

JIS Mark Scheme

Implementation Guideline of JIS Certification

1. Scope

This Guideline provides key rules for appropriate implementation of an initial factory audit, initial product test, certification maintenance surveillance, etc. for the certification of the industrial and mineral products, etc. to Japan Industrial Standards (unless otherwise specified, hereinafter referred to as “JIS”), under the stipulation of the “JIS Certification Manual (JP1001) of JIC Quality Assurance Ltd. (hereinafter referred to as “JICQA”).

The Guideline is based on the Industrial Standardization Law, Ministerial Ordinance for JIS certification on industrial product and its processing technology(July 1, 2019) (hereinafter referred to as the “Ministerial Ordinance”), JIS Q 1001 (Conformity assessment -- Conformity assessment for Japanese Industrial Standards -- General guidance on a third-party certification system for products and these processing technology) (hereinafter referred to as the “General Guidance on Certification”), and JIS Q 1013 (Conformity assessment -- Conformity assessment for Japanese Industrial Standards -- Guidance on a third-party certification system for steel products -- Part I) (hereinafter referred to as the “Sectoral Guidance on Certification (Steel Products -- Part I)”).

2. Standards for JIS certification services and criteria for JIS certification audit

(1) Standards for JIS certification services

The standards and reference standards used for JICQA to conduct JIS certification services as a third party are as follows:

- Industrial Standardization Law
- Ministerial Ordinance
- ISO/IEC 17065 (JIS Q 17065):
Conformity assessment -- Requirements for bodies certifying products, processes and services
- General Guidance on Certification
- Sectoral Guidance on Certification (Steel Products -- Part I)
- JIS Q 17025 (General requirements for the competence of testing and calibration laboratories)

(2) Criteria for JIS certification audit

The criteria for JIS certification audit by JICQA (hereinafter referred to as “applicable standards”) are as follows:

- JIS relating to the relevant products
- General Guidance on Certification -- Annex B (normative): Criteria of audit of quality control system
- Sectoral Guidance on Certification (Steel Products -- Part I)

3. Terms and Definitions

The terms and definitions relating to JIS certification by JICQA used in this Guideline, including those specified in the standards etc. specified in 2. (1) and 2. (2) are as follows:

[Applicant]

Those who fall under any of the following and apply for the certification based on the corresponding provisions to a registered certification body

(Domestic applicant)

- (a) Manufacturer of industrial or mineral products specified in Article 30-1 of the Industrial Standardization Law
- (b) Importer or distributor of industrial or mineral products specified in Article 30-2 of the Industrial Standardization Law
- (c) Processor of industrial or mineral products specified in Article 31-1 of the Industrial Standardization Law
- (Overseas applicant)
 - (a) Manufacturer of industrial or mineral products specified in Article 37-1 of the Industrial Standardization Law
 - (b) Exporter of industrial or mineral products specified in Article 37-2 of the Industrial Standardization Law
 - (c) Processor of industrial or mineral products specified in Article 37-3 of the Industrial Standardization Law

[Client]

Organization or individual having responsibility for ensuring that certification requirements, including product requirements, are met, to JICQA, which is a certification body

[Registered certification body]

Certification body registered based on Article 30-1 and-2, Article 31-1, Article 37-1 to-3 of the Industrial Standardization Law

[Industrial and mineral products, etc.]

Industrial and mineral products subject to certification or industrial and mineral products processed by processing technologies subject to certification

[JIS mark]

Marking specified in Article 1-1 to-3 of the Ministerial Ordinance

[JIS mark etc.]

Collective term for a JIS mark, applicable JIS number, applicable JIS type or grade, and the name or designation of a registered certification body which has granted certification

[General certification]

Collective term for certification for industrial and mineral products which the applicant is continuously manufacturing/processing and/or plans to manufacture/process

[Lot certification]

Certification for an industrial or mineral product of specific number or quantity manufactured or processed in accordance with the JIS of the industrial or mineral product subject to certification or processing technology thereof

[Factory audit]

Audit of the quality control system (manufacturing facility/equipment, inspection equipment, inspection methods, quality control methods, and other technical manufacturing conditions necessary to maintain the quality) for the certified industrial and mineral products, or audit of the processing quality control system (processing facility/equipment, inspection equipment, inspection methods, quality control methods, and other technical processing conditions necessary to maintain the quality) for the certified processing technologies

A factory audit conducted when certification is requested by the applicant is referred to as an initial factory audit.

[Product test]

Test, analysis, or measurement of industrial and mineral products conducted in accordance with JIS to assess conformity to the relevant JIS. Product test conducted when certification is requested by the client is referred to as an initial product test.

[Certification maintenance surveillance]

Audit conducted to decide whether certification granted by a registered certification body may be maintained. There are two types of certification maintenance surveillance: periodic certification maintenance surveillance and temporary certification maintenance surveillance.

A factory audit conducted in certification maintenance surveillance is referred to as a certification maintenance surveillance factory audit, and product testing conducted for certification maintenance surveillance is referred to as a certification maintenance surveillance product testing.

[Licensee]

Those whose industrial and mineral products or processing technologies have been certified by an accredited certification body

[Objection]

Official written expression of disagreement with a decision by JICQA on JIS certification, by an organization affected by the decision

[Complaint]

Discontent and dissatisfaction, other than objections, officially expressed to JICQA with matters related to JICQA or the licensee

4. Range of certification

4.1 Category of Accreditation

JICQA provides services for certification of conformity of industrial and mineral products etc. to JIS.

The category of accreditation of the industrial and mineral products etc. on which JICQA provides certification services is shown below:

In addition, the JIS numbers and titles of the category of accreditation on which JICQA provides certification services are shown in Appendix Table.

Table 1 Category of Accreditation for JICQA by the Nation and the number of standards (Total:220)

Category of Accreditation	Number of standards	Category of Accreditation	Number of standards
A Civil engineering and architecture	20	H Nonferrous materials and metallurgy	31
B Mechanical engineering	24	R Ceramics	1
E Railway engineering	6	Z-1: Packaging	4
G Ferrous materials and metallurgy	122	Z-3: Welding	12

4.2 Division of certification

JICQA decides which division of industrial and mineral products may be the object of certification to the applicant (hereinafter referred to as the “division of certification”), after coordination with the applicant based on the division of certification of JIS and on the standard numbers listed in Appendix Table.

Appendix Table is based on the concept of how to decide the division of certification, which is specified in the “Sectoral Guidance on Certification (Steel Products -- Part I)” and “General Guidance on Certification.”

4.3 Countries where JICQA provides certification services

JICQA provides certification services in Japan and the countries listed below:

U.S.A., Italy, India, Indonesia, Estonia, Australia, Austria, Netherlands, Canada, Greece, United Kingdom, Croatia, Singapore, Switzerland, Sweden, Spain, Slovakia, Thailand, South Korea, Taiwan, Czech Republic, Denmark, Germany, Turkey, New Zealand, Norway, Hungary, Philippines, Finland, Brazil, France, Vietnam, Belgium, Poland, Portugal, Malaysia, Myanmar, Latvia, Lithuania, Romania, Luxembourg

In the following cases, however, the acceptance of an application or the implementation of audit etc. may be rejected or suspended.

- (1) The applicant or licensee (client) fails to pay the certification and certification maintenance fees and expenses to JICQA by due date.
- (2) The factory or business establishment, or subcontract factory concerning certification, of the applicant or licensee (client) is located in a country or region on which overseas travel information (information related to danger and infectious diseases) is released by the Ministry of Foreign Affairs.
- (3) Other reasons that JICQA judged to be valid

5. Certification conditions

- (1) JICQA conducts assessment for certification in accordance with the Industrial Standardization Law, Ministerial Ordinance, “General Guidance on Certification,” “Sectoral Guidance on Certification (Iron and Steel Products -- Part I),” and the criteria of audit of quality control system described in this Guideline and confirms that the quality control system of the applicant conforms to the criteria of audit and the results of product test conform to the relevant JIS.
- (2) JICQA, when it has confirmed that the quality control system of the applicant meets all the relevant criteria and the results of product test conform to the relevant JIS, makes a decision on certification.
- (3) The licensee is not allowed to use the JIS mark on the industrial and mineral products unless it has concluded the currently valid “Certification Agreement concerning Licensing of Marking of JIS mark , etc.” (this is the agreement that stipulates the rights, obligations, etc. between JICQA and the licensee, and is hereinafter referred to as the “Certification Agreement”).

6. Application for certification

6.1 Provision of information necessary to make an application

JICQA provides the applicant/licensee with information about procedures for certification, requirements for certification, their rights and obligations, handling of objections, complaints and dissatisfaction, etc.

At this time, JICQA sends to the applicant/licensee the “Application Form for JIS Certification Audit” and “Questionnaire on JIS Mark Scheme,” necessary to make an application.

In addition, JICQA makes available to the certification auditors and applicant/ licensee the assessment and certification procedures and documents describing certification requirements.

6.2 Application procedure and acceptance of the application

- (1) When making an application for certification, the applicant is to submit the “Application Form for JIS Certification Audit,” “JIS Certification Questionnaire,” “Document Describing the Quality Control Implementation Condition,” and other documents which JICQA requests the applicant to submit in the application form (hereinafter, unless otherwise stated, collectively referred to as “application documents”). Among other things, the JIS on which to acquire certification and division of certification shall be clearly stated in the “Application Form for JIS Certification Audit.”

- (2) When an application in (1) is made by the applicant, JICQA decides, after coordination with the applicant, the division of certification to be assessed and certified, based on the division of JIS certification and standard number in Appendix. At this time, the division of certification may be any of the following:
 - 1) Type or grade specified by JIS
 - 2) Industrial or mineral products defined by the applicant (e.g., model defined by the applicant)
 - 3) A group of industrial and mineral products covered by two or more JIS standards
- (3) JICQA applies the provisions in (2) to lot certification as well.
- (4) The application form and other application documents shall be received by JIS Certification Dept of JICQA.
- (5) When the application documents in (1) are submitted by the applicant, the JIS Certification Dept is to
 - 1) formally check the description of the application form etc. submitted by the applicant,
 - 2) report flaws, if any, to the applicant in writing and request the applicant to modify the application form etc., and when the applicant requires more information, JICQA provides the information to the applicant.
 - 3) check that the applicant is an organization which is able to fulfill its social responsibility, and
 - 4) check if impartiality can be ensured.

JICQA is to, based on the application form etc. submitted, check the following to ensure impartiality:

 - [1] Check if the applicant is an organization having relations with JICQA
Check if the applicant is an organization having relations with JICQA, and if so, rejects the application for JIS certification.
 - [2] Check if the applicant has been offered any consulting service by an organization having relations with JICQA
Check if the applicant has been offered any consulting service for JIS certification in the past two years by an organization having relations with JICQA, and if so, rejects the application for JIS certification.
 - [3] Check if the applicant is offered any consulting service by an organization not having relations with JICQA
Check if the applicant has been offered any consulting service for JIS certification in the past two years by an organization not having relations with JICQA, and if so, urges the JIS Certification Dept. to pay attention when organizing a certification audit team.
- (6) The General Manager of the JIS Certification Dept is to decide whether to accept the application based on the result of (5). All applicants are to be treated fairly and all applications to be handled equally quickly.
- (7) The General Manager of the JIS Certification Dept is to, when accepting an application, notify the applicant of the acceptance of the application by sending a document clearly stating the following (master copy):
 - 1) Application form accepted by JICQA, including the date of acceptance
 - 2) Document including the name(s) of the certification auditor(s) (approved by the General Manager of the JIS Certification Dept.)
- (8) The General Manager of the JIS Certification Dept is to, when deciding not to accept the application, immediately notify the rejection of the application and return the application form etc. submitted by the applicant.

- (9) The General Manager of the JIS Certification Dept., if necessary, conducts a preliminary survey to obtain information necessary to complete the certification process.

A preliminary survey is, in principle, to be conducted by obtaining the necessary documents from the applicant.

However, when there is a need to conduct a preliminary survey by visiting an applicant's site for the following reasons 1) to 3), the General Manager of the JIS Certification Dept. is to instruct the preliminary survey team to visit the applicant's site and conduct a preliminary survey.

- 1) When the application documents do not provide sufficient information
- 2) When two or more factories or business establishments are subject to certification
- 3) When a visit to an applicant's site is determined necessary by the certification audit team and approved by the assessed organization

The General Manager of the JIS Certification Dept. is, before the acceptance of the application by the General Manager of the Project Control Dept., to provide the information obtained from the assessed organization through a preliminary survey (where necessary) to the General Manager of the Project Control Dept. and ensure confidentiality.

A preliminary survey is neither implemented nor included in audit.

6.3 Payment of certification fees

- (1) The fees for certification are as shown in the certification fee schedule specified by JICQA.
- (2) Payment of the application fee is, in accordance with the invoice issued by JICQA, to be made by the applicant immediately after the application is accepted by JICQA. Payment of the factory audit fee, product testing fee, and other fees are to be made upon the certification.

7. Preparation for certification audit by JICQA

7.1 Organization of a certification audit team

The General Manager of the JIS Certification Dept. is to, based on the results of 6.2 (5) and 6.2 (6), organize an audit team having adequate impartiality and competence by

- (1) checking if the audit team is able to ensure impartiality,
- (2) checking if the audit team has adequate competence for providing services on certification of conformity of the products to JIS based on the Industrial Standardization Law, by using "the list of competence requirements for the division" corresponding to each of the products listed in the application form, and then
- (3) preparing a rough plan for carrying out audit.

7.2 Operational instructions

The General Manager of the JIS Certification Dept. is to issue an "Operational Instruction" to the audit team to give instructions. With the "Operational Instruction," the audit team is instructed to investigate the industrial and mineral products which the applicant has requested JICQA to certify, in terms of the relevant JIS numbers, the division of certification, the numbers or quantity if lot certification is requested, the name and location of the factory or business establishment concerning certification, etc., and report if the quality control system etc. for these industrial and mineral products conform to JIS, which is based on the Industrial Standardization Law.

A copy of the "Operational Instruction" is also sent to the applicant.

8. Initial factory audit and initial product testing

8.1 Overview

8.1.1 General certification

JICQA, based on the division of certification for the industrial and mineral products for which the application has been made, determines a plan for conducting an initial factory audit and initial product test after coordination with the applicant. At this time, JICQA is to, before deciding whether to grant certification, investigate the production records for certification for at least 6 months (if certification is canceled in accordance with 19 and re-audit is performed, at least 1 year after the re-establishment of the quality control system) to check that the quality of the industrial and mineral products is stable.

JICQA is to, after conducting an initial factory audit and initial product test on the industrial and mineral products, notify the applicant of the result thereof.

JICQA, in order to conduct an initial factory audit and initial product testing, makes the necessary communication and coordination with the quality control manager of the applicant.

8.1.2 Lot certification

Initial product test is conducted for each lot of the relevant products etc.

If it is possible to conduct initial product test with all pieces of the relevant lots, JICQA may omit an initial factory audit and determine whether to grant certification by conducting initial product test only.

If it is not possible to conduct initial product test with all pieces of the relevant lots, JICQA is to conduct an initial factory audit. A document review is then conducted based on the “Document describing the Quality Control Implementation Condition,” submitted by the applicant, while on-site investigation is conducted when necessary.

In principle, certification maintenance surveillance is not conducted.

8.2 Initial factory audit

8.2.1 Concept of initial factory audit

JICQA is to conduct a document investigation on the “Document describing the Quality Management Implementation Condition,” submitted by the applicant, and at the same time, conduct on-site investigation with all the factories or business establishments concerning certification to assess if the quality control system of the factories or business establishments of the applicant meets the criteria of audit of quality control system stipulated by JICQA.

The applicant may select whether the audit is based on the “Criteria of audit of quality control system (A)” (when the results of the certification/registration of the quality management system are not used) or “Criteria of audit of quality control system (B)” (when the results of the certification/registration of the quality management system are used), both of which are stipulated by JICQA.

JICQA is to describe information necessary to explain to the applicant that the quality control system of the factories or business establishments has met the criteria (A) or (B), in the Document describing the Quality Control Implementation Condition, and request the applicant to make relevant internal standards, control records, and testing and inspection records of the raw materials and industrial and mineral products and other necessary information available to JICQA when an initial factory audit is conducted.

8.2.2 Use of the results of the certification/registration of the quality management system

When the applicant has made an application based on the “Criteria of audit of quality control system (B)” and attached copies of the certificate of conformity and audit report issued by a certification body accredited by an accreditation body which has signed the MLA (Multi-lateral Recognition Arrangement) of IAF (International Accreditation Forum) to the application form, to request JICQA to use the results of the audit

of the quality management system, JICQA may use the results of the audit of the quality management system to assess the corresponding part of the “Document describing the Quality Control Implementation Condition” when conducting an initial factory audit.

8.2.3 Details of audit

- An initial factory audit is conducted in two stages: stage I (document investigation) and stage II (on-site investigation).
- Findings from the initial factory audit is to be summarized in accordance with Annex B “Criteria of audit of quality control system” of the “General Guidance on Certificate” and the “Sectoral Guidance on Certification (Steel Products -- Part I)” and reported to the applicant.
- The stage I audit and stage II audit are to be conducted in a row if the applicant is a small organization and it is possible to do so.
- The initial factory audit (stage I) may, if determined appropriate by the General Manager of the JIS Certification Dept., be conducted by conducting a document investigation at a JICQA office.

(1) Initial factory audit (stage I)

The procedure below is to be followed if a document investigation is conducted on site.

- 1) The audit team, before starting the audit, holds a pre-audit meeting with the representative and quality control manager of the applicant, the managers of the relevant divisions of the factories and business establishments concerning certification, and other participants for the audit. The audit team leader is to preside over this pre-audit meeting.
- 2) The audit is to be conducted after the pre-audit meeting. The audit consists of the following:
 - [1] Conducting an interview with the representative of applicant to receive explanation of the establishment and implementation of the control system for the manufacturing of the industrial and mineral products or processing technologies thereof
 - [2] Reviewing the “Document describing the Quality Control Implementation Condition” The criteria for this audit shall be as follows:
 - a) The requirements of the standards are to be satisfied.
 - b) The “Document describing the Quality Control Implementation Condition” is to be consistent with the scope of application (organization, manufacturing processes, equipment, products, etc.).
 - [3] Assessing, by using records and other documents, whether or not the requirements specified in the relevant JIS have been reflected in quality development
- 3) After the audit is finished, the audit team leader holds a post-audit meeting with the representative and quality control manager of the applicant, and the managers of the divisions of the factories and establishments concerning certification, and conducts the following by referring to the “Pre-Audit Meeting/Post-Audit Meeting Checklist.”
 - [1] Reporting the conclusion of the initial factory audit (stage I) as the audit team
 - The audit results are to be submitted as the “List of Matters of Concern in JIS Document Investigation” to request the applicant to correct them before the initial factory audit (stage II).
 - The initial factory audit (stage II) is to be conducted. (If it is determined that it is not possible to start stage II, coordination is to be made with the assessed organization.)
 - [2] Confirming the schedule of the initial factory audit (stage II)
 - [3] Question and answer session

(2) Initial factory audit (stage II)

- 1) The audit team, before starting the audit, is to hold a pre-audit meeting with the representative and quality control manager of the applicant, and the managers of the relevant divisions.
- 2) The audit team is to conduct audit with the representative of the applicant on “Establishment and internal standardization of management policy, and quality control.” (In this audit, the representative is allowed to ask for support from the quality control manager or top management.)
- 3) The audit team is to conduct the audit in accordance with the “JIS Conformity Assessment Plan” by
 - conducting an interview with relevant people in the departments subject to certification for the applicable standards, document investigation, and on-site investigation, and checking records (including quality records for at least 3 months), and
 - confirming in the document investigation that the production of the JIS products is implemented properly, based on the results of document investigation of the “Document Describing the Quality Control Implementation Condition”, before conducting a document investigation on documents other than the “Document describing the Quality Control Implementation Condition,” which has been assessed in the initial factory audit (stage I) to assess the adequacy of documentation.
- 4) Daily audit team meeting: The auditors are, before finishing the audit, to summarize the findings in the “List of matters pointed out by JIS etc.” and hold a daily audit team meeting to organize the findings and consolidate opinions within the team.
- 5) Daily meeting with the assessed organization: After the daily audit team meeting, a joint meeting is to be conducted with the managers and relevant people of the assessed organization involved in the on-site investigation, to communicate and confirm the findings based on the “List of matters pointed out by JIS etc.,” of each auditor, so that no questions arise later from both parties.
- 6) Post-audit meeting: The audit team is to, at the end of the initial factory audit (stage II), hold a post-audit meeting with the representative and/or quality control manager of the applicant, and managers of the assessed divisions and departments and conduct the following by referring to the “Pre-Audit Meeting/Post-Audit Meeting Checklist.”
 - [1] Communicating the comprehensive conclusion of the initial factory audit (stage II) as the audit team
 - [2] Putting the type of each finding (“Finding A,” “Finding B,” and “Finding that requires improvement”) in the “Type” field in the list of findings presented at the daily meetings, classifying findings that require corrective actions as nonconformities (“Finding A” and “Finding B”) and findings that require improvement, and explaining the differences between them
 - [3] Explaining findings that require improvement, if any, and requesting the applicant to take the necessary action and adjusting the schedule
- 7) The audit team is to, after the post-audit meeting, conduct the following with the quality control manager of the applicant (and other relevant people):
 - [1] Summarize the “JIS Post-Audit Meeting Minutes & Interim Report” as an interim report for the audit and requesting the quality control manager to sign it
 - [2] Identify findings that require improvement, request the applicant to take necessary actions, and inform the applicant that the conclusion of the audit team, or opinions as a certification body, will be sent as an evaluation report
- 8) Final evaluation report: The final evaluation report is to be as per the “Procedure for preparing an evaluation report” stipulated by JICQA.

8.3 Initial product test

8.3.1 Sampling

The industrial and mineral products used for initial product test (hereinafter referred to as “samples”) are to be sampled by the auditors of JICQA. This sampling is to be conducted by the random sampling method. The sampling number or quantity is to be sufficient to carry out all product tests specified by the JIS of the industrial and mineral products and processing technologies thereof subject to certification.

The samples represent the manufacturing and processing processes of the industrial and mineral products subject to certification and are therefore to be manufactured/processed using the specified materials, manufacturing/processing facility/equipment, and methods.

JICQA may, if determined appropriate, conduct initial product test by selecting trial products for the samples. In this case, all or some product tests is to be conducted with samples taken from the industrial and mineral products manufactured or processed immediately after the start of manufacture or processing of the industrial and mineral products subject to certification.

JICQA may conduct sampling before the on-site investigation of the initial factory audit. However, if any alteration is made to the quality control system after samples are taken and the alteration is likely to affect the assessment of conformity of the industrial and mineral products to JIS, the results of the product tests with these samples shall not be adopted for the relevant assessment.

8.3.2 Implementation of the test for JIS Q 17025, use of laboratories, etc.

JICQA, with the applicant’s understanding, conducts initial product test at its subcontracted testing laboratory where JICQA normally conducts JIS product test (hereinafter referred to as “JICQA JIS product testing laboratory”).

However, JICQA is to, if determined appropriate, conduct initial product test by conducting witness testing with JICQA [a] or/and using test data obtained at a test site other than JICQA product testing laboratories (hereinafter, “laboratories,” “test sites,” and “testing institutions” are collectively referred to as “laboratories etc.”) [b and c].

<Witness testing with JICQA>

- a) The testing is conducted at an applicant’s test site by personnel of the applicant in the presence of JICQA auditors.

<Utilization of test data by JICQA>

- b) The validity of test data obtained by a third-party testing institution is confirmed and utilized (after approval by the applicant).
- c) Utilization of test data obtained by personnel of the applicant at an applicant’s test site

When witness testing is conducted with JICQA [a], JICQA is to confirm that the testing facility/equipment and the personnel, etc. meet the requirements of JIS Q 17025 (hereinafter referred to as “17025 investigation”).

When the test data obtained at a JICQA product testing laboratory or other laboratories are utilized [b and c], JICQA is to conduct 17025 investigation and test data confirmation in accordance with 8.3.3 (in accordance with the confirmation procedure specified by JICQA).

In this case, if the laboratory has been certified based on JIS Q 17025 with regard to the JIS product test items subject to 17025 investigation, 17025 investigation may be omitted on the JIS product test items covered by the certification.

However, at the utilization of the test data obtained at a JICQA product testing laboratory or other laboratories [b and c] and at the confirmation of validity thereof, the test data on the individual test item are to be checked up on in accordance with 8.3.3.

For stainless steel products, wire products, and other steel products not listed in Appendix Table 1 of “Sectoral Guidance on Certification (Steel Products -- Part I),” initial product test is to be conducted in accordance with 6.3.2 of the “Sectoral Guidance on Certification (Steel Products -- Part I).”

8.3.3 Details of initial product test

- (1) Conformity assessment plan: JICQA combines the initial factory audit implementation plan and initial product testing plan to prepare an JIS initial conformity assessment plan.
- (2) Pre-audit meeting: The audit team, before starting the audit, holds a pre-audit meeting with the representative and quality control manager of the applicant, and the managers of the relevant divisions (in accordance with 5.1 of “Initial Conformity Assessment Procedure (Initial Factory Audit)”).
- (3) 17025 investigation: 17025 investigation is to be conducted in accordance with 8.3.2 and consists of document investigation (Document describing the Quality Control Implementation Condition, ISO assessment reports, certificate of certification/registration, and quality manual) and of on-site 17025 Investigation (confirmation of relevant internal standards and testing facility/equipment control records and witness of testing etc.).
- (4) Implementation of product test
 - 1) The types of product test are as follows:
 - n) When product test is conducted at a JICQA product testing laboratory
... Samples are sent to the JICQA product testing laboratory and product testing is conducted in the presence of auditors.
 - a) When product test is conducted at an applicant’s test site by personnel of the applicant in the presence of JICQA auditors
... Samples are tested at the applicant’s test site by personnel of the applicant in the presence of JICQA auditors.
 - b) When the validity of test data obtained by a third-party testing institution is confirmed and utilized...
Samples are sent to the third-party testing institution and the test data are obtained and checked up on.
 - c) When the test data obtained at an applicant’s test site by personnel of the applicant are utilized
... Samples are tested at an applicant’s test site by personnel of the applicant and the validity of the test data is checked up on.
 - 2) “Witness testing” and “product test” in 1) includes all processes including testing preparation, implementation, and test reports.
 - 3) If the test results conform to the values specified in the applicable standards in 2), a witness auditor fills in “PASS” on the test report and signs it.
- (5) The audit team, at the meeting held after 17025 investigation, explains the findings and clarifies the requirements of the standards.
- (6) Daily meeting: As per 4) of 8.2.3 (2)
- (7) Daily meeting with the assessed organization: As per 5) of 8.2.3 (2)
- (8) Meeting after 17025 investigation: As per 6) of 8.2.3 (2)
- (9) Final evaluation report: The audit team is to prepare a final evaluation report immediately after the audit is finished.

9. Evaluation

JICQA, when it confirms that the results of the initial factory audit and initial product testing meet all of the following, is to grant certification.

- 1) Relevant JIS standards
- 2) General Guidance on Certification
- 3) Sectoral Guidance on Certification (Steel Products -- Part I) (If the relevant JIS standards are included in the JIS standards covered by this Guidance)
- 4) Requirements of the Criteria of Certification stipulated by JICQA

Findings from the initial factory audit and initial product test are to be evaluated and classified into nonconformities that require corrective actions and nonconformities that require improvement.

JICQA grants certification when it confirms that the applicant has taken the necessary corrective actions for the nonconformities within the period specified by JICQA but does not grant certification when the applicant fails to demonstrate that these nonconformities are corrected.

10. Decision of certification

JICQA, when it judges that the industrial and mineral products for which an application for certification was made meets all the requirements necessary for certification based on the results of evaluation in 9, conducts certification concerning the conformity of the industrial and mineral products to the relevant JIS.

In this case, the certification conditions are to be as specified in 5.

11. Announcement of certification

JICQA, after the certification, makes the following matters public without delay:

- Matters specified in 13 (1) 1) and 2)
- Marking specified in 16 and supplementary information therefor, and their marking method

The term of announcement is to continue until the date of termination of the Certification Agreement stipulated in 12.

For lot certification, however, the term of announcement is to continue for one year since the date that the certification becomes effective.

The announcement above is to be conducted by allowing public access to the information at the JICQA certification office during its operating hours and by making the information available on the Internet.

12. Certification Agreement

12.1 Conclusion of Certification Agreement

JICQA, when it decides to grant certification based on 10, concludes a Certification Agreement with the applicant. The Certification Agreement is to continue in effect during the period when the applicant is under certification by JICQA.

12.2 Content of Certification Agreement

The content of the Certification Agreement is as follows:

- (1) The Certification Agreement is the agreement for the certification based on any of Article 19-1, 19-2, Article 20-1, or Article 23-1 to-3 of the Industrial Standardization Law
- (2) Validity period of Certification Agreement (only if specified)
- (3) Marking and supplementary information therefor, and their marking methods in 16
- (4) Following conditions that are to be satisfied for using the marking in 16:

- 1) When the licensee (client) demonstrates by advertising or other means that it has been granted certification by JICQA, the certified industrial and mineral products is to be clearly identified from those not certified.
- 2) To confirm that the licensee (client) carries out operations relating to the certified industrial and mineral products etc. or processing technologies thereof properly, JICQA is to be allowed to request the licensee (client) to make reporting and enter the factories, business establishments, and other premises of the licensee (client) to conduct an audit of the certified industrial and mineral products and their materials and quality control system.
- 3) Frequency, expenses, and other conditions for the audit in 2)
- (5) Matters relating to the method for identifying factories or business establishments if two or more factories or business establishments are concerning certification
- (6) Matters relating to action to be taken if any change/alteration is made to the specifications of the certified industrial and mineral products or the quality control system by the licensee (client)
- (7) Matters relating to action to be taken if the licensee (client) receives complaints on the certified industrial and mineral products or processing technologies thereof from a third party
- (8) Matters relating to confidentiality of JICQA and the licensee (client)
- (9) Matters relating to objections made by the licensee (client) against action taken by JICQA
- (10) Matters relating to action to be taken based on 18, including cancellation of certification and termination of Certification Agreement

13. Issuance of JIS Product Certificate (hereinafter referred to as the “certificate”):

- (1) JICQA is to, when it concludes a Certification Agreement with the applicant as specified in 12, issue a certificate that includes the following:
 - 1) Date of conclusion of Certification Agreement (mm/dd/yyyy)
 - 2) Name or designation and address of the licensee (client)
 - 3) JIS number, and relevant type or grade if specified by applicable JIS
 - 4) Name of industrial or mineral products or processing technology thereof
 - 5) Division of certification
 - 6) Names and addresses of all factories or business establishments concerning certification (except for the case of lot certification and when initial product testing is conducted for all pieces)
 - 7) Number or quantity per lot and identification number or symbol for lot certification
 - 8) Basis provision of the Industrial Standardization Law for certification

The ownership of the certificate is to belong to JICQA.

- (2) Assignment of a certification number
The certification number is to be as follows:

1) For general certification

QA	01	05	001
↑	↑	↑	↑
[1]	[2]	[3]	[4]

2) For lot certification

QA	LT	01	05	001
↑	↑	↑	↑	↑
[1]	[5]	[2]	[3]	[4]

[1]: Identifies an accredited certification body (JICQA)
 [2]: The code of the Bureau of Economy, Trade and Industry governing the location of the licensee (01: Hokkaido Office - 09: Okinawa Office) or country code of the licensee if located overseas (2-digit code in JIS X 0304)
 [3]: Last two digits of the fiscal year of certification
 [4]: Series number of the relevant fiscal year by locations

[1] to [4]: Same as in 1)
 [5]: Identification for lot certification

14. Addition and alteration/change of divisions of certification

14.1 Addition of divisions of certification

JICQA is to, when the licensee (client) makes an application for adding a division of certification, determine whether to grant certification without delay in accordance with 6 to 10 and notify the licensee (client) of the result.

JICQA is to, when it has decided to grant certification, conclude or modify the Certification Agreement in accordance with 12 and issue a certificate in accordance with 13, or modify the certificate issued before the modification of the agreement or issue a new certificate.

14.2 Alteration/Change of divisions of certification

14.2.1 When altering/changing or adding factories or business establishments specified for a division of certification

JICQA is to, when the licensee (client) makes an application for altering/changing or adding factories or business establishments for the current division of certification, decide whether to grant certification without delay in accordance with 6 to 10 (limited to the relevant factories or business establishments) and notify the licensee (client) of the result. JICQA is to, when it has decided to grant certification, conclude or modify the Certification Agreement in accordance with 12 and modify the certificate or issue a new certificate in accordance with 13.

14.2.2 When altering/changing or adding types or grades specified for a division of certification

JICQA is to, when the licensee (client) makes an application for altering/changing or adding types or grades specified by applicable JIS for the current division of certification, decide whether to grant certification without delay in accordance with 6 to 10 (limited to the relevant types or grades) and notify the licensee (client) of the result. At this time, all or part of the factory audit in 8.2 and product test in 8.3 is to be conducted for the relevant types or grades.

JICQA is to, when it has decided to grant certification, modify the Certification Agreement in accordance with 12 and modify and re-issue the certificate issued before the modification of the agreement in accordance with 13.

14.2.3 When altering/changing or adding industrial and mineral products specified for a division of certification

JICQA is to, when the licensee (client) makes an application for altering/changing or adding the industrial and mineral products specified for the current division of certification, decide whether to grant certification without delay in accordance with 6 to 10 (limited to the relevant industrial and mineral products) and notify the licensee (client) of the result.

JICQA is to, when it has decided to grant certification, modify the Certification Agreement in accordance with 12 and modify and re-issue the certificate issued before the modification of the agreement in accordance with 13. When the alteration/change is unlikely to affect conformity of the relevant industrial and mineral products or processing technologies thereof to the relevant JIS, JICQA may skip part of the factory audit in 8.2 and product test in 8.3.

15. Certification maintenance surveillance

15.1 Periodic certification maintenance surveillance

JICQA is to, based on the Certification Agreement, conduct certification maintenance surveillance. Certification maintenance surveillance consists of certification maintenance factory audit and certification maintenance product test.

Periodic certification maintenance surveillance is to, regardless of whether or not a temporary certification maintenance surveillance has been ever conducted, be conducted at least once every three years. The first periodic certification maintenance surveillance is to be conducted within three years of the date of conclusion of the Certification Agreement. The second and subsequent periodic certification maintenance surveillances are to be conducted within three years of the date of application for the previous periodic certification maintenance surveillance. However, in the case of the certification was cancelled and recertified, the periodic certification maintenance surveillance is to be conducted at least once every year from the date of recertification for the period of three years.

JICQA is to, when it has conducted certification maintenance surveillance and decided whether to continue certification, notify the licensee (client) of the result.

15.1.1 Periodic Certification maintenance factory audit

JICQA is to, conduct a periodic certification maintenance factory audit in accordance with 8.2.1 to confirm the conformity of the quality control system of the licensee (client) to the criteria of audit of quality control system described in the Annex of this Guideline. However, when JICQA judges that it is not necessary to do so (e.g., the product quality is stable for a long time, no complaints have been received from the users), part of the factory audit may be omitted.

At a periodic certification maintenance factory audit, JICQA may, when judged appropriate, utilize other conformity assessment results (e.g., results of surveillance, etc. under the JIS Q 9001 certification/registration system by a certification body accredited by an accreditation body which has signed the MLA of IAF).

15.1.2 Periodic Certification maintenance product test

JICQA is to, conduct certification maintenance product test in accordance with 8.3 and confirm that the results of the product test conform to JIS. However, when JICQA judges that it is not necessary to do so (e.g., the product quality has been stable for a long time), part of the initial product test may be omitted.

In a periodic certification maintenance surveillance, JICQA may, when judged appropriate, determine that it is not necessary to conduct certification maintenance product test by repeating all elements of the initial product test.

15.2 Temporary certification maintenance surveillance

In the following cases, JICQA is to, conduct temporary certification maintenance surveillance:

- (1) When the licensee (client) alters/changes or adds the specifications of the certified industrial and mineral products, or alters/changes the quality control system, the factory audit stipulated in 15.1.1 and the product test stipulated in 15.1.2 is to be conducted before the alteration/change or addition is made. When the alteration/change is unlikely to affect conformity of the relevant industrial and mineral products to JIS, JICQA may omit all or part of the on-site investigation and product test.
- (2) When a revision to JIS is likely to affect conformity of the industrial and mineral products to JIS, or necessitates the licensee to alter/change the quality control system, all or part of the factory audit stipulated in 15.1.1 and product test stipulated in 15.1.2 is to be conducted within one year of the revision.
- (3) When the licensee (client) necessitates alteration/change of the quality control system, or changes the representative, owner, or organizational structure, all or part of the factory audit stipulated in 15.1.1 and product test stipulated in 15.1.2 is to be conducted before the alteration/change.
- (4) When JICQA receives a statement from a third party that the certified industrial and mineral products do not conform to JIS or the quality control system of the licensee (client) does not conform to the criteria of audit of quality control system described in Annex of this Guideline, and the validity of the statement is highly probable, all or part of the factory audit stipulated in 15.1.1 and product test stipulated in 15.1.2 is to be conducted promptly after the fact is grasped.
- (5) When alteration/change is made to the requirements in the criteria of certification stipulated by JICQA, all or part of the factory audit stipulated in 15.1.1 and product testing stipulated in 15.1.2 is to be conducted in order to confirm if the necessary action has been taken by the licensee (client).
- (6) In addition to (1) to (5), when JICQA recognizes the fact that the certified industrial and mineral products do not conform to JIS or the quality control system of the licensee (client) does not or is unlikely to conform to the criteria of audit of quality control system described in the Annex of this Guideline, all or part of the factory audit stipulated in 15.1.1 and product testing stipulated in 15.1.2 is to be conducted promptly after the fact is confirmed.

15.3 Evaluation of results of temporary certification maintenance surveillance

When the results of temporary certification maintenance surveillance meet the certification conditions stipulated in 5, the certification is to continue in effect. When any of the certification conditions are not met, the certification is to be canceled. In this case, the certification is to be conducted in accordance with 19.

16. Marking of JIS mark etc.

JICQA is to manage the marking of JIS mark etc. so that it is appropriately used by the licensee (client) in accordance with the Certification Agreement.

JICQA stipulates in the Certification Agreement (including individual agreements separately specified in the Certification Agreement) that the licensee (client) is to ensure the marking of JIS mark etc. conforms to the following:

16.1 Marking of JIS mark

The JIS mark shall be marked in one color and have a diameter of 3 mm, in general, or more.

16.2 Items to be marked near the JIS mark

(1) Number of applicable JIS

The number of applicable JIS may be omitted when it can be identifiable from the shape of industrial and mineral products (excluding processing technologies) or other items marked on their packages, containers, package or invoices.

(2) Type or grade of applicable JIS Standard (limited to the case where the marking of the type or grade is stipulated in the relevant JIS)

(3) Abbreviation of JIC Quality Assurance Ltd.

“JICQA,” except for the case where JICQA judges it appropriate to use the certification number (marking based on 13 (2) and 16.3 (1)) instead of its abbreviation. The font is to be Century or another regular font with which “JICQA” is easily legible.

16.3 Marking of supplementary information

JICQA stipulates in the Certification Agreement that the following items are to be marked on the industrial and mineral products etc. or their packages, containers, or invoices. (1) and (3) are, however, to be marked near the items in 16.2.

(1) Certification number

(2) Marking matter specified in applicable JIS

(3) Name or designation of the licensee, or its abbreviated designation (abbreviated designation, symbol, certification number, or registered trademark)

(4) Identification marking when two or more factories or business establishments are concerning certification

(5) For lot certification, identification number or symbol

(6) Other items needed by JICQA

16.4 Method of marking

JICQA stipulates in the Certification Agreement that the following (1) and (2) are to be observed when the licensee performs the marking of 16.1, 16.2, and 16.3.

(1) Marking is to be done on the certified industrial and mineral products, or their packages, containers, or invoices.

(2) Marking is to be done in an indelible manner by printing, stamping, engraving, tagging, or other appropriate means.

17. Confidentiality for certification

JICQA is to take the necessary action to ensure that its directors and personnel, those who have concluded contracts concerning certification, and those who have been in charge of those works comply with the following with regard to the applicant and Licensee.

- (1) All information about the applicant and licensee, industrial and mineral products subject to certification and manufacturing and processing thereof is to be used for certification only and not disclosed to a third party without written permission from the client or any reasonable reason based on the relevant laws, except information which is publicly known at the time of conclusion of the Certification Agreement, becomes publicly known without the intention or negligence of JICQA at the time of conclusion of the Certification Agreement, or is legally obtained by JICQA from a third party.
- (2) In case of (1), JICQA is to, if required to disclose information based on the relevant laws and regulations, notify the applicant and Licensee of what information is to be disclosed in accordance with the relevant laws and regulations.

18. Action concerning illegal marking, etc.

18.1 Action in the case of misuse, etc. of JIS mark, etc.

JICQA is to, in any of the following cases, request the licensee (client) to take corrective and preventive actions: At this time, JICQA is to set the due date and may, if determined necessary, extend the set due date.

- (1) The quality control system of the licensee (client) does not conform to the criteria of audit of quality system described in Annex of this Guideline.
- (2) The marking of 16 or any marking confusable with this is used on industrial or mineral products or its package, container, or invoice other than those certified by JICQA.
- (3) The marking of 16 or any marking confusable with this is used for the advertisement of industrial or mineral products other than those certified by JICQA in a way that may cause the misunderstanding that the certification of the industrial or mineral product concerned has been granted.
- (4) There is a content in an advertisement related to the licensee (client) that may cause a third party to have a misunderstanding with regard to the certification by JICQA.

18.2 Action taken when certified industrial and mineral products do not conform to JIS

JICQA will, in the following cases (1) to (3), cancel the certification or promptly request the licensee (client) to suspend the use of the marking of 16 (including any marking confusable with this), and not to deliver the industrial and mineral products which the marking of 16 the licensee possesses (including any marking confusable with this) is attached to but do not conform to JIS.

- (1) The certified industrial and mineral products do not conform to JIS.
- (2) The quality control system of the licensee (client) does not conform to the criteria described in the Annex of this Guideline and the nonconformity is so critical that it may result in nonconformity of the certified industrial and mineral products to JIS.
- (3) The licensee (client) does not respond to the request of JICQA described in 18.1 appropriately or promptly.

18.3 Action concerning the suspension of use of JIS mark, etc.

JICQA will, when making the request of 18.2, notify the licensee (client) of the following (1) to (5) in writing:

- (1) Range of the factories or business establishments and industrial and mineral products of the licensee to which the request is made
- (2) The purport that the use of the marking of JIS mark, etc. (including any marking confusable with this) on the body, container, package, invoice or printed promotional materials (documents, leaflets, name cards and advertisements), or display through other visual communication media for the certified industrial and mineral products is to be suspended during the period from the date of the request until the date of withdraw thereof.
- (3) The purport that the delivery of the industrial and mineral products which the marking of 16 the licensee processes is attached to but do not conform to JIS is not allowed
- (4) Term of validity of the request
- (5) The purport that the licensee is to correct the cause of nonconformity of the certified industrial and mineral products to the relevant JIS or to take corrective action to ensure conformity of the quality control system to conform to the Criteria of Audit of Quality Control System in the Annex of this Guideline, and take the necessary preventive action, within the term of validity of the request.

JICQA will, when making this notification, assign as a contact person the audit team leader of the certification or a person who has adequate knowledge and understanding about all the aspects of the certification.

In order to ensure that the marking is not used that indicates that the certification of the certified industrial and mineral products continue in effect, JICQA will modify the content of the report made to the competent minister and the range of certification made public based on the Certification Agreement and modify and re-issue the certificate to the licensee.

JICQA may, if determined appropriate, extend the term of validity of request specified in (4).

JICQA will, when confirming that the action in (5) has been taken, promptly notify the licensee of the withdraw of the request of 18.2 in writing, and in order to ensure that the adequate marking is present that indicates that the certification of the certified industrial and mineral products continue in effect, modify the content of the report made to the competent minister and the range of certification made public based on the Certification Agreement and modify and re-issue the certificate to the licensee .

JICQA will, if the action in (5) is not taken within the term of validity in (4) (including the case where it is extended), cancel the certification.

18.4 Action taken when the licensee refuses certification maintenance surveillance

JICQA will, in any of the following (1) to (3), cancel all certifications of the licensee.

- (1) The licensee refuses, interferes with, or recuses itself from certification maintenance surveillance.
- (2) Within the term of validity of the request of 18.2 by JICQA, the licensee attaches the marking of 16 (including any marking confusable with this) to the certified industrial and mineral products, or their packages, containers, or invoices.
- (3) Within the term of validity of the request of 18.2 by JICQA, the licensee delivers any of the industrial and mineral products which the marking of 16 the licensee possesses (including any marking confusable with this) is attached to but do not conform to JIS.

19. Cancellation of certification

19.1 General

JICQA has the right to cancel the certification in any of the cases in 18 and the Certification Agreement.

19.2 Procedure for cancellation of certification

JICQA will, when it cancels certification, notify the licensee in writing of the date of cancellation and the purport that the licensee has the right to make an objection to JICQA.

JICQA will, when it receives an objection with regard to the cancellation of the certification from the licensee, decide whether to cancel the certification in consideration thereof.

JICQA will, when it cancels certification, immediately announce the following:

- (1) Date (mm/dd/yyyy) of cancellation of certification and certification number
- (2) Name or designation and address of the licensee of the canceled certification
- (3) Matters specified in (1) 3) and 4) and 6) to 8) of 13 concerning the canceled certification
- (4) Marking of 16 and supplementary information, and their marking methods
- (5) Reason for cancellation

This announcement is made during one year from the date of cancellation.

Furthermore, this announcement is made not only by making it public at all offices where JICQA conducts certification but also by making it available on the Internet.

19.3 Action taken with cancellation of certification

When canceling certification, JICQA will request the licensee to remove or delete the marking of JIS mark, etc. of 16 (including any marking confusable therewith) attached to the body of the relevant industrial and mineral products, container, package, invoice or printed promotional materials (documents, leaflets, name cards and advertisements) thereof, or displayed by other visual communication media. The licensee shall, at the request of JICQA, return the Certificate of Compliance to JICQA.

20. Termination of Certification Agreement

When the Certification Agreement terminates, JICQA will make the following public without delay:

- (1) Date of termination of Certification Agreement (mm/dd/yyyy)
- (2) Name or designation and address of the licensee of the terminated Certification Agreement
- (3) Matters described in (1) 3)-6) and 8) of 13
- (4) Marking of 16 and supplementary information, and their marking methods

This announcement is made during one year from the date of termination of the Certification Agreement.

Furthermore, this announcement is made not only by making it public at all offices where JICQA conducts certification but also by making it available on the Internet.

21. Action taken when alteration/change is made to JIS or criteria of certification stipulated by JICQA

21.1 Action taken when JIS is revised

When the JIS concerning the certification is revised, JICQA will promptly notify the licensee (client) of the relevant certification of that effect.

When the revision to JIS is likely to affect conformity of the industrial and mineral products of the licensee (client) to JIS or requires the licensee (client) to alter/change the quality control system, JICQA will notify the licensee (client) of that effect and conduct temporary certification maintenance surveillance in accordance with 15.2.

At this time, JICQA will take action necessary for the revision to JIS, taking the following (1) to (4) into consideration:

- (1) Urgency needed for conforming to the JIS requirements when the revision is related to health, safety, or environment matters
- (2) Time and cost needed for the alteration/change of manufacturing or processing facility and for the production of industrial and mineral products that conform to the requirements of the revised JIS
- (3) Avoidance of unintentional acquisition of commercial benefits occurring from specific manufacturing, processing or design
- (4) Matters with the operation of JICQA

21.2 Action taken when criteria of certification stipulated by JICQA is altered/changed

When JICQA alters/changes or revises its criteria of certification, JICQA will announce it on the web page for an adequate period of time.

Upon receipt of an inquiry about the announcement from a stakeholder, JICQA will respond to the inquiry in writing, e-mail or by another appropriate method.

In order to confirm that the licensee has taken the necessary action within the period of time determined reasonable by JICQA after the decision and announcement on the alternation/change of its criteria of certification, JICQA will conduct temporary certification maintenance surveillance with the licensee (client) in accordance with 15.2.

22. Obligation of notification to JIS by the licensee (client)

Besides the cases described in this Guideline, the licensee (client) is to, in the following cases (1) to (7), submit a prior notification to JICQA (two months or more prior to the relevant implementation date scheduled in principle). In the following cases (8) to (10), the licensee (client) is to notify JICQA of it without delay.

- (1) When changing the name or designation of the licensee (client), the owner or representative thereof, including a person having the representation right for certification, or the form of the company or corporation
- (2) When changing the designation or address of a certified factory or business establishment of the licensee (client)
- (3) When relocating, suspending, or abolishing all or part of a certified factory or business establishment of the licensee (client)
- (4) When altering/changing the quality control system of the licensee (client) (including the content of the “Document describing the Quality Control Implementation Condition” and the provisions of “Control Outline concerning Marking of JIS Mark and Supplementary Information” stipulated in the Supplemental Agreement of the Certification Agreement).
- (5) When altering/changing or adding the specifications of the certified industrial and mineral products of the licensee (client)

- (6) When going to implement the “changes to JIS certification” disclosed at the web page of JICQA (including the quality control system in (4))
- (7) When the licensee (client) is certified in accordance with “Criteria of audit (B)” of the Annex B in this Guideline and makes the following alterations/changes to the certification/registration of the management system:
 - 1) Alteration or change of the range of activities based on the registered Certification and Registration of Quality Management System
 - 2) Change of its status or a significant change to a process, in the registered Certification and Registration of Quality Management System
- (8) When the LICENSEE is subject to administrative action for its “Violation of other laws and regulations.”
- (9) When the LICENSEE is subject to corrective guidance of administrative authorities for its “Violation of other laws and regulations.”
- (10) When the LICENSEE is aware of its infringement of “Violation of other laws and regulations.”

23. Obligation of notification to the licensee (client) by JICQA

Besides the cases stipulated in the Certification Agreement, JICQA will report any of the following events to the licensee (client) at the timing described for each event:

- (1) When JICQA transfers all the business to a third party - by the date of transfer
- (2) When JICQA moves its office to another location - by the date of relocation
- (3) When JICQA discontinues or terminates all or some of the certification services - at least six months before the discontinuation or termination
- (4) When JICQA is ordered for revocation of accreditation for Article 38.1 of the Industrial Standardization Law or for suspension of all or some of the certification services - Immediately
- (5) When JICQA receives a notice of hearing as stipulated in Article 38.1 of the Industrial Standardization Law - immediately
- (6) When the JIS applicable to the certification conducted by JICQA are revised - immediately
- (7) When the criteria of audit of quality control system stipulated in Article 2 of Ministerial Ordinance applicable to the certification by JICQA or the criteria of audit of quality control system stipulated in Annex B of JIS Q 1001 are revised - immediately

24. Records of complaints etc.

The licensee (client) is to record all complaints in connection with its conformity with criteria of certification stipulated by the Nation, criteria of certification stipulated by JICQA, violation of other laws and regulations and rights and duties stipulated in the Certification Agreements, including actions taken or claims or requests made by JICQA, and is to make the records available to JICQA upon request therefrom.

Upon recording a complaint, the licensee (client) is to perform the following:

- (1) For the above-mentioned complaints and deficiencies found to affect the conformity with the requirements of the certification granted by JICQA, the cause of the complaint or defect is to be identified, and appropriate actions, including corrective and preventive ones, are to be taken.
- (2) The actions taken are to be documented.

Appendix Table Divisions of Certification (Divisions of Certification by JICQA and JIS Numbers)

(1): A Civil engineering and architecture (number of standards: 20)

Division of certification	Standard number	Standard title
A-1	A5011-1	Slag aggregate for concrete — Part 1: Blast furnace slag aggregate
A-1	A5011-2	Slag aggregate for concrete — Part 2: Ferronickel slag aggregate
A-1	A5011-3	Slag aggregate for concrete — Part 3: Copper slag aggregate
A-1	A5011-4	Slag aggregate for concrete — Part 4: Electric arc furnace oxidizing slag aggregate
A-9	A5505	Metal laths
A-4	A5209	Ceramic tiles
A-2	A5508	Nails
A-3	A5513	Gabions
G-1	A5523	Weldable hot rolled steel sheet piles
G-3	A5525	Steel pipe piles
G-1	A5526	Steel H piles
G-1	A5528	Hot rolled steel sheet piles
G-3	A5530	Steel pipe sheet piles
B-16	A5540	Turnbuckle for building
B-16	A5541	Body of turnbuckle for building
A-6	A5705	Polyvinyl chloride floorcoverings
A-7	A6008	Roofing sheets of synthetic polymer
R-1	A6902	Plastering lime
A-8	A6921	Wallpaper and wallcoverings for decorative finish
B-17	A8652	Metal panels for concrete form

(2) B Mechanical engineering (number of standards: 24)

Division of certification	Standard number	Standard title
B-1	B1176	Hexagon socket head cap screws
B-1	B1177	Hexagon socket set screws
B-2	B1180	Hexagon head bolts and hexagon head screws
B-3	B1181	Hexagon nuts and hexagon thin nuts
B-4	B1186	Sets of high strength hexagon bolt, hexagon nut and plain washers for friction grip joints
B-18	B1187	Hexagon head screws with captive washer

Division of certification	Standard number	Standard title
B-18	B1188	Cross recessed head screws with captive washer
B-19	B1189	Hexagon flange bolts
B-20	B1190	Hexagon nuts with flange
B-21	B1194	Hexagon socket countersunk head screws
B-5	B1198	Headed studs
B-22	B1200	Hexagon weld nuts with flange
B-23	B1220	Set of anchor bolt with rolled threads for structures
B-6	B1256	Plain washers
B-7	B2220	Steel pipe flanges
B-8	B2301	Screwed type malleable cast iron pipe fittings
B-9	B4703	Files
B-10	B4803	Bandsaw blades for woodworking
B-11	B6911	Process of normalizing and annealing of iron and steel
B-12	B6912	Process of induction hardening and tempering of iron and steel
B-13	B6913	Process of quenching and tempering of iron and steel
B-14	B6914	Process of carburizing and carbonitriding, quenching and tempering of iron and steel
B-15	B8811	Round slings for lifting purposes
B-15	B8818	Webbing slings for lifting purposes

(3) E Railway engineering (number of standards: 6)

Division of certification	Standard number	Standard title
E-1	E1101	Flat bottom railway rails and special rails for switches and crossings of non-treated steel
E-1	E1102	Fish plates for rails
E-1	E1103	Light rails
E-1	E1104	Fish plates for light rails
E-2	E1107	Steel bolts and nuts for fish-plates and fastenings
E-3	E1108	Rail spikes

(4) G Ferrous materials and metallurgy (number of standards:122)

Division of certification	Standard number	Standard title
G-6	G2301	Ferromanganese
G-6	G2304	Silicon-Manganese

Division of certification	Standard number	Standard title
G-1	G3101	Rolled steels for general structure
G-1	G3103	Carbon steel and molybdenum alloy steel plates for boilers and pressure vessels
G-1	G3105	Steel bars for chains
G-1	G3106	Rolled steels for welded structure
G-1	G3108	Rolled carbon steel for cold-finished steel bars
G-4	G3109	Steel bars for prestressed concrete
G-4	G3112	Steel bars for concrete reinforcement
G-1	G3113	Hot-rolled steel plate, sheet and strip for automobile structural uses
G-1	G3114	Hot-rolled atmospheric corrosion resisting steels for welded structure
G-4	G3117	Rerolled steel bars for concrete reinforcement
G-4	G3123	Cold finished carbon and alloy steel bars
G-1	G3125	Superior atmospheric corrosion resisting rolled steels
G-1	G3128	High yield strength steel plates for welded structure
G-1	G3129	High tensile strength steel for tower structural purposes
G-2	G3131	Hot-rolled mild steel plates, sheet and strip
G-1	G3132	Hot-rolled carbon steel strip for pipes and tubes
G-1	G3136	Rolled steels for building structure
G-4	G3137	Small diameter steel bars for prestressed concrete
G-1	G3138	Rolled steel bars for building structure
G-1	G3140	Higher yield strength steel plates for bridges
G-2	G3141	Cold-reduced carbon steel sheet and strip
G-2	G3302	Hot-dip zinc-coated steel sheet and strip
G-7	G3303	Tinplate and blackplate
G-2	G3311	Cold rolled special steel strip
G-2	G3312	Prepainted hot-dip zinc-coated steel sheet and strip
G-2	G3314	Hot-dip aluminium-coated steel sheet and strip
G-7	G3315	Chromium coated tin free steel
G-2	G3317	Hot-dip zinc-5% aluminium alloy-coated steel sheet and strip
G-2	G3318	Prepainted hot-dip zinc—5% aluminium alloy-coated steel sheet and strip
G-2	G3321	Hot-dip 55% aluminium-zinc alloy-coated steel sheet and strip
G-2	G3322	Prepainted hot-dip 55% aluminium—zinc alloy-coated steel sheet and strip
G-2	G3323	Hot-dip zinc-aluminium-magnesium alloy-coated steel sheet and strip
G-1	G3350	Light gauge steel sections for general structure

Division of certification	Standard number	Standard title
G-30	G3351	Expanded metals
G-31	G3353	Welded light gauge steel H sections for general structure
G-3	G3441	Alloy steel tubes for machine purposes
G-3	G3444	Carbon steel tubes for general structure
G-3	G3445	Carbon steel tubes for machine structure
G-3	G3446	Stainless steel pipes for machine and structural purposes
G-3	G3447	Stainless steel sanitary pipes
G-3	G3448	Light gauge stainless steel tubes for ordinary piping
G-3	G3452	Carbon steel pipes for ordinary piping
G-3	G3454	Carbon steel tubes for pressure service
G-3	G3455	Carbon steel pipes for high-pressure service
G-3	G3456	Carbon steel pipes for high-temperature service
G-3	G3457	Arc welded carbon steel pipes
G-3	G3458	Alloy steel pipes
G-3	G3459	Stainless steel pipes
G-3	G3460	Steel tubes for low-temperature service
G-3	G3461	Carbon steel boiler and heat exchanger tubes
G-3	G3462	Alloy steel tubes for boiler and heat exchanger
G-3	G3463	Stainless steel boiler and heat exchanger tubes
G-3	G3464	Steel heat exchanger tubes for low-temperature service
G-3	G3466	Carbon steel square and rectangular tubes for general structure
G-3	G3467	Steel tubes for fired heater
G-3	G3468	Large-diameter welded stainless steel pipes
G-3	G3472	Electric resistance welded carbon steel tubes for automobile
G-3	G3474	High-strength steel tubes for steel tower
G-3	G3475	Carbon steel tubes for building structure
G-3	G3477-1	Polyethylene coated steel pipes-Part1:External 3 layer extruded polyethylene coated steel pipes
G-3	G3477-2	Polyethylene coated steel pipes-Part1:External extruded polyethylene coated steel pipes
G-3	G3478	Carbon steel tubes for general machine structural purposes
G-3	G3479	Steel tubes for machine structural with specified hardenability bands
G-4	G3502	Piano wire rods
G-9	G3503	Wire rods for core wire of covered electrode

Division of certification	Standard number	Standard title
G-4	G3504	Wire rods for bridge cable
G-4	G3505	Low carbon steel wire rods
G-4	G3506	High carbon steel wire rods
G-4	G3507-1	Carbon steels for cold heading — Part 1: Wire rods
G-27	G3507-2	Carbon steels for cold heading — Part 2: Wires
G-13	G3521	Hard drawn steel wires
G-12	G3522	Piano wires
G-8	G3525	Wire ropes
G-14	G3532	Low carbon steel wires
G-14	G3533	Barbed wires
G-19	G3536	Steel wires and strands for prestressed concrete
G-20	G3537	Zinc-coated steel wire strands
G-19	G3538	Hard drawn steel wire for prestressed concrete
G-22	G3542	Precoated color zinc-coated steel wires
G-32	G3543	Steel wire coated with colored plastics
G-14	G3544	Hot-dip aluminium-coated steel wires
G-8	G3546	Wire ropes with profile wires
G-14	G3547	Zinc-coated low carbon steel wires
G-25	G3548	Zinc-coated steel wires
G-33	G3549	Wire ropes for structure
G-33	G3550	Stainless steel wire ropes for structure
G-23	G3551	Welded steel wire and bar fabrics
G-24	G3552	Chain link wire netting
G-24	G3553	Crimped wire cloth
G-24	G3554	Hexagonal wire netting
G-28	G3557	Stainless steel wire ropes for general purposes
G-14	G3558	Twisted low carbon square steel wires
G-23	G3559	Welded wiremesh using twisted low carbon square steel wires
G-1	G4051	Carbon steels for machine structural use
G-1	G4052	Structural steels with specified hardenability bands
G-1	G4053	Low-alloyed steels for machine structural use
G-15	G4303	Stainless steel bars
G-16	G4304	Hot-rolled stainless steel plate, sheet and strip

Division of certification	Standard number	Standard title
G-16	G4305	Cold-rolled stainless steel plate, sheet and strip
G-17	G4308	Stainless steel wire rods
G-18	G4309	Stainless steel wires
G-21	G4311	Heat-resisting steel bars and wire rods
G-21	G4312	Heat-resisting steel plate, sheet and strip
G-34	G4313	Cold rolled stainless steel strip for springs
G-18	G4314	Stainless steel wires for springs
G-18	G4315	Stainless steel wires for cold heading and cold forging
G-35	G4316	Stainless steel wire rods for welding
G-15	G4318	Cold finished stainless steel bars
G-36	G4321	Stainless steel for building structure
G-37	G4322	Stainless steel bars for concrete reinforcement
G-11	G4401	Carbon tool steels
G-11	G4403	High speed tool steels
G-11	G4404	Alloy tool steels
G-5	G4801	Spring steels
G-4	G4804	Free-cutting steels
G-11	G4805	High carbon chromium bearing steels
G-3	G4903	Seamless nickel-chromium-iron alloy pipes
G-3	G4904	Seamless nickel-chromium-iron alloy heat exchanger tubes
G-26	G5502	Spheroidal graphite iron castings
G-29	G5526	Ductile iron pipes

(5) H Nonferrous materials and metallurgy (number of standards:31)

Division of certification	Standard number	Standard title
H-10	H2103	Secondary aluminium ingots
H-11	H2118	Aluminium alloy ingots for die castings
H-16	H2123	Copper billets and cakes
H-5	H2202	Copper alloy ingots for castings
H-13	H2211	Aluminium alloy ingots for castings
H-1	H3100	Copper and copper alloy sheets, plates and strips
H-1	H3110	Phosphor bronze and nickel silver sheets, plates and strips
H-1	H3130	Copper beryllium alloy, copper titanium alloy, phosphor bronze, copper-nickel-tin alloy and nickel silver sheets, plates and strips for springs

Division of certification	Standard number	Standard title
H-1	H3140	Copper bus bars
H-1	H3250	Copper and copper alloy rods and bars
H-1	H3260	Copper and copper alloy wires
H-1	H3270	Copper beryllium alloy, phosphor bronze and nickel silver rods, bars and wires
H-1	H3300	Copper and copper alloy seamless pipes and tubes
H-1	H3320	Copper and copper alloy welded pipes and tubes
H-6	H3330	Plastic covered copper tubes
H-8	H3401	Pipe fittings of copper and copper alloys
H-1	H3510	Oxygen free copper sheets, plates, strips, seamless pipes and tubes, rods, bars and wires for electron devices
H-2	H4000	Aluminium and aluminium alloy sheets, strips and plates
H-7	H4040	Aluminium and aluminium alloy rods, bars and wires
H-7	H4080	Aluminium and aluminium alloys extruded tubes and cold-drawn tubes
H-7	H4100	Aluminium and aluminium alloy extruded shape
H-3	H4160	Aluminium and aluminium alloy foils
H-3	H4170	High purity aluminium foils
H-12	H4301	Lead sheets and plates and hard lead sheets and plates
H-12	H4303	DM lead sheets and plates
H-12	H4311	Lead and lead alloy tubes for common industries
H-15	H5302	Aluminium alloy die castings
H-9	H8601	Anodic oxide coatings on aluminium and aluminium alloys
H-14	H8602	Combined coatings of anodic oxide and organic coatings on aluminium and aluminium alloys
H-4	H8641	Hot dip galvanized coatings
H-4	H8643	Hot-dipZinc-aluminium alloy galvanized coatings

(6) R Ceramics (number of standards: 1)

Division of certification	Standard number	Standard title
R-1	R9001	Industrial lime

(7) Z Others (Number of standards: 16)

Division of certification	Standard number	Standard title
Z-1	Z1600	Open head steel drums
Z-1	Z1601	Tight head steel drums

Division of certification	Standard number	Standard title
Z-2	Z1602	18 liter metal cans
Z-3	Z1604	Plugs and flanges for steel drums
Z-4	Z3211	Covered electrodes for mild steel, high tensile strength steel and low temperature service steel
Z-4	Z3221	Stainless steel covered electrodes
Z-4	Z3223	Covered electrodes for molybdenum steel and chromium molybdenum steel
Z-5	Z3232	Aluminium and aluminium alloy welding rods and wires
Z-4	Z3251	Covered electrodes for hardfacing
Z-5	Z3312	Solid wires for MAG and MIG welding of mild steel, high strength steel and low temperature service steel
Z-6	Z3313	Flux cored wires for gas shielded and self-shielded metal arc welding of mild steel, high strength steel and low temperature service steel
Z-5	Z3321	Stainless steel rods, wires and strip electrodes for welding
Z-6	Z3323	Stainless steel flux cored wires and rods for arc welding
Z-7	Z3351	Solid wires for submerged arc welding of carbon steel and low alloy steel
Z-7	Z3352	Fluxes for submerged arc welding and electroslag welding
Z-8	Z3353	Electroslag welding wires and fluxes for mild steel and high strength steel

Annex Criteria of audit of quality control system

These criteria are to apply to the audit of the quality control system stipulated in 8.2, 15.1, and 15.2 of this Guideline. These criteria consist of criteria of audit (A) and (B) as follows:

Criteria of audit (A)

1. Manufacturing or processing is to be performed using the manufacturing facility or processing facility (for the industrial and mineral products or processing technologies thereof specified in the sectoral guidance on certification, including the manufacturing facility or processing facility specified in the sectoral guidance on certification) specified in JIS concerning the certification of JICQA.
2. Inspection is to be performed using the inspection facility (for the industrial and mineral products or processing technologies thereof specified in the sectoral guidance on certification, including the inspection facility specified in the sectoral guidance on certification) specified in JIS concerning the certification of JICQA.
3. Inspection is to be performed in accordance with the inspection method (for the industrial and mineral products or processing technologies thereof specified in the sectoral guidance on certification, including the inspection method specified in the sectoral guidance on certification) specified in JIS concerning the certification of JICQA.
4. Quality control is to be performed by the following method:
 - a. Preparation of company standard
 - (1) The company standard on the following matters is to be provided concretely and systematically in accordance with JIS related to JICQA (for the industrial and mineral products or processing technologies thereof specified in the sectoral guidance on certification, including the matter specified in the sectoral guidance on certification):
 - (i) Matters on the quality, inspection, and storage of the industrial and mineral products concerning the certification of JICQA
 - (ii) Matters on the quality, inspection, and storage of raw materials
 - (iii) Matters on the control items of each process and its control method, quality characteristics and its inspection method, and the service method
 - (iv) Matters on the control of the manufacturing facility or processing facility and inspection facility
 - (v) Matters on the subcontract management (the management concerning the order placement concerned in the case where a part of manufacturing or processing, inspection, or control of facility is outsourced. Those that follow are the same.)
 - (vi) Matters on complaint handling
 - (2) The company standard is to be appropriately reviewed and sufficiently made known to the employees.
 - b. Inspection and storage are to be appropriately performed in accordance with the company standard so that the industrial and mineral products concerning the certification of JICQA conform to JIS.
 - c. Inspection and storage with regard to raw materials are to be appropriately performed in accordance with the company standard.
 - d. Control of process
 - (1) Manufacturing or processing and inspection are to be appropriately performed in each process in accordance with the company standard, and these processes are to be appropriately controlled by

- the required methods such as a working record, inspection record, and control chart.
- (2) The treatment of defective or rejected lots generated in the process, the action for abnormalities generated in the process and the preventive action are to be appropriately taken.
 - (3) The working condition and environment are to be appropriately maintained.
- e. For the manufacturing facility or processing facility and the inspection facility, check, inspection, calibration, maintenance, etc. are to be appropriately performed, and accuracy and performance of these facilities are to be properly maintained.
 - f. The subcontract management is to be appropriately performed in the accordance with the company standard.
 - g. The complaint handling is to be appropriately performed in accordance with the company standard, and the improvement of matters leading to complaints are to be made.
 - h. Records on the control of the industrial and mineral products etc., control of raw materials, control of process, control of facility, subcontract management, complaint handling, etc. concerning the certification of JICQA are to be preserved for a required period of time and utilized effectively for promotion of quality control.
5. In addition to the matters in clause 1 to clause 4, the following technological production conditions necessary for maintaining the quality are to be satisfied.
 - a. The systematic management of company standardization and quality control are to be performed in accordance with the following (1) to (3).
 - (1) The promotion of company standardization and quality control are to be established as the management Guideline of the manufacturer, importer, dealer, processor of industrial and mineral products, etc., or the manufacturer, exporter or processor who has a business overseas (hereinafter referred to as “manufacturer etc.”), and the promotion of company standardization and quality control are to be carried out according to the plan.
 - (2) In order to perform the company standardization and quality control properly by the manufacturer etc., responsibility and authority of each organization are to be defined clearly and the organic cooperation between organizations centering on the quality control manager in b. is be provided, and at the same time, problems on promotion of company standardization and quality control are to be grasped and the appropriate action to solve them is to be taken.
 - (3) The education and training required for promoting the company standardization and quality control by the manufacturer etc. are to be provided according to the plan for the employees, and when part of a process is outsourced, the technical guidance concerning the promotion of company standardization and quality are to be appropriately given to the manufacturer to which it is outsourced.
 - b. The quality control manager is to be assigned in accordance with the following (1) and (2).
 - (1) The manufacturer etc. is to assign a quality control manager who has authority independent of the manufacturing department or the processing department of the industrial and mineral products etc. concerning the certification of JICQA, and he or she is to perform the following duties.
 Herein, the manufacturing department or the processing department refers to the department which manufactures or processes the industrial and mineral products concerning the certification, and does not include the testing department, inspection department, quality assurance department, or quality control department. Furthermore, as long as the conditions of authority and capacity independent of the manufacturing department or the processing department are satisfied, the quality control manager concerned may belong to the manufacturing department or the processing

department.

- (i) Planning and promotion with regard to the company standardization and quality control
 - (ii) Supervision of the establishment, revision, withdrawal, and control of the company standard
 - (iii) Audit of the quality level of the industrial and mineral products etc. concerning the certification of JICQA
 - (iv) Guidance and advice, and coordination among departments with regard to the implementation of company standardization and quality control in each process
 - (v) Treatment with regard to abnormalities, complaints, etc. generated in the process, and guidance and advice for the measures taken
 - (vi) Promotion of education and training on the company standardization and quality control for the employees
 - (vii) Guidance and advice on the subcontract management
 - (viii) Approval of conformity with the Japan Industrial Standard of the industrial and mineral products etc. concerning the certification of JICQA
 - (ix) Approval of shipment of the industrial and mineral products etc. concerning the certification of JICQA
- (2) The quality control manager is to be a person who has knowledge on technology required for manufacturing and processing of the industrial and mineral products etc. concerning the certification of JICQA and the business experiences concerning this, and is to be a person who is recognized to be with expertise 1) in standardization and quality control by studying and graduating from a course on science, medicine, pharmacy, engineering, agriculture, or the subject on quality control in the course equivalent to these at a university, junior college, or technical college concerning industry, in accordance with the School Education Law (Law No. 26, 1947), a university in accordance with the old University Order (Edict No. 388, 1918), a professional school or school equivalent to these schools overseas in accordance with the old Professional School Order (Edict No. 61, 1903), or by finishing the course of a lecture class of the subject on standardization and quality control applicable to this.

Note ¹⁾ Examples of expertise in standardization and quality control are as follows:

- a) Industrial Standardization Law Overview of the Industrial Standardization Law, JIS mark scheme and its purpose, role of the quality control manager, etc.
- b) Quality control
 - (i) Statistical concept
 - (ii) Statistical process control
 - (iii) Sampling
 - (iv) Sampling inspection
 - (v) Problem-solving method
- c) Company standardization: Overview of company standardization, method to proceed with company standardization, etc.
- d) Product test under JIS mark scheme and JIS Q 17025
Requirements of JIS Q 17025, uncertainty, traceability of measurement, certification scheme for testing laboratory, etc.

Criteria of audit (B)

1. Quality control system is to conform to the specification of JIS Q 9001 (in the case of the audit concerning the certification of industrial and mineral products or processing technology thereof stipulated in the notification by the competent minister, the standard of quality control stipulated in the notification by the competent minister).
2. Manufacturing or processing is to be performed using the manufacturing facility or processing facility (for the industrial and mineral product or processing technologies thereof specified in the sectoral guidance on certification, including the manufacturing facility or processing facility specified in the sectoral guidance on certification) specified in JIS concerning the certification of JICQA.
3. Inspection is to be performed using the inspection facility (for the industrial and mineral products or processing technologies thereof specified in the sectoral guidance on certification, including the inspection facility specified in the sectoral guidance on certification) specified in JIS concerning the certification of JICQA.
4. Inspection is to be performed in accordance with the inspection method (for the industrial and mineral products or processing technologies thereof specified in the sectoral guidance on certification, including the inspection method specified in the sectoral guidance on certification) specified in JIS concerning the certification of JICQA.
5. The company standard is to be prepared concretely and systematically in accordance with JIS concerning the certification of JICQA (for the industrial and mineral products or processing technologies thereof specified in the sectoral guidance on certification, including the matter specified in the sectoral guidance on certification), and inspection and storage is to be appropriately performed in accordance with the company standard so that the industrial and mineral products concerning the certification of JICQA conform to JIS.
6. The assignment of a quality control manager is to conform to the criterion in b. of clause 5 of criteria of audit (A).