

To: Our licensees (corporations and organizations)

JIC Quality Assurance Ltd. (JICQA)

### **Information on How to Proceed with Periodic Certification Maintenance Surveillance**

(Issuance of the surveillance notification/determination of the application date - Implementation of the surveillance - Confirmation of certification maintenance)

Dear Sir/Madam,

We hereby describe an overview of periodic certification maintenance surveillance by JICQA (hereinafter referred to as periodic surveillance”).

Please read the following and take the necessary procedures accordingly.

If you have any questions, please contact us at the e-mail, phone/fax number or address provided on page 4 of this Information.

Sincerely,

#### **<Overview of periodic surveillance (Basic flow: See page 6.)**

##### (1) Implementation of periodic surveillance and its interval

Periodic surveillance is conducted on a periodic basis, whether or not temporary certification maintenance surveillance is conducted around the periodic surveillance.

It is statutorily required that periodic surveillance shall be conducted at least once every three years, whereby JICQA conducts it as follows:

\*1st periodic surveillance: Conducted at least once within three years of the date of issue of the Certificate (date of certification).

\*2nd and subsequent periodic surveillance: Conducted at least once every three years of the date of implementation of the previous periodic surveillance.

Note: The date of implementation of the previous periodic surveillance means the date of issue of the “Notification” for the previous periodic surveillance stated in (2).

##### (2) Determination of the date of application of the periodic surveillance based on the date of issue of a “Notification”

- JICQA issues a “Notification” for the periodic surveillance to the licensee in advance.
- At the time of receipt of the “Notification” by the licensee, the date of issue of the “Notification” is treated as the date of application for the periodic surveillance by the licensee.

The dates of issue of a “Notification” for a certification respectively are the dates as follows:

\*1st periodic surveillance: A JICQA’s business day of the week which includes the day six months before the day of the third year from the date of issuance of the Certificate

\*2nd and subsequent periodic surveillance: The day of the third year from the date of issue of the “Notification” for the previous periodic surveillance

- If the licensee, however, notifies JICQA that it does not have an intention to maintain certification no later than three months before the deadline of implementation (or the deadline of application) of a periodic surveillance in writing in accordance with Clause 2 of Article 5 of the “Certification Agreement concerning Licensing of Marking of JIS mark, etc.” concluded, JICQA determines that “the licensee will not apply for a periodic surveillance” at the time of receipt of the Notice by JICQA.
- The deadline of implementation of periodic surveillance (deadline of application) is shown as follows:

\*1st periodic surveillance: The day of the third year from the date of issue of the Certificate (date of certification)

\*2nd and subsequent periodic surveillance: The day of the third year from the date of issue of the “Notification” (date of application) for the previous periodic surveillance

Note 1) The “Notification” is issued based on the range and content of the certification, in consideration of the items and matters already confirmed at the latest certification maintenance surveillance etc., for periodic surveillance is conducted to confirm whether the licensee is capable of maintaining certification being granted.

Note 2) Points to keep in mind when hoping to have periodic surveillance with different certification conditions from the current ones having been granted. (e.g., when addition/reduction, or alteration, or change, if any, has been made to the Document describing the Quality Control Implementation Condition for the current certification)

- Please contact with JICQA, in principle no later than 13 weeks before the planned week in which the “Notification” in (2) is to be issued.
- In this case, note that the licensee may be required to submit the “Notification Form for Changes Concerning JIS Certification Contents” and to have temporary certification maintenance surveillance (hereinafter referred to as “temporary surveillance”) in advance.
- For details, refer to the “Procedure for Making Changes to Matters Relating to JIS Certification etc.,” which is available at the web page of JICQA (link).

Note 3) Points to keep in mind when moving up the date of specific periodic surveillance from the planned time.

- If the licensee needs to move up the date of a periodic surveillance and to request to have the “Notification” in (2) issued earlier than the planned week of issue of the “Notification”, please contact with JICQA, in principle, no later than 13 weeks before the planned week of issue of the “Notification.”
- Note that if the “Notification” is issued earlier than the planned date corresponding to your request, the date of application for the next periodic surveillance will be the date of issue of that earlier issued “Notification” , and subsequent periodic surveillances will be conducted more than once every three years, as a result, from the date of issue of that earlier issued “Notification” (date of application) for the previous periodic surveillance .

Note 4) Points to keep in mind when the licensee needs to have periodic surveillances, for number of certifications having different deadlines, during the same or partially the same period of time by changing the schedule. (hereinafter referred to as a “concurrent surveillance”)

- When you are granted a number of certifications with different deadlines and need to have a concurrent surveillance for them, let us know the relevant certifications before the earliest planned week of issue of “Notification” (please refer to (2)).
- In this case, the date of issue of the “Notification” with a later planned week of issue will be changed to the date of issue of the “Notification” with the earliest planned week of issue. These respective “Notifications” will be issued at the changed date above.
- If you need to have initial certification audit(s) with a number of periodic surveillances at the same period of time, let us know your intention and the certifications you need to have a concurrent surveillance for, before the planned week of issue of the “Notification” with the earliest week of issue (please refer to (2)).

Note 5) Points to keep in mind on the deadline of implementation of the next periodic surveillance when conducting concurrent surveillance

- When concurrent surveillance is conducted, note that (1) and (2) must be followed on the next periodic surveillance for each of the certifications, including the deadline of the implementation.
- When concurrent surveillance is conducted and periodic surveillance is conducted ahead of the originally planned date, note that the deadline of implementation of the next periodic surveillance may be moved up.

- When initial certification audits (initial factory audits and initial product tests) for different divisions of certification, or initial certification audit(s) and periodic surveillance(s) are conducted during the same period of time, note that (1) and (2) must be followed on the next periodic surveillance for each of them, including the deadline of the implementation.

(3) Submission of application documents for a periodic surveillance

- When the “Notification” in (2) is received, please notify JICQA of the receipt of the “Notification.” (Please send to the person in charge of documents control for periodic surveillance the “Notice about receipt and confirmation of notification regarding JIS periodic certification maintenance surveillance,” attached to the “Notification.”)
- When making an application, submit the following documents 1) to 3):
  - 1) Application form (You do not need to re-submit this form because the “Notice about receipt and confirmation of notification regarding JIS periodic certification maintenance surveillance” you send back to JICQA corresponds to the application form for the periodic surveillance.)
  - 2) Document describing the Quality Control Implementation Condition (A) or (B) (For Certification Maintenance Surveillance)  
Please download the form (Word file) from the web page of JICQA.
  - 3) The latest version of brochure of the licensee (corporation /organization)  
Please re-submit this if any change has been made to the brochure submitted at the time of application for the initial certification audit.

(4) Preparation and issuance of an audit plan

- After receiving the “Notice about receipt and confirmation of notification regarding JIS periodic certification maintenance surveillance,” JICQA issues an operational instruction and notification on the organization of auditors. (Duplicate copy will be sent also to the licensee.)
- The schedule of the periodic surveillance is then adjusted by the auditors, before the audit plan is issued.
- The audit plan is prepared in accordance with Notes 2 to 5 in (2), taking into consideration details of the periodic surveillance constitution (objects of audits and product tests etc.) coordinated based on the obtained information from the licensee in advance.

(5) Certification maintenance factory audit of periodic certification maintenance surveillance (hereinafter referred to as a “periodic factory audit”)

- While periodic factory audit is conducted by following the way as the initial factory audit in principle, it is conducted taking alterations made to the organization and/or applicable JIS standards for certification maintenance (revisions etc.) into consideration, after the certification was granted, and influences on the conformity of the organization to the relevant JIS and quality control system as well.
- At the on-site audit, the following factors are taken into consideration, while not only those are limited for consideration.
  - Production and quality records described in the Document describing the Quality Control Implementation Condition (A) or (B)
  - Alterations made after the initial factory audit or previous periodic surveillance (if applicable) (including alterations of facility constitution, capability, operational conditions/methods, and algorithm)
  - Alterations of divisions, types or grades, and specifications concerning products and semi-finished products made after the initial factory audit or previous periodic surveillance (if applicable) (including the items and matters by the agreement between the purchaser and the manufacturer, regardless of whether or not these alterations are made by the revisions to JIS standards)
  - Significant changes in the quality performance made/occurring after the initial factory audit or previous periodic surveillance (if applicable)
  - Matters pointed out at the initial factory audit, previous periodic surveillance (if applicable), and temporary factory audit
- If multiple factories or business establishments are contained in a range of certification for the same

division of certification, the factors described above are taken into consideration on a factory or business establishment basis.

(6) Certification maintenance product test of periodic certification maintenance surveillance (hereinafter referred to as a “periodic product test”)

- While periodic product test is conducted by following the way as the initial product test in principle, it is conducted taking alterations made to the organization and/or applicable JIS standards for certification maintenance (revisions etc.) into consideration, after the certification was granted, and influences on the conformity in terms of the performance of products on the relevant JIS as well.
- At the sampling of products for periodic product test, the following factors are taken into consideration, while not only those are limited for consideration.
  - Production and quality records described in the Document describing the Quality Control Implementation Condition (A) or (B)
  - If the relevant types or grades have ever been sampled for product tests, including at the temporary maintenance surveillances
  - Alterations made to manufacturing and processing processes after the initial factory audit or previous periodic surveillance (if applicable)  
(including alterations of facility constitution, capability, operational conditions/methods, and algorithm)
  - Alterations of divisions, types or grades, and specifications concerning products and semi-finished products made after the initial product test or previous periodic product test (if applicable)  
(including the items and matters by the agreement between the purchaser and the manufacturer, regardless of whether or not these alterations are made by the revisions to JIS standards)
  - Significant changes in the quality performance made/occurring after the initial factory audit or previous periodic surveillance (if applicable)
  - Matters pointed out at the initial product test, previous product test (if applicable), and temporary product test
  - Comprehensiveness of the types or grades sampled after the initial product test to all the types or grades subject to the certification (division of certification)
- If multiple factories or business establishments are contained in a range of certification for the same division of certification, the factors described above are taken into consideration on a factory or business establishment basis.
- 17025-Confirmation is also conducted by following the way as the initial product test. That is, when periodic product test is conducted by the licensee’s testing facility and the personnel in the presence of JICQA auditors, the Confirmation if the facility and the personnel meet the applicable requirements of JIS Q 17025 is conducted.

(7) Decision of maintenance of certification

- After the periodic surveillance, evaluation report prepared by the auditors is examined at a “JIS Certification Committee” and the decision whether to maintain the certification is made.
- The decision by the Committee will be promptly notified to you thereafter, in the same manner as when certification was granted by the initial certification audit. (The “Certification Maintenance Decision Notice” will be sent by e-mail.)

<If you have any inquiries about the information above, please contact at the following>

JIS Certification Dept., JIC Quality Assurance Ltd. (JICQA)

• E-mail : [jicqa\\_jisinfo@jicqa.co.jp](mailto:jicqa_jisinfo@jicqa.co.jp)

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• Address: Sumitomo Irifune Building, 2-1-1, Irifune, Chuo-ku, Tokyo 104-0042

## Basic flow of Periodic Certification Maintenance Surveillance (PCMS)

