MODULE C: REPORT OF THE LEAD ASSESSOR

(EN ISO/IEC 17029:2019 + EN ISO 14065:2021 + AVR)

# Representatives of the body

|  |  |
| --- | --- |
| Function Can be changed according to the naming used by the body | Name |
| Responsible for the management system |  |
| Technical responsible |  |
| … |  |

# evaluation of the implementation of the corrective actions taken following the previous assessment

|  |  |
| --- | --- |
| ID code of the previous assessment |  |

The evaluation of the follow-up of the non-conformity is recorded as “+” when all elements have been sufficiently followed up and resolved and it can be closed.
A new non-conformity XX-Ay or XX-By (XX = initials assessor, y = reference number of the non-conformity in this partial report), is defined if

* some elements are not yet resolved; and/or
* some elements are not OK; and/or
* the implemented solution has given rise to a new non-conformity.

|  |  |  |
| --- | --- | --- |
| Non-conformity of the previous assessment | Evaluation of the follow-up and effectiveness of the corrective action(s) taken | Evaluation |
|  |  |  |
|  |  |  |

# Assessment report

Please indicate the evaluation after each standard element:

* + (evaluated and OK);
* XX-Ay or XX-By (evaluated, but with non-conformity: XX=initials assessor, y=number of the non-conformity in this partial report);
* ne (not evaluated);
* na (not applicable).

### General/organisation

#### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 5: General requirements

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 5.1, 5.2 Legal entity and responsibility

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 5.1 | 5.1 | Legal entity with legal responsibility |  |
| 5.2 | 5.2 | Responsibility for validation/verification statements |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 5.3 Management of impartiality

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 5.3.1 | 5.3 | Validation/verification activities shall be undertaken impartially. |  |
| 5.3.2 | The validation/verification body shall be responsible for the impartiality of its validation/verification activities and shall not allow commercial, financial or other pressures to compromise impartiality. |  |
| 5.3.3 | The validation/verification body shall monitor its activities and its relationships to identify threats to its impartiality. This monitoring shall include the relationships of its personnel. |  |
| 5.3.4 | If a threat to impartiality is identified, its effect shall be eliminated or minimized so that the impartiality is not compromised. |  |
| 5.3.5 | The validation/verification body shall have top management commitment to impartiality. |  |
| 5.3.6 | The validation/verification body shall have a publicly available commitment that it understands the importance of impartiality in carrying out its validation/verification activities and manages conflicts of interest and ensures objectivity. |  |
| 5.3.7 | Review (9.6) and decision (9.7) shall be made by personnel different from those who carried out the validation/verification execution (9.5). |  |
| 5.3.8 | When providing both validation and verification to the same client, the validation/verification body shall consider the potential threat to impartiality (e.g. self-review and familiarity) and shall manage this risk accordingly. |  |
| 5.3.9 | The validation/verification body shall not offer or provide both consultancy and validation/verification for the same claim from the same client. |  |
| 5.3.10 | Where the relationship between a body that provides consultancy and the validation/verification body poses an unacceptable threat to the impartiality of the validation/verification body, the validation/verification body shall not provide validation/verification activities to clients who have received consultancy relating to the same claim. This includes potential clients with which the validation/verification body is pre-engaged. |  |
| 5.3.11 | The validation/verification body’s activities shall not be marketed or offered as linked with the activities of any organization that provides consultancy. |  |
| 5.3.12 | The validation/verification body shall take action when it is made aware of (e.g. via a complaint) inappropriate links with or announcements by any consultancy organization stating or implying that validation/verification would be simpler, easier, faster or less expensive if the validation/verification body were used. A validation/verification body shall not state or imply that validation/verification would be simpler, easier, faster or less expensive if a specified consultancy organization were used. |  |
| 5.3.13 | The validation/verification body shall take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations. This includes the actions of those bodies to which validation/verification activities have been outsourced. |  |

**AVR Chapter III Impartiality and independence**

|  |  |  |
| --- | --- | --- |
| **AVR Clause** | **Description** | **Evaluation** |
| Art 42 § 1 | 1. A verifier shall be independent from an operator or aircraft operator and impartial in carrying out its verification activities.  |  |
| Art 42 § 5 | 5. A verifier shall not outsource the independent review or the issuance of the verification report. For the purposes of this Regulation, when outsourcing other verification activities, the verifier shall meet the relevant requirements laid down in the harmonised standard referred to in Annex II. |  |
|   | However, contracting individuals to carry out verification activities shall not constitute outsourcing for the purposes of the first subparagraph where the verifier, when contracting those persons, meets the relevant requirements in the harmonised standard referred to in Annex II. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 5.4 Liability

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 5.4 | 5.4 | The validation/verification body shall be able to demonstrate that it has evaluated the risks arising from its validation/verification activities and that it has adequate arrangements (e.g. insurance orreserves) to cover liabilities arising from its activities in each validation/verification programme and the geographic areas it operates. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

#### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 6: Structural requirements

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 6.1 Organizational structure and top management

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 6.1.1 | 6.1 | The validation/verification body shall be organized and managed so as to enable it to maintain the capability to perform its validation/verification activities. |  |
| 6.1.2 | Validation/verification activities shall be structured and managed so as to safeguard impartiality. |  |
| 6.1.3 | The validation/verification body shall document its organizational structure, duties, responsibilities and authorities of management and other personnel involved in the validation/verification activities and any committees. If the validation/verification body is a defined part of a legal entity, the structure shall include the line of authority and the relationship to other parts within the same legal entity. |  |
| 6.1.4 | The validation/verification body shall identify the top management (board, group of persons, or person) having overall authority and responsibility for each of the following:a) development of policies and establishment of processes relating to its operations;b) supervision of the implementation of the policies and processes;c) ensuring impartiality;d) supervision of its finances;﻿e) development of validation/verification activities and requirements;f) performance of validation/verification activities;g) decisions and issue of validation/verification statements;h) delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf;i) contractual arrangements;j) personnel competence requirements;k) responsiveness to complaints and appeals;l) management system of the validation/verification body;m) provision of adequate resources for validation/verification activities. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 6.2 Operational control

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 6.2.1 | 6.2 | The validation/verification body shall have a process for the effective control of validation/verification activities delivered by entities under its operational control, branch offices, partnerships, agents, franchisees, etc., irrespective of their legal status, relationship or geographical location. |  |
| 6.2.2 | The validation/verification body shall determine and establish the appropriate level and method of control of activities undertaken. This includes its processes, sectors of validation/verification activities, competence of personnel, lines of management control, reporting and remote access to operations, and records. |  |
| 6.2.3 | The validation/verification body shall consider the risk that these activities pose to the competence, consistency and impartiality of the validation/verification body. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Personnel

#### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 7: Resource requirements

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 7.1 General

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 7.1 | 7.1 | Access to personnel, facilities, equipment, systems and support services that are necessary to perform its validation/verification activities. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 7.2 Personnel

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 7.2.1 |  | Sufficient number of competent persons |  |
| 7.2.2 | Legally enforceable agreement with the personnel |  |
| 7.2.3 | Identifying threats to impartiality raised by the activities of such personnel, or by the persons or organizations related to them |  |
| 7.2.4 | Additional requirement | All personnel of the validation/verification body, either internal or external, that could influence the validation/verification activities, shall act impartially and comply with ethical requirements |  |
| 7.2.5 | Additional requirement | Within a period specified by the validation/verification body (not less than two years), personnel who have provided consultancy on the claim to be the object of validation/verification shall not perform validation/verification activities in relation to their previous involvement. |  |
| 7.2.6 |  | Confidentiality |  |
| 7.2.7 | The validation/verification body shall communicate to personnel their duties, responsibilities and authorities. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 7.3 Management process for the competence of personnel

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 7.3.1 | 7.3.2 | The validation/verification body shall have a process for managing competence of its personnel involved in the validation/verification activities. |  |
| 7.3.2 | 7.3.2 | The processes shall require the validation/verification body:a) to determine the criteria for the competence of personnel for each function in the validation/verification processb) to identify training needs and provide, as necessary, training on validation/verification processes, requirements, methodologies, activities and other relevant validation/verification programme requirements;c) to demonstrate that the personnel have the required competence for the duties and responsibilities they undertake;d) to formally authorize personnel for functions in the validation/verification process;e) to monitor the performance of the personnel. |  |
| 7.3.3 | 7.3.3 | The validation/verification body shall have documented information demonstrating competence of its personnel involved in the validation/verification activities. |  |
|  | 7.3.4 | The body shall establish competent validation/verification teams and shall provide appropriate management and support services. |  |
|  | 7.3.5 | The validation/verification team shall have the ability to apply detailed knowledge of the applicable programme |  |
|  | 7.3.6 | The validation/verification team shall have sufficient technical expertise. |  |
|  | 7.3.7 | The validation/verification team shall have data and information auditing expertise to evaluate the environmental information statement |  |
|  | 7.3.8 | The validation/verification team shall be able to communicate effectively in appropriate languages on matters relevant to the validation or verification. |  |
|  | 7.3.9 | Competence of the validation/verification team leader |  |

**AVR Chapter III Competence management process**

|  |  |  |
| --- | --- | --- |
| **AVR Clause** | **Description** | **Evaluation** |
| Art 35 § 1 | 1. The verifier shall establish, document, implement and maintain a competence process to ensure that all personnel entrusted with verification activities are competent for the tasks that are allocated to them. |  |
| Art 35 § 2 | 2. As part of the competence process referred to in paragraph 1, the verifier shall at least determine, document, implement and maintain the following:  |  |
|   | (a) general competence criteria for all personnel undertaking verification activities; |  |
|   | (b) specific competence criteria for each function within the verifier undertaking verification activities, in particular for the EU ETS auditor, EU ETS lead auditor, independent reviewer and technical expert;  |  |
|   | *The competence criteria referred to in point (b) of the first subparagraph shall be specific for each scope of accreditation in which these persons are carrying out verification activities.* |  |
|   | (c) a method to ensure the continued competence and regular evaluation of the performance of all personnel that undertake verification activities;  |  |
|   | *In evaluating the competence of the personnel pursuant to point (c) of the first subparagraph, the verifier shall assess that competence against the competence criteria referred to in points (a) and (b).* |  |
|   | (d) a process for ensuring ongoing training of the personnel undertaking verification activities;  |  |
|   | (e) a process for assessing whether the verification engagement falls within the scope of the verifier’s accreditation, and whether the verifier has the competence, personnel and resources required to select the verification team and successfully complete the verification activities within the timeframe required. |  |
|   | *The process referred to in point (e) of the first subparagraph shall also include a process for assessing whether the verification team holds all the competence and persons required to carry out verification activities for a specific operator or aircraft operator.* |  |
|   | The verifier shall develop general and specific competence criteria which are in conformity with criteria laid down in Article 36(4) and Articles 37, 38 and 39 of the AVR. |  |
| Art 35 § 3 | 3. The verifier shall, at regular intervals, monitor the performance of all personnel that undertakes verification activities for the purposes of confirming the continued competence of those personnel. |  |
| Art 35 § 4 | 4. The verifier shall at regular intervals review the competence process referred to in paragraph 1 to ensure that: |  |
|   | (a) the competence criteria referred to in points (a) and (b) of the first subparagraph of paragraph 2 are developed in accordance with the competence requirements under this Regulation; |  |
|   | (b) all issues that may be identified related to the setting of the general and specific competence criteria pursuant to points (a) and (b) of the first subparagraph of paragraph 2 are addressed;  |  |
|   | (c) all the requirements in the competence process are updated and maintained as appropriate. |  |
| Art 35 § 5 | 5. The verifier shall have a system for recording the results of the activities carried out in the competence process referred to in paragraph 1. |  |
| Art 35 § 6 | 6. A sufficiently competent evaluator shall assess the competence and performance of an EU ETS auditor and EU ETS lead auditor.  |  |
|   | For that purpose, the competent evaluator shall monitor those auditors during the verification of the operator’s or aircraft operator’s report on the site of the installation or aircraft operator as appropriate, to determine whether they meet the competence criteria. |  |
| Art 35 § 7 | 7. Where a member of personnel fails to demonstrate that the competence criteria for a specific task allocated to him or her have been fully met, the verifier shall identify and organise additional training or supervised work experience as well as monitor that individual until he or she demonstrates to the satisfaction of the verifier that he or she meets the competence criteria. |  |

**AVR Chapter III Verification teams**

|  |  |  |
| --- | --- | --- |
| **AVR Clause** | **Description** | **Evaluation** |
| Art 36 § 1-2 | 1. For each particular verification engagement, the verifier shall assemble a verification team capable of performing the verification activities referred to in Chapter II.  |  |
|   | 2. The verification team shall at least consist of an EU ETS lead auditor, and, where the verifier’s conclusions during the assessment referred to in Article 8(1)(e) and the strategic analysis require this, a suitable number of EU ETS auditors and technical experts. |  |
| Art 36 § 3 | 3. For the independent review of the verification activities related to a particular verification engagement, the verifier shall appoint an independent reviewer who shall not be part of the verification team. |  |
| Art 36 § 4 | 4. Each team member shall:  |  |
|   | (a) have a clear understanding of his or her individual role in the verification process;  |  |
|   | (b) be able to communicate effectively in the language necessary to perform his or her specific tasks. |  |
| Art 36 § 5 | 5. The verification team shall include at least one person with the technical competence and understanding required to assess the specific technical monitoring and reporting aspects related to the activities referred to in Annex I that are carried out by the installation or aircraft operator, and one person who is able to communicate in the language required for the verification of an operator’s or aircraft operator’s report in the Member State where the verifier is carrying out that verification.  |  |
| Art 36 § 6 | 6. Where the verification team consists of one person, this person shall meet all the competence requirements for the EU ETS auditor and EU ETS lead auditor and meet the requirements laid down in paragraphs 4 and 5. |  |

**AVR Chapter III Competence requirements for EU ETS auditors and EU ETS lead auditors**

|  |  |  |
| --- | --- | --- |
| **AVR Clause** | **Description** | **Evaluation** |
| Art 37 § 1 | 1. An EU ETS auditor shall have the competence to perform the verification. To this end, the EU ETS auditor shall have at least:  |  |
|   | (a) knowledge of Directive 2003/87/EC, Regulation (EU) No 601/2012, this Regulation, relevant standards, and other relevant legislation, applicable guidelines, as well as relevant guidelines and legislation issued by the Member State in which the verifier is carrying out a verification;  |  |
|   | (b) knowledge and experience of data and information auditing, including: |  |
|   | (i) data and information auditing methodologies, including the application of the materiality level and assessing the materiality of misstatements;  |  |
|   | (ii) analysing inherent risks and control risks;  |  |
|   | (iii) sampling techniques in relation to data sampling and checking the control activities;  |  |
|   | (iv) assessing data and information systems, IT systems, data flow activities, control activities, control systems and procedures for control activities;  |  |
|   | (c) the ability to perform the activities related to the verification of an operator’s or aircraft operator’s report as required by Chapter II;  |  |
|   | (d) knowledge of and experience in the sector specific technical monitoring and reporting aspects that are relevant for the scope of activities referred to in Annex I in which the EU ETS auditor is carrying out verification. |  |
| Art 37 § 2 | 2. An EU ETS lead auditor shall meet the competence requirements for an EU ETS auditor and shall have demonstrated competence to lead a verification team and to be responsible for carrying out the verification activities in accordance with this Regulation. |  |

**AVR Chapter III Competence requirements for independent reviewers**

|  |  |  |
| --- | --- | --- |
| **AVR Clause** | **Description** | **Evaluation** |
| Art 38 § 1 | 1. The independent reviewer shall have the appropriate authority to review the draft verification report and internal verification documentation pursuant to Article 25.  |  |
| Art 38 § 2 | 2. The independent reviewer shall meet the competence requirements of an EU ETS lead auditor referred to in Article 37(2).  |  |
| Art 38 § 3 | 3. The independent reviewer shall have the necessary competence to analyse the information provided to confirm the completeness and integrity of the information, to challenge missing or contradictory information as well as to check data trails for the purposes of assessing whether the internal verification documentation is complete and provides sufficient information to support the draft verification report. |  |

**AVR Chapter III Use of technical experts**

|  |  |  |
| --- | --- | --- |
| **AVR Clause** | **Description** | **Evaluation** |
| Art 39 § 1 | 1. When carrying out verification activities, a verifier may make use of technical experts to provide detailed knowledge and expertise on a specific subject matter needed to support the EU ETS auditor and EU ETS lead auditor in carrying out their verification activities. |  |
| Art 39 § 2 | 2. Where the independent reviewer does not have the competence to assess a particular issue in the review process, the verifier shall request the support of a technical expert. |  |
| Art 39 § 3 | 3. The technical expert shall have the competence and expertise required to support the EU ETS auditor and EU ETS lead auditor, or the independent reviewer, where necessary, effectively on the subject matter for which his or her knowledge and expertise is requested. In addition the technical expert shall have a sufficient understanding of the issues required pursuant to points (a), (b) and (c) of Article 37(1). |  |
| Art 39 § 4 | 4. The technical expert shall undertake specified tasks under the direction and full responsibility of the EU ETS lead auditor of the verification team in which the technical expert is operating or the independent reviewer. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Outsourcing

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 7.4 Outsourcing

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 7.4 | 7.4 | Outsourcing requirements |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Information, validation/verification documents

#### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 8: Validation/verification programme

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 8 | 8 | The validation/verification body shall apply one or more validation/verification programme(s) that are consistent with, and do not exclude the requirements of ISO/IEC 17029 |  |

###### Specific requirements of the validation/verification programme

*Note : If the body applies multiple programmes, please copy the table below for each programme part of the audit. Please also indicate whether it concerns validation or verification.*

|  |
| --- |
| **Validation/verification programme :** |
|  |
| **Clause/reference** | **Description** | **Evaluation** |
|  | scope of validation/verification |  |
|  | specific competence criteria for the validation/verification team and body |  |
|  | evidence gathering activities of validation/verification |  |
|  | reporting of validation/verification |  |
|  | Other additional requirements defined by the program* Impartiality
* Confidentiality
* Requirements for monitoring of personnel
* Requirements on facilities/equipment
 |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### PROCESS

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9: Process requirements

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.1 General

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.1 | 9.1 | The validation/verification body shall complete the process steps |  |

**AVR Chapter III Internal verification documentation**

|  |  |  |
| --- | --- | --- |
| **AVR Clause** | **Description** | **Evaluation** |
| Art 26 § 1 | 1. The verifier shall prepare and compile internal verification documentation containing at least: |  |
|   | (a) the results of the verification activities performed; |  |
|   | (b) the strategic analysis, risk analysis and verification plan; |  |
|   | (c) sufficient information to support the verification opinion including justifications for judgments made on whether or not the misstatements identified have material effect on the reported emissions or tonne-kilometre data. |  |
| Art 26 § 2 | 2. The internal verification documentation referred to in paragraph 1 shall be drafted in such a manner that the independent reviewer referred to in Article 25 and the national accreditation body can assess whether the verification has been performed in accordance with this Regulation.  |  |
|   | After authentication of the verification report pursuant to Article 25(5), the verifier shall include results of the independent review in the internal verification documentation. |  |
| Art 26 § 3 | 3. The verifier shall, upon request, provide the competent authority access to the internal verification documentation to facilitate an evaluation of the verification by the competent authority. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.2 Pre-engagement

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.2.1  |  | The validation/verification body shall require the client to submit information sufficient to carry out a pre-engagement review. |  |
| 9.2.2 | Additional requirement | Conduct a pre-engagement review |  |
| 9.2.3. |  | Following the pre-engagement review the validation/verification body shall either accept or decline to perform validation/verification |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.3 Engagement

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.3.1 |  | agreement with each client for the provision of validation/verification activities in accordance with the relevant requirements of this document and the requirements specified in the applicable validation/verification programme |  |
| 9.3.2 | Additional requirement | The validation/verification body shall ensure its agreement requires that the client complies at least with the following:a) validation/verification requirements;b) making all necessary arrangements for the conduct of the validation/verification;c) where applicable, making provisions to accommodate observers;d) complying with the rules of the validation/verification body for reference to validation/verification or use of marks |  |
| 9.3.3 |  | The agreement shall confirm that the client engages the validation/verification body to undertake validation/verification activities |  |
| 9.3.4 |  | The validation/verification body shall take responsibility for any inputs that it accepts to take into account as part of its validation/verification activities. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.4 Planning

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.4.1 | 9.4.2 | Planning activities taking into account the requirements specified in the applicable validation/verification programme |  |
| 9.4.2 | 9.4.3 | Develop a validation/verification plan |  |
|  | 9.4.4 | The validation/verification plan and evidence-gathering plan shall be approved by the team leader. |  |
|  | 9.4.5 | Approval of amendments to the validation/verification plan and evidence-gathering plan |  |
| 9.4.3 |  | Inform the client of the names and roles of the team members with sufficient notice for any objection to the appointment of a team member to be made. |  |
| 9.4.4 |  | The validation/verification body shall communicate to the client the validation/verification plan. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.5 Validation/verification execution

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.5.1 | 9.5 | Perform the validation/verification execution activities in accordance with the validation/verification plan. |  |
| 9.5.2 | Revision during the validation/verification execution activities. |  |
| 9.5.3 | Revisions to the validation/verification plan shall be internally documented and communicated to the client. |  |
| 9.5.4 | The body shall undertake the following activities:a) collection of sufficient objective evidence on original data/informationb) identification of misstatements and consideration of their materiality;c) assessment of conformity |  |
| 9.5.5 | The validation/verification body shall prepare the following:a) a conclusion on the outcome;﻿b) a draft validation/verification statement;c) a report, if applicable |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.6 Review

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.6.1 |  | The validation/verification body shall undertake review activities. |  |
| 9.6.2 | 9.6.2 | The review shall be carried out by persons who have not been involved in the validation/verification execution. |  |
| 9.6.3 | 9.6.3 | The review shall confirm:a) that all validation/verification activities have been completed in accordance with the agreement and the programme;b) sufficiency and appropriateness of evidence to support the decision;c) whether significant findings have been identified, resolved, and documented.d) the competencies of validation/verification team members for the activities that they conducted;e) whether the validation/verification planning has been designed appropriately, including whether the objective, scope and materiality are addressed by: 1) the strategic analysis and risk assessment; 2) the validation/verification plan; 3) the evidence-gathering plan;f) significant decisions made by the validation/verification team during the validation/verification;g) whether the opinion is appropriately drafted;h) whether the environmental information statement is fairly stated and conforms to criteria. |  |
| 9.6.4 |  |
| 9.6.4 |  | The reviewer shall communicate with the validation/verification team when the need for clarification arises |  |
| 9.6.5 | 9.6.5 | The review shall have available all records of the validation/verification activities |  |
|  | 9.6.6 | The review shall be completed before the final opinion, or the report of factual finding for the AUP, is issued |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.7 Decision and issue of the validation/verification statement

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.7.1 |  | Decision |  |
| 9.7.1.1 | 9.7.1.2 | Decision on whether or not to confirm the claim |  |
| 9.7.1.3 |
| 9.7.1.2 | 9.7.1.4 | The decision shall be made by persons who have not been involved in the validation/verification execution. |  |
| 9.7.1.3 | 9.7.1.5 | Based on this decision, a validation/verification statement is issued or not issued according to the programme requirements. |  |
| 9.7.1.7 |
| 9.7.1.8 |
|  | 9.7.1.6 | If an opinion is issued, the body shall select one type of opinion |  |
|  | 9.7.1.9 | shall be based upon the evaluation of sufficient and appropriate information |  |
| 9.7.1.4 |  | When the validation/verification body is not issuing a validation/verification statement, the validation/verification body shall inform the client. |  |
| 9.7.2 | 9.7.2 | Issue of the validation/verification statement |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Issue of validation/verification statement: follow-up

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.8 Facts discovered after the issue of the validation/verification statement

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.8.1 | 9.8 | The validation/verification body shall:a) communicate the matter as soon as practicable;b) take appropriate action |  |
| 9.8.2 | If the validation/verification statement requires revision, the validation/verification body shall implement processes to issue a new statement |  |
| 9.8.3 | The validation/verification body may also communicate to other interested parties the fact that reliance of the original statement can now be compromised given the new facts or information. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.9 Handling of appeals

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.9.1 | 9.9 | The validation/verification body shall have a documented process to receive, evaluate and make decisions on appeals. |  |
| 9.9.2 | The process for handling appeals shall include at least the following:a) a description of the process for receiving, investigating, substantiating the appeal, and deciding what actions are to be taken in response;b) tracking and recording the appeal, including the actions to resolve it;c) ensure appropriate action is taken |  |
| 9.9.3 | The validation/verification body receiving the appeal shall be responsible for gathering all necessary information to determine whether the appeal is substantiated |  |
| 9.9.4 | The validation/verification body shall acknowledge receipt of the appeal, and provide the appellant with the outcome and, if applicable, progress reports. |  |
| 9.9.5 | A description of the process for handling appeals shall be available to any interested party. |  |
| 9.9.6 | The body shall be responsible for all decisions during the process for handling appeals. |  |
| 9.9.7 | Investigation and decision on appeals shall not result in any discriminatory actions. |  |
| 9.9.8 | The decision on the appeal shall be made by, or reviewed and approved by, individuals not involved in the decision which is the subject of the appeal in question. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.10 Handling of complaints

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.10.1 | 9.10 | The validation/verification body shall have a documented process to receive, evaluate and resolve complaints. |  |
| 9.10.2 | The process for handling complaints shall include at least the following:a) a description of the process for receiving, investigating, substantiating the complaint, and deciding what actions are to be taken in response;b) tracking and recording the complaint, including the actions to resolve it;c) ensure appropriate action is taken |  |
| 9.10.3 | The validation/verification body receiving the complaint shall be responsible for gathering all necessary information to determine whether the complaint is substantiated |  |
| 9.10.4 | The validation/verification body shall acknowledge receipt of the complaint, and provide the complainant with the outcome and, if applicable, progress reports. |  |
| 9.10.5 | A description of the process for handling complaints shall be available to any interested party. |  |
| 9.10.6 | Upon receipt of a complaint, the body shall confirm whether the complaint relates to its validation/verification activities and, if so, shall resolve the complaint. |  |
| 9.10.7 | Investigation and resolution of complaints shall not result in any discriminatory actions |  |
| 9.10.8 | The resolution of complaints shall be made by, or reviewed and approved by, individuals not involved in the complaint in question. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 9.11 Records

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.11.1 | 9.11 | The validation/verification body shall maintain and manage records of its validation/verification activities |  |
| 9.11.2 | Maintain validation/verification records securely andconfidentially |  |
| 9.11.3 | Retain validation/verification records in accordance with the programme, contractual, and other management system requirements |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Information

#### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 10: Information requirements

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 10.1 Publicly available information

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 10.1.1 | 10.1 | The validation/verification body shall ensure the following information is made publicly available:a) information about the validation/verification process;b) commitment to impartiality;c) list of validation/verification activities, including reference to applicable programmes;d) complaints and appeals process. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 10.2 Other information to be available

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 10.2.1 | 10.2.1 | Maintain and, upon request, provide clear, traceable, and accurate information about its activities and the sectors in which it operates |  |
| 10.2.2 | 10.2.2 | Provide, upon request, the status of a given validation/verification statement |  |
| 10.2.3 | 10.2.3 | Provide information and update clients |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 10.3 Reference to validation/verification and use of marks

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 10.3.1 | 10.3.1 | Rules governing any reference to validation/verification or use of its marks that it authorizes its clients to use |  |
| 10.3.2 |
| 10.3.3 |
| 10.3.2 | 10.3.1 | This reference or marks shall be used only in relation to the claim which has been validated/verified |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 10.4 Confidentiality

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 10.4.1 | 10.4 | The body shall be responsible, through legally enforceable agreements, for the management of all information obtained or created during the performance of validation/verification activities |  |
| 10.4.2 | The body shall inform the client, in advance, of the information it intends to place in the public domain |  |
| 10.4.3 | Information is considered proprietary information and shall be regarded as confidential |  |
| 10.4.4 | The client or individual concerned shall be notified of the information released. |  |
| 10.4.5 | Information about the client obtained from sources other than the client shall be confidential between the client and the validation/verification body |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### MANAGEMENT SYSTEM REQUIREMENTS

#### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 11: Management System requirements

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 11.1 General

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 11.1.1 | 11.1 | Establish, document, implement and maintain a management system |  |
| 11.1.2 | Management system elements |  |
| 11.1.3 | A quality management system, in accordance with the requirements of ISO 9001 |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 11.2 Management review

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 11.2.1 | 11.2 | Review of the management system at planned intervals |  |
| 11.2.2 | Inputs to the management review |  |
| 11.2.3 | Putputs from the management review |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 11.3 Internal audits

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 11.3.1 | 11.3 | Conduct internal audits at planned intervals |  |
| 11.3.2 | The validation/verification body shall:a) plan, establish, implement and maintain an audit programme;b) define the audit criteria and scope for each audit;c) ensure that the results of the audits are reported to relevant personnel;d) implement appropriate correction and corrective actions without undue delay;e) retain records as evidence of the implementation of the audit programme and the audit results |  |
| 11.3.3 | Internal auditors shall not audit their own work |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 11.4 Corrective action

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 11.4 | 11.4 | Establish processes for identification and management ofnonconformities in its activities. The validation/verification body shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 11.5 Actions to address risks and opportunities

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 11.5.1 | 11.5 | Consider the risks and opportunities associated with the validation/verification activities |  |
| 11.5.2 | The validation/verification body shall plan:a) actions to address these risks and opportunities;b) how to integrate and implement these actions into its management system;c) how to evaluate the effectiveness of these actions |  |
| 11.5.3 | Actions taken to address risks and opportunities shall be proportional to the potential impact on the validation/verification statement |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

###### EN ISO/IEC 17029:2019 & EN ISO 14065:2021 § 11.6 Documented information

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 11.6.1 | 11.6 | Control documented information |  |
| 11.6.2 | The validation/verification body shall address the following activities, as applicable:* distribution, access, retrieval and use;
* storage and preservation, including preservation of legibility;
* control of changes (e.g. version control);
* retention and disposition.
 |  |
| 11.6.3 | Documented information of external origin shall be identified as appropriate and shall be controlled. |  |
| 11.6.4 | Documented information retained as evidence of conformity shall be protected from unintended alterations. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Additional Requirements of BELAC

|  |  |  |
| --- | --- | --- |
| Reference | Evaluation | Conclusion |
| BELAC 2-001 (reference to accreditation) |  |  |
| BELAC 2-002 (accreditation scope : fixed versus flexible – dormant activities) |  |  |
| BELAC 2-405-GHG *(verification bodies in the “Greenhouse Gas – European Union Emission Trading Scheme” sector)* |  |  |