



**Publication
Reference**

EA-0/11: 2014

Specific Provisions for the Implementation of the Peer Evaluation of National Accreditation Bodies according to EN ISO 14065 and Commission Regulation (EU) No 600/2012

PURPOSE

This document further details and complements the EA Policy and Procedures for the Multilateral Agreement (EA-2/02) when applied for the peer evaluation of National Accreditation Bodies operating a program of accreditation of verifiers according to EN ISO 14065 and the Commission Regulation (EU) No 600/2012.

Authorship

This document has been written by the EA MLA Council.

Official language

The publication may be translated into other languages as required. The English language version remains the definitive version.

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Classification:	Secretariat Management System and Related Documents
Date of Publication:	March 2014
Implementation:	This document includes provisions decided by EA MLA Council respectively during its April 2012 and April 2013 meetings and that were immediately put into force after decision.
Transitional period:	None

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1 INTRODUCTION

This document further details and complements the EA Policy and Procedures for the Multilateral Agreement (EA-2/02) when applied for the peer evaluation of National Accreditation Bodies operating a program of accreditation of verifiers according to EN ISO 14065 and the Commission regulation (EU) No 600/2012.

The present document

- shall apply to all peer evaluation processes performed until the end of 2014. Whenever relevant, the provisions will take into account whether the evaluation of the NAB's activities for the accreditation of verifiers will be part of a regular peer-evaluation or will take the form of a specific evaluation;
- follows the structure of EA-2/02 but is limited to the clauses where the need for further detailing or amplification was identified;
- includes and makes reference to the partial documents discussed and approved by the EA MAC Council;
- identifies the evaluation tools (check-lists, standard forms for reporting etc) that have been developed in order to ensure a consistent and harmonized approach of the peer evaluation process.

2 SPECIFIC PROVISIONS

2.1 EA 2/02 Annex 1: Documentation to be provided for document review prior to the evaluation on-site

Ref: Document Review GHG verification April 2012 (approved by EA MAC in April 2012)
Doc ISO14065/ETS – checklist EU-ETS (approved by EA MAC in April 2012)

2.1.1 The following information shall be provided in advance on the evaluation

A. Self- assessment report

A brief report covering the fulfillment of specific criteria in the Commission Regulation (EU) No 600/2012 based on the checklist as well as the specific (additional) processes covering EN ISO 14065.

B. QMS - Documentation

The parts of the management system documentation that relates to the accreditation of GHG verifiers including the following procedures:

- Procedure / Draft procedure for exchange of information and co-operation with the competent authorities;
- Procedure / Draft procedure for handling of complaints including the requirements in the Commission Regulation (EU) No 600/2012;
- Procedure / Draft procedure for accreditation to GHG verification bodies in accordance with the Commission Regulation (EU) No 600/2012 including provisions for getting information from verifiers to draft the accreditation work program;
- Scoping and witnessing policy for accreditation of GHG verifiers under Commission Regulation (EU) No 600/2012;
- Checklist and report template for accreditation to EN ISO 14065 + requirements in the Commission Regulation (EU) No 600/2012 and No 601/2012;
- Procedure / Draft procedure for qualification of assessors and experts in accordance with ISO/IEC 17011 + the specific competence requirements in Commission Regulation (EU) No 600/2012, including description of means to demonstrate the competence.

C. Plan for extension of scope/ implementation of new requirements for accreditation to GHG verification bodies

Detailed plan for the implementation of accreditation to GHG verification bodies in accordance with EN ISO 14065 + the Commission Regulation (EU) No 600/2012 requirements including a plan for training of personnel and information to CABs on the process.

2.1.2 The set of documents as described under 2.1.1

The set of documents as described under 2.1.1

- complements the full set of documents to be provided according to EA-2/02 Annex 1 in case of an evaluation during a regular peer evaluation;
- replaces the full set of documents to be provided according to EA-2/02 Annex 1 in case of a specific peer evaluation.

2.2 EA 2/02 Annex 3 point 3: Requirements and expectations about the evaluation team

Ref: Document “Competence criteria Team Members GHG rev11042012” approved by EA MAC in April 2012

The preconditions for appointment of Team members for the peer-evaluation of NABs applying for the new MLA scope “Accreditation to GHG-verification in accordance with ISO 14065, shall comply with the criteria defined in EA 2/02 and shall further include the following:

The team member shall

- be experienced and qualified in his own NAB as lead assessor for accreditation of GHG verifiers;
- be knowledgeable of EN ISO 14065 – from e.g. attending the EA - training on EN ISO 14065;
- be knowledgeable of the Commission Regulation (EU) No 600/2012 and applicable guidelines – and have a general understanding of the ETS system including knowledge of the Commission Regulation (EU) No 601/2012;
- be experienced, preferably, as EA evaluator - or as a minimum have experience as trainee in one peer evaluation.

The team member and the NAB on behalf of which he/she will be appointed shall confirm that the team member fulfils the criteria. Documentation or justification for compliance with the competence criteria is required.

2.3 EA 2/02 Annex 5: Organization and timetable for an evaluation

Ref: Document “Peer evaluation process GHG rev11042012” approved by EA MAC in April 2012

The newly introduced level 2/3 MLA – verification bodies / EN ISO 14065 – will be handled within the EA peer evaluation process like all other level 2/3 MLAs, i.e. a qualified team member for that area will evaluate the specific competence during the peer evaluation of an NAB including a witness.

All EA members wanting to become a signatory to the new MLA scope will be required to formally apply for the extension of scope and will be the subject of a peer evaluation.

The following transition arrangements apply:

Scenario A according to Article 64 (2) of the Commission Regulation (EU) No 600/2012:

NABs being under peer evaluation between 1 April 2012 and June 2014 can be peer evaluated as part of this peer evaluation, provided that the appointment ensures that one member of the

evaluation team is qualified according to the requirements described under point 2.2, and shall spend minimum one day at the office and one day of witnessing (when possible) dedicated to the accreditation of EU ETS Verifiers. The specific documentation required shall be sent to the team 6 weeks before the evaluation for review by the appointed Team Member. If scenario A is not/could not be used, scenario B applies.

Scenario B (B1 and B2) according to Article 64 (2) of the Commission Regulation (EU) No 600/2012:

NABs not scheduled to be peer evaluated until June 2014 or not having had the opportunity to have EN ISO 14065 included and wishing to join the EN ISO 14065 MLA shall be peer evaluated according to the following provisions.

The peer evaluation includes a document review complemented with an on-site visit. Any non-conformity raised during the evaluation of the documents will be resolved before the on-site visit.

The peer evaluation team is composed of 2 team members qualified for the sector; one of them is only responsible to evaluate the documentation provided by the NAB in advance of the on-site visit and is not involved in the on-site visit.

The on-site visit includes

- an office evaluation: the duration is limited and depends on the outcome of the document review and on the fact that the NAB has had or not preliminary experience with the accreditation of ETS Verifiers;
- at least one activity of witnessing of the NAB staff performing an assessment of a Verifier.

In case the NAB has not yet granted accreditation to a verifier until the date of the evaluation and a witnessing was therefore not possible, a provisional acceptance within the EN ISO 14065 MLA is possible with the condition that the first activity of the NAB is witnessed.

Preliminary document review (being part of the peer evaluation):

In order to clarify the situation of all NABs from scenarios A, B1 and B2 not being peer evaluated by October 2013, or being evaluated but the peer evaluation report not yet being finalized, these NABs will be invited to apply for a preliminary document review in order to confirm that the conditions for exemption, as referred to in article 64 (4) of the Commission Regulation (EU) No 600/2012 are met.

2.4 EA 2/02 Annex 6 point 1.1: The evaluation report

In case of a peer evaluation according to scenario A:

The standard form for presentation of a peer evaluation report (document EA-MAC/01-S18) is used. It includes the information gathered during the office assessment; a detailed report of the witnessed activities, the findings raised during the peer-evaluation and the evaluation of the

answer of the NAB. The filled in form (checklist EU-ETS) that lists the specific requirements of Commission Regulation (EU) No 600/2012 applicable to the NAB and the way they are complied with by the NAB as well as the evaluation of the provided information by the EA team member is included as appendix to the peer evaluation report.

In case of a peer evaluation according to scenario B (B1 and B2):

The standard form for presentation of a peer evaluation report (document EA MAC 01-S18) is simplified in order to fit with the specificities of a Scenario B evaluation but includes all the information necessary for the decision-making process.