

**JOINT ISO/CASCO - ISO/TC207 NEW WORK ITEM PROPOSAL**Date of presentation
2004-04-27Reference number
(to be given by the Secretariat)Proposer
SABS (South Africa)**ISO/TC 207 N656**Secretariat
SCC (Canada)**ISO/CASCO 12/2004**

A proposal for a new work item within the scope of an existing committee shall be submitted to the secretariat of that committee with a copy to the Central Secretariat and, in the case of a subcommittee, a copy to the secretariat of the parent technical committee. Proposals not within the scope of an existing committee shall be submitted to the secretariat of the ISO Technical Management Board.

The proposer of a new work item may be a member body of ISO, the secretariat itself, another technical committee or subcommittee, or organization in liaison, the Technical Management Board or one of the advisory groups, or the Secretary-General.

The proposal will be circulated to the P-members of the technical committee or subcommittee for voting, and to the O-members for information.

See overleaf for guidance on when to use this form.

IMPORTANT NOTE: Proposals without adequate justification risk rejection or referral to originator.

Guidelines for proposing and justifying a new work item are given overleaf.

Proposal (to be completed by the proposer)**Title of proposal** (in the case of an amendment, revision or a new part of an existing document, show the reference number and current title)English title **Greenhouse Gases - Specifications for bodies that provide verification or validation assessments**French title
(if available)**Scope of proposed project**

This ISO deliverable will set out the requirements for bodies that provide verification or validation assessments of greenhouse gas emissions at the level of an organization or project. It includes general requirements, and requirements related to structure, resources, processes and management systems of a validation or verification body.

Fulfillment of the requirements in this document by bodies that undertake verification or validation assessments may be used as the basis for self-declaration, or be used to underpin peer assessment and/or accreditation schemes of validation or verification bodies.

Concerns known patented items (see ISO/IEC Directives Part 1 for important guidance) Yes No If "Yes", provide full information as annex**Envisaged publication type** (indicate one of the following, if possible) International Standard Technical Specification Publicly Available Specification Technical Report

At this time it has not been decided whether the requirements for GHG validation and verification bodies that would result from work carried out if this NP was approved will be in the form of a Technical Specification or International Standard. It is expected this would be one of the first decisions of the proposed joint working group taking into account the desirability to provide a complete set of documents for the GHG sector at approximately the same time. Irrespective of the deliverable finally chosen it is clear that the work proposed in this NP is to set normative requirements that can be used for self-declaration, or peer assessment and/or accreditation purposes of verification and validation bodies.

Purpose and justification (attach a separate page as annex, if necessary)**Background**

ISO/TC 207 WG5 *Climate change* is developing several parts of an International Standard on green house gas emissions. It is expected governments and/or voluntary greenhouse gas schemes (including greenhouse gas emissions trading schemes) that operate at the organization or project level will use the completed International Standard to provide an internationally accepted and consistent basis for greenhouse definitions, measurement methods and process requirements. The parts under development are:

- [ISO/CD 14064-1](#) Greenhouse gases -- Part 1: Specification for the quantification, monitoring and reporting of organization emissions and removals
- [ISO/CD 14064-2](#) Greenhouse gases -- Part 2: Specification for the quantification, monitoring and reporting of project emissions and removals
- [ISO/CD 14064-3](#) Greenhouse gases -- Part 3: Specification and guidance for validation and verification

It has been recognised in ISO/TC 207 WG5, and confirmed by ISO/TC207 and ISO/CASCO, that some joint work may be undertaken to provide a further ISO deliverable that would specify consistent requirements for the bodies that assess whether entities or projects fulfil the requirements contained in the above three parts.

The establishment of such requirements can be considered to be an exercise of establishing sector specific conformity assessment requirements in the field of greenhouse gases. Because of this both the ISO *Committee on conformity assessment* (ISO/CASCO), operating in accordance with its recently adopted policy on Development of Sector-specific Conformity Assessment Provisions, and ISO/TC 207 *Environmental management*, who have been asked to prepare standards for greenhouse gas emissions, need to be involved jointly on this project.

This understanding is reflected in the relevant resolutions of the two committees on this subject:

RESOLUTION 207 - 10/2003

Joint ISO/TC 207 WG5 - ISO/CASCO Working Group

ISO TC207 asks ISO/CASCO to develop requirements and guidance for greenhouse gas verification bodies that would allow for their accreditation, and instructs the ISO TC 207 Secretary to contact the ISO/CASCO Secretary to establish a joint working group with ISO/TC 207 WG5.

CASCO RESOLUTION 18/2003

Requirements for green house gas validation/verification bodies

CASCO;

notes the report from Dr. Visser; and

endorses the joint preparation and balloting of a New Work Item Proposal that would contain requirements for green house gas validation/verification bodies with ISO/TC 207 *Environmental management*.

Like the parts above, if this New Work Item Proposal is approved, the resulting requirements created will be greenhouse gas policy and regime neutral.

As a result, once completed, there may be cases where requirements in the resulting ISO deliverable may not be consistent with the policy or regulatory requirements of the organization or project participant's environment. In such situations, the applicable policy or regulatory requirement especially those taken in the framework of Kyoto Protocol would take precedence.

Purpose

The purpose of the proposed work item is to provide a set of standard requirements for bodies that provide validation or verification assessments of greenhouse gas emissions. Following the CASCO approved common structure for such documents the requirements will be split into general requirements, and requirements covering structural characteristics of the bodies concerned, the type of resources they should have available, the internal process and management systems elements they should have to ensure they can provide credible assessments that can lead to verification and validation claims.

The document will draw on existing generic requirements found in various CASCO Guides and International Standards and be made GHG specific by expertise from the GHG field.

Justification

The need for a document containing requirements for GHG verification and validation bodies has been discussed in ISO for some time. The possible need for such a document was contained as an approved recommendation in the report of the ISO/TMB Ad Hoc Group on Climate Change in 2002. Most recently it has been discussed again at the 5th meeting of ISO/TC 207 WG5 *Climate change* in February 2004, and at the CASCO Chairman's Policy and Coordination group (CASCO CPC) meeting in March 2004. It was noted that the market for GHG emission verification and validation had matured and the ISO 14064 parts 1,2,3 had begun to take shape. The following are some of the key points related to the issue:

- it was acknowledged that some schemes already had accreditation mechanisms written into them and that ISO should not attempt to compete with any of these, but
- the discussions also mentioned that there are emissions reporting and/or trading schemes operating where no accreditation requirements exist yet and that these would benefit from some form of international guidance / standard,
- some of the requirements on validators and verifiers had been removed from the ISO CD 14064 Part 3 validation verification document as they were outside the scope, but it was agreed they were necessary to ensure the technical rigour of the process and should be captured elsewhere,
- the existing management system certification / accreditation in the EMS field is getting a significant amount of bad press in Europe and it shouldn't be left up to existing accreditors to develop their own requirements

and police themselves, and that

- the ISO/TC 207 WG5 Secretary had spoken to the UNFCCC secretariat and they were of the opinion that the accreditation document would be the “next step” in the ISO series and encouraged the group to go ahead with the work.

Taking into account these recent discussions it is confirmed that follow-up action on the above resolutions by ISO/TC 207 and CASCO is necessary, and that ISO member bodies of the two committees should now determine whether such work is necessary through their vote on this NP.

The main interests that might benefit from or be affected by this activity include:

- the organisers and managers of greenhouse gas emission reduction and trading schemes, including the [UNFCCC Clean development mechanism \(CDM\)](#), the [WBCSD/WRI GHG Protocol](#), the [World Bank Prototype Carbon Fund](#), and various mandatory or voluntary national schemes, and voluntary schemes amongst businesses and their stakeholders. By providing an ISO deliverable that standardises the requirements for verification and validation bodies a benchmark will be established so scheme operators can have confidence in the assessment results of verification and validation bodies;
- bodies that are or will offer GHG verification and validations services will have an internationally accepted voluntary set of requirements in which to operate to. Should several GHG schemes then adopt as part of their operating rules these ISO requirements, the relevant verification and validation service provider will not need to represent itself in a different configuration for each scheme it provides service to. This will reduce time, costs and the need for duplicate or multiple procedures within verification and validation bodies. Setting requirements will also allow verification and validation bodies to self declare, belong to a peer assessment group, or be accredited, and thus allows for a degree of confidence to be introduced on the value of their assessments;
- organizations or projects that need verification and validation oversight in order to comply will specific GHG scheme requirements may stipulate in their contractual documents with verification and validation suppliers that the provisions of the ISO requirements must be met. This provides a contractual basis for such entities and projects so they can differentiate suppliers that meet the requirements from those that do not.

In terms of feasibility of creating the requirements there exist already several documents that establish requirements for verification and validation bodies. However as identified above there is no internally accepted requirements, and those that exists as scheme specific and in some instances are awaiting full application due to delays in uptake of other specific GHG provisions. It is considered that a useful set of requirements can be rapidly developed by combining parts of existing CASCO documents with he necessary terminology and expertise from the GHG community.

It is noted that the requirements for verification and validation bodies should be produced with urgency so as to able ISO provide to the market place a comprehensive set of GHG requirement documents. In this regard this work will have to catch up with that already completed by ISO/TC 207 WG5.

Target date for availability (date by which publication is considered to be necessary): **End of 2006**

Relevant documents to be considered

- [Dutch Accreditation Council \(RvA\) - Accreditation Guidelines on the Application of EN 45004 \(ISO/IEC 17020\) for the Validation and Verification of JI projects, 2002](#)
- European Commission - Establishing guidelines for the monitoring and reporting of greenhouse gas emissions pursuant to Directive 2003/87/EC of the European Parliament and of the Council (C (2004) 130 final), 2004
- [ISO/CD 14064-1](#) Greenhouse gases -- Part 1: Specification for the quantification, monitoring and reporting of organization emissions and removals
- [ISO/CD 14064-2](#) Greenhouse gases -- Part 2: Specification for the quantification, monitoring and reporting of project emissions and removals
- [ISO/CD 14064-3](#) Greenhouse gases -- Part 3: Specification and guidance for validation and verification
- ISO/IEC 17020:1998 General criteria for the operation of various types of bodies performing inspection
- ISO/IEC DIS 17021 Conformity assessment - Requirements for bodies providing assessment and certification of management systems
- ISO/IEC FDIS 17000 Conformity assessment - Vocabulary and general principles
- ISO/IEC Guide 65:1996 General requirements for bodies operating product certification systems
- [UKAS Guidance for the Application of ISO/IEC Guide 65 \(EN45011\) and EA-6/01, for verification of greenhouse gas emissions within the UK Emissions Trading Scheme, 2003](#)

<ul style="list-style-type: none"> • UNFCCC - Procedure for accrediting operational entities by the Executive Board of the clean development mechanism (CDM) (Version 3), 2003 • United States of America (USA) Department of energy - Proposed General Guidelines for Voluntary Greenhouse Gas Reporting (10 CFR Part 300, RIN 1901-AB11, 6450-01-P), 2003 • WBCSD/WRI - GHG Protocol: Corporate Accounting and Reporting Standard (revised edition), 2004 	
<p>Relationship of project to activities of other international bodies</p> <p>Joint development of one document by ISO/CASCO and ISO/TC 207</p> <p>It is proposed as part of this NP that the requirements for GHG validation and verification bodies be developed by a new joint working group made up of experts appointed by members of ISO/CASCO and members of ISO/TC207. The joint working group would report directly to the committee level of CASCO and TC207.</p> <p>The current Secretary of ISO/TC207 WG5 <i>Climate change</i>, Mr. Kevin Boehmer from the Canadian Standards Association (CSA) will provide the Secretariat function for the new joint working group.</p> <p>The joint working group will prepare the document through all stages of development. At preparatory (Working Draft (WD)) and committee (Committee Draft (CD)) stages the document will be simultaneously sent to both ISO/CASCO and ISO/TC207 members for comment and vote. However, following ISO Technical Management Board (ISO/TMB) policy, at the enquiry stage (DIS level ballot) and approval stage (FDIS level ballot) only one vote and comment opportunity will be available at each stage per ISO member. At this time CASCO and TC207 members at a national level will need to combine their positions to cast one national vote via their ISO member body. In practical terms this means DIS and FDIS level ballots will be undertaken via the ISO/TC 207 membership only.</p> <p>The ballot results and comments received at the enquiry stage (DIS level ballot) and approval stage (FDIS level ballot) will be considered by the joint working group.</p> <p>It is proposed the document through its development and once published will have an ISO 14000 series number assigned to it, and ISO/TC 207 would be primarily responsible for its subsequent maintenance alongside the other ISO GHG documents.</p>	
<p>(proposed) Liaison organizations</p> <p>International Accreditation Forum (IAF)</p> <p>International Certification Network ((IQNet)</p> <p>International Federation of Inspection Agencies (IFIA)</p> <p>International Laboratory Accreditation Cooperation (ILAC)</p>	<p>Need for coordination with:</p> <p><input type="checkbox"/> IEC <input type="checkbox"/> CEN <input type="checkbox"/> Other (please specify)</p>
<p>Preparatory work (at a minimum an outline should be included with the proposal)</p> <p><input type="checkbox"/> A draft is attached <input checked="" type="checkbox"/> An outline is attached. It is possible to supply a draft by July 2004</p> <p>The proposer or the proposer's organization is prepared to undertake the preparatory work required</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>Proposed Project Leader (name and address)</p> <p>Dr. Geoff Visser Director, International South African Bureau of Standards (SABS) 1 Dr Lategan Rd, Groenkloof Private Bag X191 ZA-Pretoria 0001</p> <p>Tel +27 12 428 79 11 Fax +27 12 344 15 68 E-mail visser@sabs.co.za Web http://www.sabs.co.za/</p>	<p>Name and signature of the Proposer (include contact information)</p> <p>Geoff Visser - Signature on File</p> <p>South African Bureau of Standards 1 Dr Lategan Rd, Groenkloof Private Bag X191 ZA-Pretoria 0001</p> <p>Tel +27 12 428 79 11 Fax +27 12 344 15 68 E-mail info@sabs.co.za Web http://www.sabs.co.za/</p>

Comments of the TC or SC Secretariat

Supplementary information relating to the proposal

- This proposal relates to a new ISO document;
- This proposal relates to the amendment/revision of an existing ISO document;
- This proposal relates to the adoption as an active project of an item currently registered as a Preliminary Work Item;
- This proposal relates to the re-establishment of a cancelled project as an active project.

Other:

Voting information



The ballot associated with this proposal comprises a vote on:

- Adoption of the proposal as a new project
- Adoption of the associated draft as a committee draft (CD)
(see ISO Form 5, question 3.3.1)
- Adoption of the associated draft for submission for the enquiry vote (DIS or equivalent)
(see ISO Form 5, question 3.3.2)

Other: ISO members of ISO/CASCO and ISO/TC207, and A-liaisons of the two committees, are invited to nominate an expert to the joint working group that will be established if the NP is successful (see the expert nomination form attached)

Annex(es) are included with this proposal (give details)

- Proposed outline of the document

Date of circulation	Closing date for voting	Signature of the Committee Secretaries	
April 27, 2004	July 27, 2004	 Mr. Ahmad Hussein ISO/TC207 Secretary	 Mr. Graeme Drake CASCO Secretary

POSSIBLE OUTLINE OF A REQUIREMENTS DOCUMENT FOR GHG VERIFICATION AND VALIDATION BODIES

Title

Forward

Introduction

Scope

Terms and definitions

Principles

- General
- Impartiality
- Competence
- Responsibility
- Openness
- Confidentiality
- Resolution of complaints

General requirements

- Legal and contractual matters
- Legal responsibility
- Agreement for provision of GHG verification and validation services
- Responsibility for verification and validation assessment and claims
- Management of impartiality
- Liability and financing

Structural requirements

- Governance and management commitment
- Mechanisms to safeguard impartiality and competence

Resource requirements

- Competence of management and personnel
- Personnel involved in the certification process
- Use of individual external auditors and external technical experts
- Personnel records
- Outsourcing

Facilities and equipment

Process requirements

- Assessment procedures
 - Desktop assessments
 - Onsite assessments
 - Witnessing
- Handling samples and items
- Reporting

Management system requirements

Requirements for records and information management

- Publicly accessible information
- Verification and validation documents
- Reference to GHG scheme acceptance and use of marks
- Confidentiality
- Information exchange between a verification and validation body and the entity or project
- Information on the verification and validation process and requirements
- Notice of changes by a verification and validation body
- Notice of changes by an entity or project

Annex 1 Cross-reference table of terms commonly used in conformity assessment and greenhouse gas verification and validation activities

Annex 2 Cross-reference table of requirements in this document with the requirements of ISO 9001:2000 and ISO/IEC 17025:1999

Bibliography



VOTE ON JOINT NEW WORK ITEM PROPOSAL	
Date of circulation 2004-04-27	Reference number ISO/TC 207N657 ISO/CASCO 12/2004
Closing date for voting 2004-07-27	
Member body voting	

Title
ISO/CASCO Committee on conformity assessment

ISO/TC 207 Environmental management

Secretariat **SCC**
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Email: sue.ruscetta@csa.ca
or fax: 416 401-6545

Circulated to P-members of the committee for vote and to O-members for information.

P-members of ISO/CASCO and P-members of ISO/TC 207 have an obligation to vote.

Please send this form, duly completed at all points, to the Secretariat indicated above (not to ISO Central Secretariat). P-members voting "Abstain" need only complete Question 3.1. All other P-members need to respond to all questions.
Important Note: Incomplete forms may be considered invalid and not be counted when assessing results.

Title of proposal

English title **Greenhouse Gases - Specifications for bodies that provide verification or validation assessments**

French title (optional)

1 Evaluation of market relevance of the proposal

(P-members intending to vote 'We abstain' should not respond to this question)

It is recommended that this evaluation be carried out by a reasonably large number of stakeholders and the average of the various points given be subsequently reflected on the voting forms.)

		low				high
		1	2	3	4	5
1.1	What is the potential of this project to contribute to international trade and production?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	What is the potential of this project to contribute to economic efficiency, health, safety, or the environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	How great is the need to harmonize national approaches in this subject area that may serve as barriers to international trade?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	What is the feasibility of achieving consensus on International Standard(s) in this subject area by the proposed target dates?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	What priority should be assigned to the development of International Standard(s) in this subject area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Comments, including proposals for modification of the scope, may be annexed)

Total points

2 Justification of proposal

(P-members intending to vote 'We abstain' should not respond to this question)

Do you agree, as the voting member body, that the requirements in the ISO/IEC Directives, Annex C, 2001 on the *Justification of proposals for the establishment of standards* have been met by this proposal?

Yes No

Vote on joint new work item proposal

3 Vote

(Response required from all P-members)

(P-members intending to vote 'We abstain' need only respond to 3.1)

3.1 We agree to the addition of the proposed New work item to the programme of work of the committee:

Yes No We abstain / have no interest

3.2 We are prepared to participate actively in the development of the project (even if voting "No"), i.e. to make an effective contribution at the preparatory stage, at least by commenting on working drafts:

Yes* No

NOTE 1 All P-members voting "Yes" to questions 3.1 and 3.2 need to nominate an expert.

NOTE 2 P-members voting "No" to question 3.1 may nevertheless nominate experts.

* Name(s) and address(es) of nominated expert(s)

3.3 Additional vote on an associated draft (NOT APPLICABLE)

NOTE Question 3.3 is applicable only in those cases where an additional vote for adoption of a draft is indicated by the committee secretariat on the ISO Form 4 in the section "Voting information".

In such cases, answer **either** 3.3.1 **or** 3.3.2, as indicated on the New work item proposal.

3.3.1 We agree to direct submission of the draft associated with the New work item proposal as a CD:

Yes No

3.3.2 We agree to direct submission of the draft associated with the New work item proposal as a DIS (a vote "Yes" implies acceptance as a CD):

Yes No

If voting 'No', to progression to a DIS, would you nevertheless agree with direct submission of the draft attached to the New work item proposal as a CD:

Yes No

4 Relevant documents

Standard(s), regulation(s), and other relevant documentation existing in our country, with any remarks concerning their application if necessary, are attached:

Yes No

If "Yes", please give references here, or as a separate annex:

5 Comments

An annex is attached to this form

Member body voting	
Date	Name