MODULE D: REPORT OF THE TECHNICAL ASSESSOR/EXPERT

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

# Audit data

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| Function  | ****Name**** assessor/expert | Activities see assessment plan | Date(s) + location(s) of the assessment office/witness; am/pm |
| TA/EX |  |  |  |

# 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

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| 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.

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

Text in blue is for explanatory purposes and should be removed.

## General findings (office and witness activities)

General findings will usually arise from the evaluation at the office (but can also arise from various witness activities).

### General/organisation

Please note here any observations not covered in the chapters below, if applicable.

### 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

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| **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

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| **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

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| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 7.3.1 |  | 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**

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| **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**

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| **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**

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| **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**

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| **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**

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| **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

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| **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

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| **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 |  |

###### 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

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| **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**

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| **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

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| **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

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| **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

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| **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

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| **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

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| **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 exécution. |  |
| 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

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| **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

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| **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

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| **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

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| **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

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| **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

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| **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** | **EN ISO 14065** | **Description** | **Evaluation** |
| 11.1 | 11.1 | General |  |
| 11.2 | 11.2 | Management review |  |
| 11.3 | 11.3 | Internal audits |  |
| 11.4 | 11.4 | Corrective actions |  |
| 11.5 | 11.5 | Actions to address risks and opportunities |  |
| 11.6 | 11.6 | Documented information |  |

###### 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)* |  |  |

## Evaluation of specific activities (IncLuding witness)

Please report any activity followed. For several activities, you must copy and complete the passage below.

|  |  |
| --- | --- |
| Field of Validation/verification |  |
| Spoken with: |  |
| Documentary examination: | YES-NO |
| Witnessing | YES Location: Verifier:NO  |

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

|  |  |  |  |
| --- | --- | --- | --- |
| **EN ISO/IEC 17029** | **EN ISO 14065** | **Description** | **Evaluation** |
| 9.1 | 9.1 | General |  |
| 9.2 | 9.2 | Pre-engagement |  |
| 9.3 | 9.3 | Engagement |  |
| 9.4 | 9.4 | Planning |  |
| 9.5 | 9.5 | Validation/verification execution |  |
| 9.6 | 9.6 | Review |  |
| 9.7 | 9.7 | Decision and issue of the validation/verification statement |  |
| 9.8 | 9.8 | Facts discovered after the issue of the validation/verification statement |  |

#### AVR Chapter II Verification process

|  |  |  |
| --- | --- | --- |
| **AVR Clause** | **Description** | **Evaluation** |
| Art 8 | Precontractual obligations |  |
| Art 9 | Time allocation taking |  |
| Art 10 | Information from an operator |  |
| Art 11 | Strategic analysis |  |
| Art 12 | Risk analysis |  |
| Art 13 | Verification plan |  |
| Art 14 | Verification activities |  |
| Art 15 | Analytical procedures |  |
| Art 16 | Data verification |  |
| Art 17 | Verification of the correct application of the monitoring methodology |  |
| Art 18 | Verification of methods applied for missing data |  |
| Art 19 | Uncertainty assessment |  |
| Art 20 | Sampling |  |
| Art 21 | Site visits |  |
| Art 22 | Addressing misstatements and non-conformities |  |
| Art 23 | Materiality level |  |
| Art 24 | Concluding on the findings of verification |  |
| Art 25 | Independent review |  |
| Art 26 | Internal verification documentation |  |
| Art 27 | Verification report |  |
| Art 28 | Limitation of scope |  |
| Art 29 | Addressing outstanding non-material non-conformities |  |
| Art 30 | Improvement of the monitoring and reporting process |  |
| Art 31 | Simplified verification for installations |  |
| Art 32 | Simplified verification for aircraft operators |  |
| Art 33 | Simplified verification plans |  |

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

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

## Conclusion

1. Summary of assessment findings concerning conformity with the accreditation conditions

Please give a general summary of all the findings made during the assessment. The summary should include elements of the following themes, **where relevant**: impartiality and independence/confidentiality, competence and management of activities, effectiveness of the management system.

* 1. Recommendation(s):
		1. With regard to granting, maintaining or renewing the accreditation(s):

Granting [[1]](#footnote-1)/ maintaining / renewing of the accreditation certificate please delete as appropriate

|  |  |  |
| --- | --- | --- |
| [ ]  | positive recommendation | Explanation required if several standards |
| [ ]  | positive recommendation with reservation | Explanation required |
| [ ]  | negative recommendation | Explanation required |

In case of transition to a new version of an accreditation standard:

|  |  |  |
| --- | --- | --- |
| [ ]  | positive recommendation for transition to | Accreditation standard+year |
| [ ]  | negative recommendation for transition  | Explanation required |

Other information:

* + 1. With regard to the activities covered by the accreditation(s)

The detailed accreditation scope as approved by the assessment team can be found in the Excel file in attachment.

You received an Excel file with a scope proposal: please indicate in this file which activity/group of activities has been subject to evaluation, whether on a documentary basis or in practice. Also indicate your agreement on the formulation of each activity within your sector. If you do not agree with the formulation proposed in the working version of the accreditation scope, you must explain the correction in the column “agreement on formulation” and adapt it in this working version. Please send this file together with this module D and the evaluated module E to the lead assessor and belacdossiers@economie.fgov.be.

With regard to the activities already covered by the accreditation:

|  |  |
| --- | --- |
| [ ]  | The presentation of the accreditation scope(s) can be maintained |
| [ ]  | The presentation of the accreditation scope(s) has to be adapted (for details cfr the scope(s) in attachment)  |

The requested extensions/changes of the activities:

|  |  |
| --- | --- |
| [ ]  | can all be granted |
| [ ]  | can partially be granted | Explanation required |
| [ ]  | can’t be granted | Explanation required |
| [ ]  | not applicable (no extensions/changes requested) |

1. Additional information

In this section, any additional information can be added information that does not belong under the other titles, but which is worth mentioning e.g. planned changes in a firm’s organizational structure or activities, points of interest for the next assessment,…When no additional information is to be mentioned, please indicate ‘not relevant’.

|  |  |
| --- | --- |
| Date of creation of the report | xx/xx/xxxx |

1. For initial assessment or for an additional accreditation standard [↑](#footnote-ref-1)