manage all the staff members involved in the CFP Program to make sure what kind of qualifications, educations/trainings, experiences, affiliation, position as an expert, and competence they have. The CFP system certification body shall confirm the competence of the staff members and appoint the right roles for them for each case of audit.

4.5 Education and training of staff members

The CFP system certification body shall conduct one or more educational or training sessions a year for staff members about knowledge in relation to the CFP Program or necessary for the audit.

4.6 Outsourcing

The CFP system certification body shall have a process to clarify the conditions to allow outsourcing (which means subcontracting to other organization(s) to provide part of the certification activities instead of the CFP system certification body). In that case, the CFP system certification body shall make a legally binding agreement that sets forth provisions including confidentiality and conflict of interests, with each organization that provides an outsourced service.

5. Requirements for information

5.1 Information publicly accessible to the public

The CFP system certification body shall make the information relating to the provision of audit publicly accessible to the public, or provide such information upon request from an applicant. The information relating to the provision of audit shall include validity period, scope of certification, and information on approved CFP-PCR.

5.2 Certificate

The CFP system certification body shall provide a certificate to an organization to be

certified. The certificate shall include the following information:

- a) Name of the CFP system certification body
- b) Address of the CFP system certification body
- c) Date of release of the certificate
- d) Validity period of the certification
- e) Scope of the certification of the CFP system

5.3 Confidentiality

By a legally binding agreement, the CFP system certification body shall have a policy and an arrangement to protect confidential information which have been obtained or generated during certification, at all levels of administrative organization (including external organizations or individuals that are engaged in the certification instead of committees and the CFP system certification body).

5.4 Control of document

The CFP system certification body shall maintain the documents related to the certification of an applicant or an organization to be certified in either form of paper or electronic media, for at least 5 years after the date of issue of the certificate.

6. Requirements for process

6.1 General requirements

The CFP system certification body shall assess the application submitted by the applicant and judge whether it is possible to conduct an audit of the application. In the assessment, the following requirements shall be taken into account:

- a) Scope of application (target product group and organization) shall be clear.
- b) The applicant shall have experience on CFP verification by a third party in the product-by-product verification, and one or more products of the applicant shall have been already approved.
- c) Prior to the stage 1 audit, the applicant shall have already been conducted CFP quantification and verification for at least one product using the established CFP system, and completed an internal audit and management review.

If it is judged that an audit can be conducted, the CFP system certification body shall conduct a CFP system audit in two stages; stage 1 audit and stage 2 audit.

In the stage 1 audit, the CFP system certification body shall conduct in advance a document audit to check the CFP manual and other documents created by the applicant, and shall

conduct a face-to-face audit to check the configuration of the CFP system including checking the CFP manual, etc.

In the stage 2 audit, the CFP system certification body shall make sure that the applicant is operating its CFP system in accordance with the CFP manual. The CFP system certification body shall also conduct a system operation audit to check the validity of the internal verification of the CFP quantified using the CFP system, and conduct a site audit in the site whose primary data are collected. In checking the validity of the internal verification, a product-by-product verification of one or more products shall be conducted based on the judgment criteria for CFP verification and on the CFP verification procedures. As for a site audit, according to circumstances, it may be conducted prior to the system operation audit or omitted.

A site audit may be omitted in the following cases:

- The site is located overseas
- The site consists of various multiple sites, and thereby the audit of all these sites is difficult
- The data collected from the site is not relevant to any major data or has a small impact
- The site is prohibited to disclose information, even to auditors, for reasons of security or trade secret
- Manufacturing is entrusted to an external organization, for example, in OEM

In addition, during or after the stage 2 audit, if the CFP system certification body judges that it is necessary to conduct the stage 1 audit once again, it can do so.

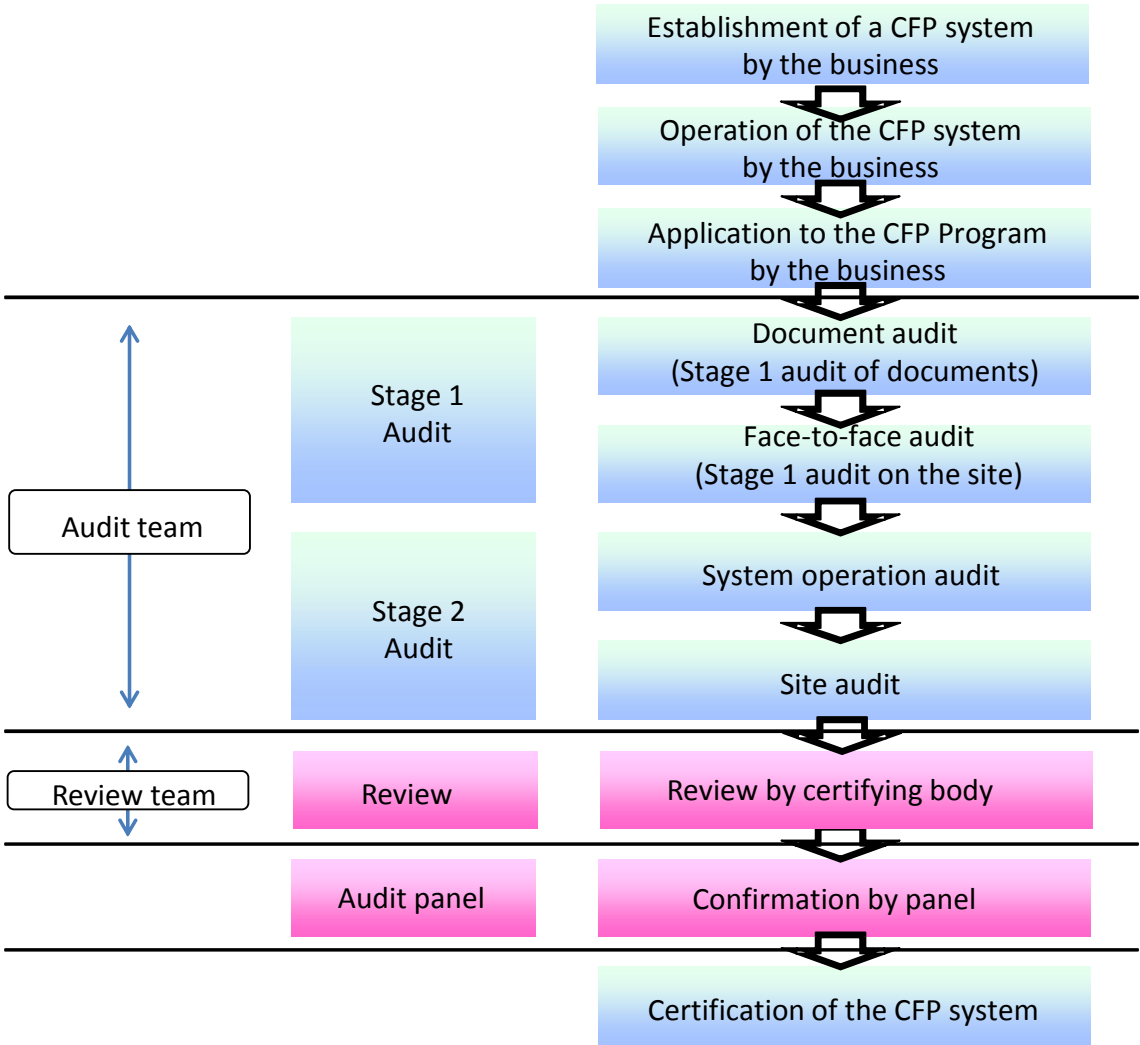


Figure 2 Audit flow of CFP system audit

6.2 Audit plan

When starting an audit, the CFP system certification body shall make an audit plan to provide the basis for agreement on the conduct and scheduling of the audit. The audit plan shall include the goal and scope of the audit, scheduled date of each audit, place where the audit will be conducted, and the member names of the audit team. In the case a site audit will be conducted, the audit plan shall include the scheduled date of the site audit and the applicable site.

6.3 Report on audit

The CFP system certification body shall prepare a report on audit after the audit team completed the audit. After the review team completed its review, the report on audit and the report on CFP-PCR review result shall be submitted to JEMAI included in the opinion of the

conformance/nonconformance judgment, and then the validity of the audit shall be checked. The CFP system certification body shall control the reports on audit and the reports on review results within the CFP system certification body.

6.4 Registration of certification and judgment of re-audit

The CFP system certification body shall judge whether the certification of application may be registered or conducted re-audit, based on the report on audit and the report on review results. For the time being, it shall judge by taking into account the results confirmed by the review panel established by JEMAI.

6.5 Surveillance and additional audit for an organization to be certified

6.5.1

The CFP system certification body shall develop surveillance works, to judge the effectiveness of a set of applications for CFP approval, which has been created and verified using the CFP system that had been certified by the CFP system certification body.

6.5.2

The CFP system certification body shall identify the right timing for the surveillance, and conduct it.

6.5.3

If the CFP system certification body judges that an additional audit is required, such as due to expansion of the CFP system, it can conduct the additional audit regardless of the validity period of the certification. In the case of conducting an additional audit, an audit should be conducted for the part to be changed.

6.6 Appeals and complaints

6.6.1

The CFP system certification body shall have a process to receive appeals and complaints, examine and resolve them. An overview of resolution processes of appeals and complaints shall be publicly accessible to the public.

6.6.2

The CFP system certification body shall ensure that the persons involved in the resolution process of appeals are different persons who conducted the CFP system audit and who judged on the certification of the CFP system.

6.6.3

When receiving a complaint, the CFP system certification body shall check the relevance of the complaint to the certification where the CFP system certification body is responsible for. If it is relevant, it shall resolve the complaint. If such complaint is relevant to the organization to be certified, the CFP system certification body shall take into account the validity of the certified CFP system in the examination of the complaint.

6.6.4

The CFP system certification body shall have responsibility of all the decisions made at all stages of the resolution processes of appeals and complaints.

6.6.5

The resolution processes of appeals and complaints shall at least include the following factors and methods:

- a) The process of deciding measures to be taken against the present appeal/complaint, by taking into account the process of receiving appeal/complaint, the process of checking and examining the validity of such appeal/complaint, and the process of deciding the action to be taken against such appeal/complaint similar cases in the past.
- b) Tracking of progress and tracking its records for resolution of appeal/complaint, including actions taken to resolve them
- c) Ensuring that appropriate corrections and corrective actions are performed

6.6.6

The CFP system certification body shall notify the receipt of appeal/complaint to the applicant and the program operator, and shall provide them with a report on the progress of the appeal/complaint and the matters that have been decided so far. The decisions to be communicated to the applicant shall be made, or be reviewed and approved by parties who were not involved in such appeal or complaint at all.

The CFP system certification body shall formally notify the completion of the resolution process of the appeal or complaint to the applicant and the program operator.

7. Requirements for registration

7.1 Audit for registration

The CFP system certification body shall be registered in JEMAI as a CFP system

certification body, when conducting a CFP system audit under the CFP Program. At the time of registration, the body shall undergo an audit to confirm its conformance to the requirements prescribed herein. In the case of that it is decided that the body can be registered as a result of the audit, the period of registration shall be 3 years. Afterwards, if the CFP system certification body wishes to extend its registration period, it shall undergo an audit for re-registration within the half year prior to the expired day of the current registration period.

7.2 Surveillance of CFP system certification body

JEMAI can check the result of certification conducted by the CFP system certification body, if JEMAI judges that it is necessary. The check shall include checking of the documents relating to the audit conclusion and the presence of the review panel.

7.3 Suspension and revocation of registration

7.3.1

If JEMAI finds that a CFP system certification body fails to conform to the requirements herein on a continual basis, JEMAI can suspend or revoke the registration of such CFP system certification body. When the registration is revoked, JEMAI can release the fact of revocation to the public.

7.3.2

If JEMAI finds that a CFP system certification body does not conform to the requirements herein, JEMAI can request such CFP system certification body to take corrective action. If the body cannot correct such nonconformance within 3 months after requested for corrective action, JEMAI can suspend the registration of the CFP system certification body.

7.3.3

JEMAI can revoke the registration of the CFP system certification body suspended its registration in the following cases: if the CFP system certification body fails to make correct action for its nonconformity within 1 year after the date of the suspension of the registration; or if the registration period which specified in the written agreement with JEMAI will come within a year, but the CFP system certification body fails to complete the corrective action before the expired date of the registration.

7.3.4

If the CFP system certification body completed the corrective action within the specified

period after the suspension of its registration, the registration of the CFP system certification body can become valid again. If the period for re-registration expires within the period for corrective action, the CFP system certification body undergoes an audit for re-registration immediately after completing the corrective action, and then can extend the registration period of retroactively.

Supplementary provision

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

Date of release: July 2, 2012 (C-18-01)

Date of revision: July 27, 2012 (C-18-02)