

# EU CORSIA Africa and Caribbean

*REGIONAL WORKSHOP*

*CORSIA IMPLEMENTATION AFTER ICAO 41st GENERAL ASSEMBLY*

*Johannesburg, 10-13 May 2023*

**Your safety is our mission.**

## **Proposed amendments in SARPs Annex 16, Volume IV, 2<sup>nd</sup> Edition (Version July 2022)**

**Verification component – ISO/IEC 17011:2017; ISO/IEC 17029:2019; ISO 14065 and implications for the NAB/VB from the region**

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**Working for quieter and cleaner aviation.**

**Your safety is our mission.**

# Objectives

- Raise awareness of the considerations/Impacts on the next steps of CORSIA


# What's New or Rephrased in the 2<sup>nd</sup> Edition of the SARP

Standards Update




# Conformity assessment

The process for demonstrating that the requirements of standards, regulations, and other specifications are met.



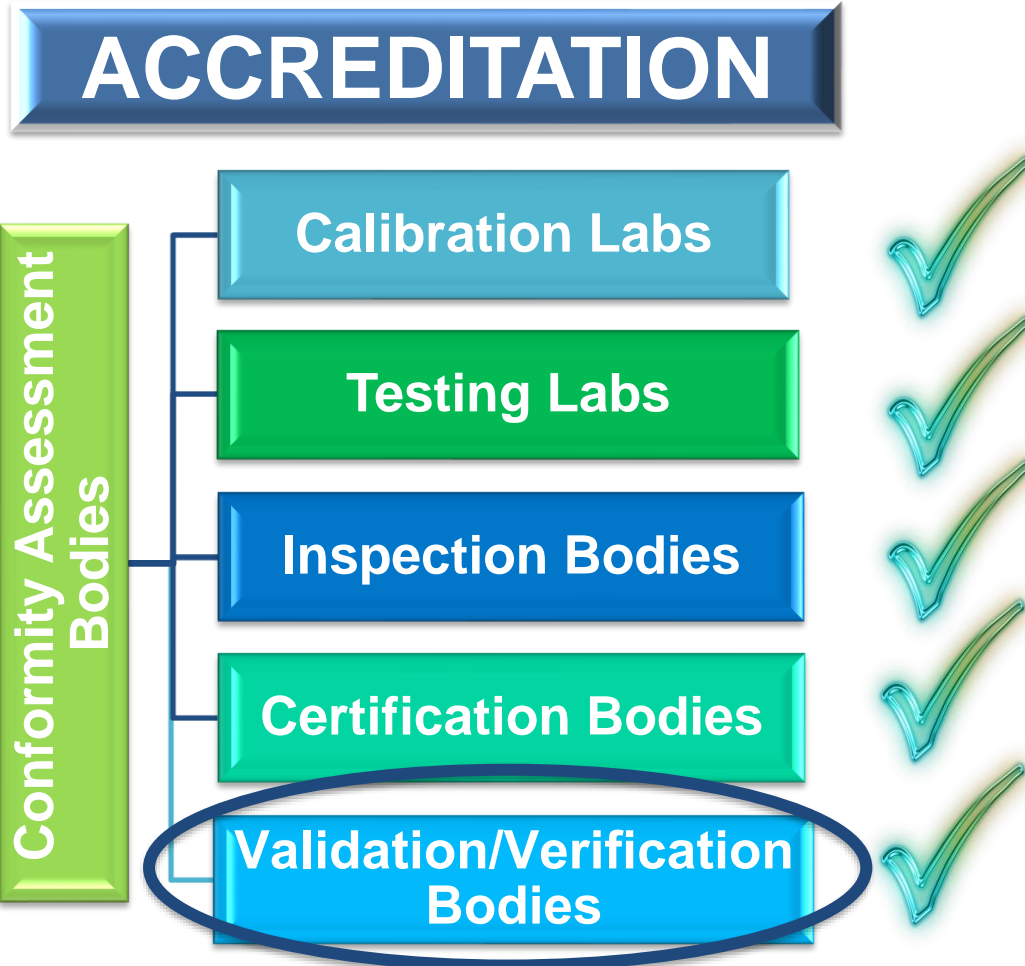
There are different conformity assessment techniques such as assessment, audit, calibration, examination, inspection, certification, verification, testing, etc.



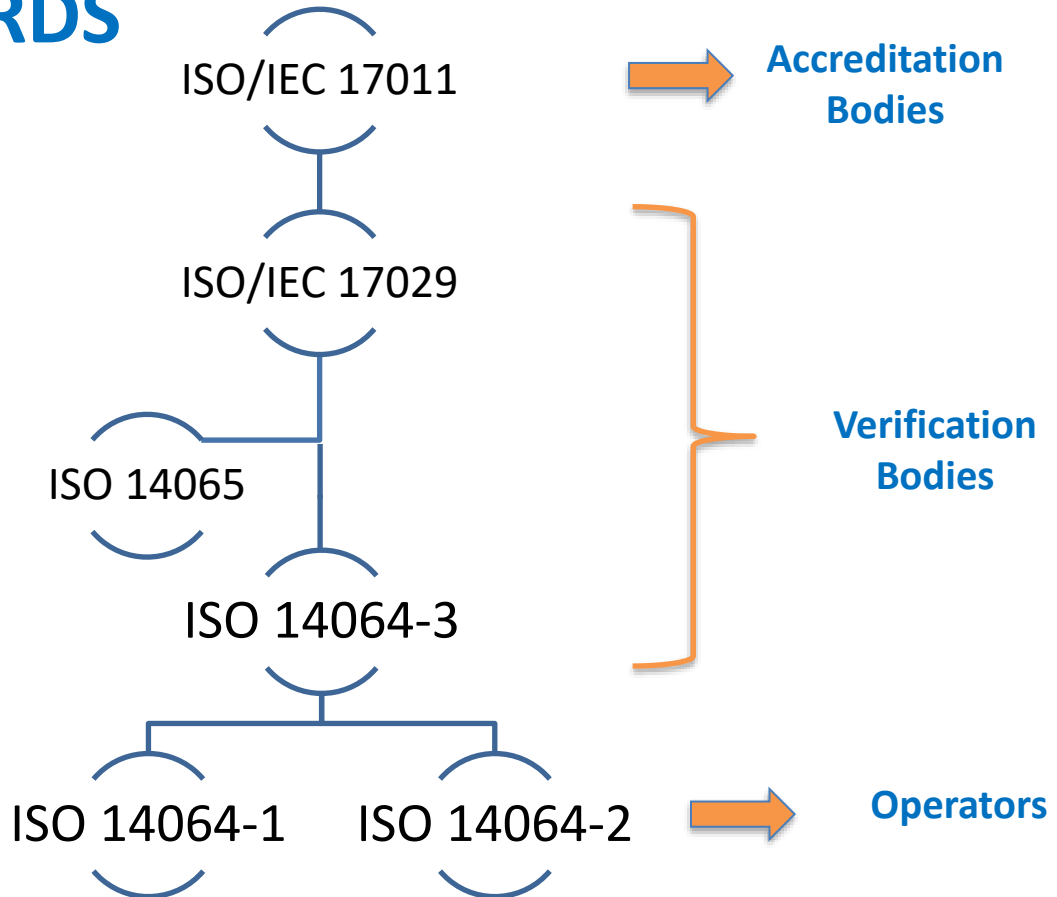
Conformity assessment activities give rise to different evidence of conformity such as Declaration, Report, Opinion, Conformity Mark, Certificates, etc.



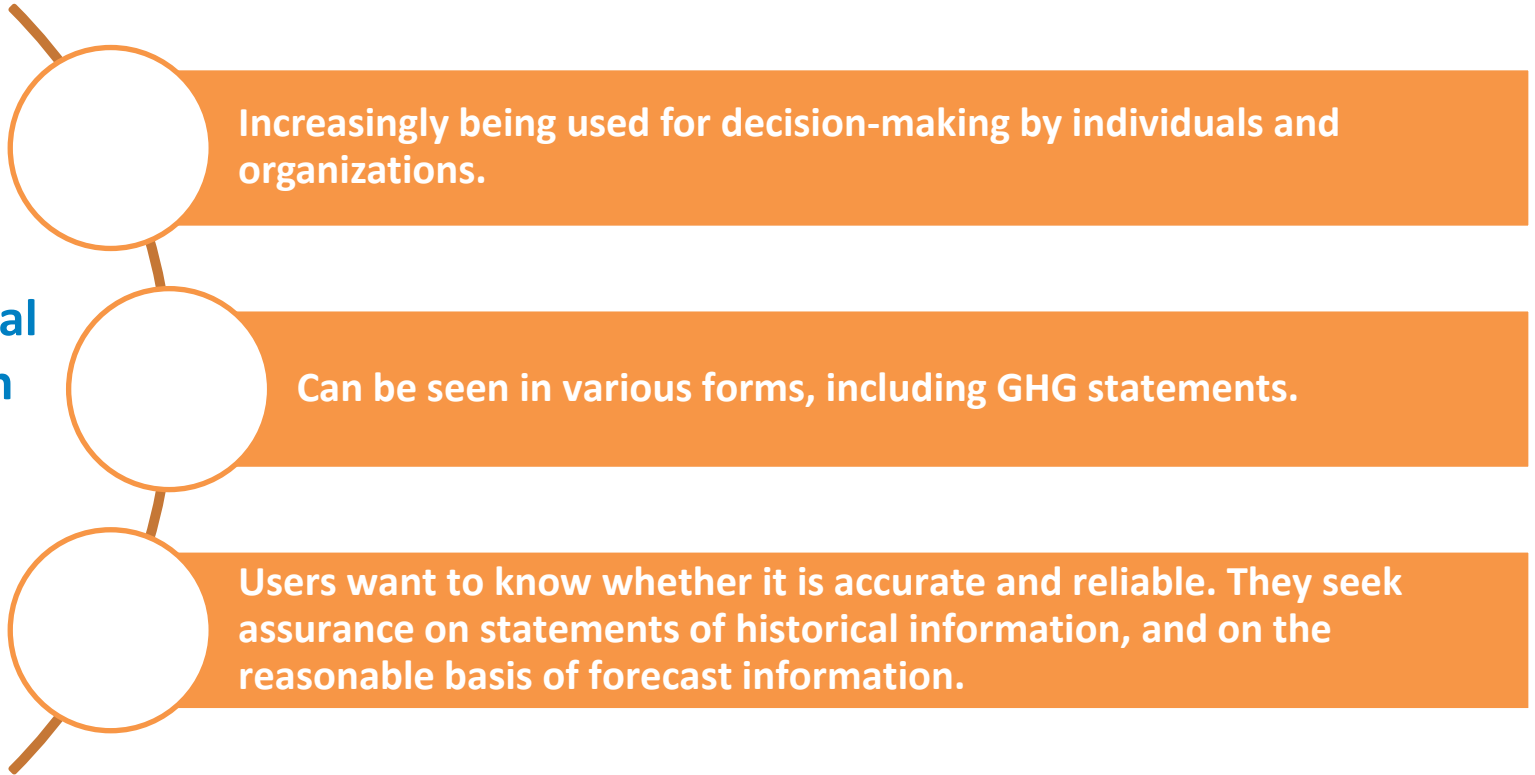
# Actors who give confidence:



# ISO/IEC STANDARDS FOR



# Why Standards Are Important



## Environmental information



# ISO/IEC 17029:2019

Umbrella for programs requiring verification of any kind of historical information (**VERIFICATION**) or forecast information (**VALIDATION**).

Such as,



# ISO 14065:2020

Umbrella for programs requiring verification of any kind of historical information (**VERIFICATION**) or forecast information (**VALIDATION**).

**Sector application of ISO/IEC 17029, now referenced in Appendix 6 of the SARP with ISO 14065 as CORSIA accreditation standards.**

ISO 14065 references the requirements of ISO/IEC 17029 and also includes specific requirements related to bodies that validate or verify environmental information.

# STANDARDS UPDATE OBJECTIVE

## STRENGTHEN THE PERFORMANCE OF THE VVB



# STANDARD CONTENT



# IMPARTIALITY RELEVANCE

- One of the relevant principles of verification.
- Basis for establishing confidence in a verification body's opinion.

## *Presence of objectivity*

- Decisions are based on objective evidence obtained through the validation/verification process and are not influenced by other interests or parties.

# COMPETENCE RELEVANCE

- Second of the relevant principles of the system.
- Basis for establishing confidence in a verification body's opinion.

## *Knowledge and Skills*

- Verifiers, validators, technical experts and reviewers have appropriate competencies to effectively perform validation/verification activities.

# COHERENT PROCESS

→ The VVB shall:

- have a process for the effective control of validation/verification activities.
- consider the risk that these activities pose to the competence, consistency and impartiality of the validation/verification body.

# RISK BASED APPROACH



IMPARTIALITY

OPERATIONAL CONTROL

VALIDATION/VERIFICATION



# QUESTIONS



# Check on Verification Body's Accreditation

- The revised SARP recommends that aeroplane operators check on the accreditation status of the verification bodies they engage
  - Revision in Part 2, Chapter 2, Section 2.4 “Verification of CO<sub>2</sub> Emissions”
  - The revised Environmental Technical Manual (Doc 9501) will include guidance on checking accreditation of verification bodies
- A similar change was made in the section on “Verification of Emission Unit Cancellation Report,” Section 4.4.1.2
- Prior guidance relied on the updating of a document posted on the CORSIA Central Registry

# Aeroplane Operator Emission Reports

- Field 3 is now modified to include both the name of the verification body and its national accreditation body, with contact information



# State Reports of Accredited VBs

- Field 2 is modified to include the accreditation certificate number of the verification bodies accredited in the State



# New Limitation on Consulting to Operators

- VBs whose personnel have consulted to an aeroplane operator on GHG statements are barred from providing verification services for a period of three years (App. 6, 2.3)



# Pre-Engagement Information Provided to VB

- New section requires aeroplane operators to provide detailed information to VBs *before* the execution of a contract:
  - Number and type of aeroplanes, number of international flights
  - Applicable Fuel Use Monitoring Method(s) and complexity of the implemented data flow, procedures and control activities
  - Compliance period for which emissions units have been or will be cancelled
  - Total quantity of emissions units that have been or will be cancelled for the indicated compliance period; and
  - Information on CORSIA Eligible Emission Unit Programme(s) used to source the emissions units, including name of the programme(s), programme-designated registries, eligible unit dates and activity and/or unit types

# Changes to Engagement (Contract)

- The “conditions for verification” now specify Doc 9501 (ETM) as a required reference document to be specified in the engagement
- VBs are now required to communicate any suspected intentional misstatement or noncompliance by the aeroplane operator to the State as soon as practicable (ISO 14064-3:2019 section 5.4.3)



# Types of Engagement and Site Visits

- The SARP specifies that Agreed-Upon Procedures (Annex C of ISO 14064 Part 3) are not applicable to CORSIA
- Site visits can only be waived upon approval by the State





# Verification Report—Additional Requirements

- The verification report shall include:
  - The criteria against which the Emissions Unit Cancellation Report was verified
  - In the case of the Fuel Allocation with Block Hour method, an assessment on the accuracy of the aeroplane operator's specific average fuel burn ratio per ICAO aircraft type designator used



# New Requirements for Accreditation Bodies

- Appendix 6 receives a new Clause 4
  - Accreditation bodies shall operate in accordance with ISO 17011:2017
  - Accreditation of VBs shall include an office assessment and a witness assessment



# How ISO 14064-3 Has Changed

- 2<sup>nd</sup> edition benefits from more than 10 years' experience validating and verifying GHG statements
- Many requirements from the 1<sup>st</sup> edition are addressed in more detail:
  - Principle of documentation
  - Strategic review and risk assessment
  - Site visits
  - Analytical procedures

# Principle of Documentation

- Implicit in the 1<sup>st</sup> edition, the principle that validation/verification activities are documented in a full and transparent manner is now made explicit
- Well documented engagements enable more informed independent reviews
- Parties with the authority to review the work of validation/verification bodies, such as accreditation bodies and civil aviation authorities, are better able to evaluate the professionalism of the work performed by verifiers

# Strategic Review and Risk Assessment

- The 2<sup>nd</sup> edition identifies the topics to be reviewed during strategic review and the considerations that the risk assessment shall take into account
- These changes should improve the type and extent of evidence that verifiers should collect in order to reach their conclusions

# Site Visits

- This topic is now addressed in three places in clause 6 of ISO 14064-3
  - When site visits are required
  - How to select facilities to visit during a site visit
  - What activities to perform during a site visit

# Site Visit Exceptions

- The rules established in clause 6 of ISO 14064-3 can be overridden if the verifier can provide adequate justification
- The guidance in the Environmental Technical Manual about site visits still applies
- The application of the rules around site visits will likely continue to confuse VVBs, accreditation bodies, and civil aviation authorities

# Analytical Procedures

- The term is defined for the first time in ISO 14064-3:2019:
  - “evaluation of *GHG* ([3.1.1](#)) information made by an analysis of plausible relationships among GHG and non-GHG data”
- Analytical procedures are often used in the following instances:
  - Perform an order of magnitude check on data
  - Compare specific airplane operator data to an expected benchmark
  - Check the results of updated statements provided after airplane operators update their statements to respond to nonconformities



# Conclusions Related to ISO 14064-3:2019

- Improved verification standard
- More explicit allowing for more consistent oversight by accreditation bodies
- Better aligned with financial accounting audit standards