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| **Details of the validation and verification body** | | | | |
| Name: |  | | | |
| Address: |  | | | |
| File number: |  |  |  | |
| Case number | Phase |  | |
| Date of assessment: |  | | | |
| Accreditation process: |  | | | |
| Assessment type[[1]](#endnote-1) : |  | | | |
| Validation and verification body with several locations: | | | Yes | No |
| Name / Address of assessed locations: | | | | |

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| Area: | Within the permanent facilities | | On-site | Mobile facilities | |
| Technical management: |  | | | | |
| Deputy: |  | | | | |
| Quality manager: |  | | | | |
| Deputy: |  | | | | |
| **Details of the assessor** | | | | | |
| Name: |  | | | | |
| Status[[2]](#endnote-2) : | Lead Ass. | System Ass | Tech. ss | Expert | Observer |
| **Assessed area** (technical fields of DAkkS, testing fields, sectorspecific requirements, directives/modules) | | | | | |

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**Notes on usage by the validation/verification body (blue colored sectors):**

* On the second page only the name and address of the validation and verification body shall be entered.
* Please enter the following information in the column “Reference documents“:  
  Where is the implementation of the requirement documented?   
  (State the specific reference documents, e.g. specification of the document/chapter/section)   
  Requirements of the standard that are not applicable shall be shall be indicated accordingly.

No further entries shall be made by the validation and verification body.

**Notes on usage by the assessor (orange colored sectors):**

* The column „Responsible“ indicates the assessor responsible to evaluate a section of the standard.
* The column “Appraisal” and “No of NC” shall be entered by the assessor (evaluation key see final marks)
* The appraisal in the first row of a section of the standard (e.g. 5.4 Impartiality) indicates the overall appraisal after the assessment, including the prior review of documents and records. The appraisal in the first row of a section suffice, if no non-conformity was identified for the relevant section of the standard.

This report/checklist combines the requirements of DIN EN ISO/IEC 17029:2020 and ISO 14065:2020. Requirements of ISO 14065:2020 are marked.

# 4 Principles

## 4.1 General

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|  | **SA** |  |  |  |  |  |
| **Result of review of documents and records:[[3]](#endnote-3)** | | |  |  |  |  |

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| Findings / justification of findings / specifics / notes: | | | |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment: [[4]](#endnote-4)** | | | |
| No. | OE[[5]](#endnote-5) | Title / Description | Date / Version |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / notes:: | | | |
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| 4.1.1 | The principles described in this clause provide the basis for the requirements specified in this document. These principles should be applied as guidance for decisions that sometimes need to be made for unanticipated situations. Principles are not requirements. |  |  |  |  |  |
| 4.1.2 | The overall aim of validation/verification is to give confidence to all parties that a validated/verified claim fulfils the specified requirements. The value of validation/verification is the confidence that is established by an impartial evaluation by a competent validation/verification body. ***(hereafter called „VVB“)*** |  |  |  |  |  |
| 4.1.3 | Parties that have an interest in validation/verification include, but are not limited to:   1. clients of the VVB’s; 2. programme owners; 3. users of the validated/verified claims; 4. regulatory authorities. |  |  |  |  |  |

## 4.2 Principles for the validation/verification process

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| **Result of review of documents and records:** | | |  |  |  |  |

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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** | | | |
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| 4.2.1 | **Evidence-based approach to decision making**  The process deploys a method for reaching reliable and reproducible validation/verification conclusions and is based on sufficient and appropriate objective evidence. The validation/ verification statement is based on evidence collected through an objective validation/verification of the claim. |  |  |  |  |  |
| 4.2.2 | **Documentation**  The validation/verification process is documented and establishes the basis for the conclusion and decision regarding conformity of the claim with the specified requirements. |  |  |  |  |  |
| 4.2.3 | **Fair presentation**  Validation/verification activities, findings, conclusions and statements, including significant obstacles encountered during the process, as well as unresolved, diverging views between the VVB and the client are truthfully and accurately reflected. |  |  |  |  |  |

## 4.3 Principles for validation/verification bodies

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| Findings / justification of findings / specifics / notes: | | | |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** | | | |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / notes: | | | |
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| 4.3.1 | **Impartiality**  Decisions are based on objective evidence obtained through the validation/verification process and are not influenced by other interests or parties.  Threats to impartiality can include but are not limited to the following.   1. Self-interest: threats that arise from a person or body acting in their own interest. A concern related to validation/verification, as a threat to impartiality, is financial self-interest. 2. Self-review: threats that arise from a person or body reviewing the work done by themselves. 3. Familiarity (or trust): threats that arise from a person or body being too familiar with or trusting of another person instead of seeking evidence for validation/verification. 4. Intimidation: threats that arise from a person or body having a perception of being coerced openly or secretively, such as a threat to be replaced or reported to a supervisor. |  |  |  |  |  |
| 4.3.2 | **Competence**  Personnel have the necessary knowledge, skills, experience, training, supporting infrastructure and capacity to effectively perform validation/verification activities. |  |  |  |  |  |
| 4.3.3 | **Confidentiality**  Confidential information obtained or created during validation/ verification activities is safeguarded and not inappropriately disclosed. |  |  |  |  |  |
| 4.3.4 | **Openness**  A VVB needs to provide public access to, disclosure of, appropriate information about its validation/verification process. |  |  |  |  |  |
| 4.3.5 | **Responsibility**  The client of the VVB, and not the VVB, has the responsibility for the claim and its conformity with the applicable specified requirements.  The VVB has the responsibility to base a validation/verification statement upon sufficient and appropriate objective evidence. |  |  |  |  |  |
| 4.3.6 | **Responsiveness to complaints**  Parties that have an interest in validation/verification have the opportunity to make complaints. These complaints are appropriately managed and resolved. Responsiveness to complaints is necessary in order to demonstrate integrity and credibility to all users of validation/verification outcomes. |  |  |  |  |  |
| 4.3.7 | **Risk-based approach**  VVBs need to take into account the risks associated with providing competent, consistent and impartial validation/ verification. Risks can include, but are not limited to, those associated with:   1. the objectives of the validation/verification and the programme requirements; 2. competence, consistency and real as well as perceived impartiality; 3. legal, regulatory and liability issues; 4. the client organization, where validation/verification is being carried out, and its management system, operating environment, geographic location, etc.; 5. the susceptibility of any parameter included in the claim to generate a material misstatement, even if there is a control system implemented; 6. the level of assurance to be achieved and the corresponding evidence-gathering used in the validation/verification process; 7. perception of interested parties; 8. misleading claims or misuse of marks by the client; 9. risk control and opportunities for improvement. |  |  |  |  |  |

## ISO 14065, 4.4 Conservativeness

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| **Result of review of documents and records:** | | |  |  |  |  |

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|  | When the body assesses comparable alternatives, preference is given to the alternative that is cautiously moderate. |  |  |  |  |  |

## ISO 14065, 4.5 Professional scepticism

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|  | Attitude based on recognition of the potential circumstances that can cause material misstatements in an environmental information statement. [🡺Note] |  |  |  |  |  |

# 5 General requirements

## 5.1 Legal entity

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| **Result of review of documents and records:** | | |  |  |  |  |

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| Findings / justification of findings / specifics / notes: | | | |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** | | | |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / notes: | | | |
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|  | The VVB shall be a legal entity, or a defined part of a legal entity, that can be held legally responsible for all its validation/ verification activities. [🡺NOTE] |  |  |  |  |  |
| With: | ISO 14065, 5.1  The body shall have a documented description of its legal status including, if applicable, the names of its owners and, if different, the names of the persons who control it. |  |  |  |  |  |

## 5.2 Responsibility for validation/verification statements

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| Findings / justification of findings / specifics / notes: | | | |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** | | | |
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|  | The VVB shall be responsible for, and shall retain authority for, its validation/verification statements. |  |  |  |  |  |
| With: | ISO 14065, 5.2  The body shall be responsible for the activities that it performs in AUP engagements and for the reports of factual findings that it issues as a result of the application of the procedures. |  |  |  |  |  |

## 5.3 Management of impartiality

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|  | **SA** |  |  |  |  |  |
| **Result of review of documents and records:** | | |  |  |  |  |

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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** | | | |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / notes: | | | |
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| 5.3.1 | Validation/verification activities shall be undertaken impartially. |  |  |  |  |  |
| 5.3.2 | The VVB 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 VVB shall monitor its activities and its relationships to identify threats to its impartiality. This monitoring shall include the relationships of its personnel. [🡺NOTE 1 to 4] |  |  |  |  |  |
| 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 VVB shall have top management commitment to impartiality. |  |  |  |  |  |
| 5.3.6 | The VVB 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 VVB shall consider the potential threat to impartiality (e.g. self-review and familiarity) and shall manage this risk accordingly. |  |  |  |  |  |
| 5.3.9 | The VVB 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 VVB poses an unacceptable threat to the impartiality of the VVB, the VVB shall not provide validation/ verification activities to clients who have received consultancy relating to the same claim. This includes potential clients with which the VVB is pre-engaged. |  |  |  |  |  |
| 5.3.11 | The VVB’s activities shall not be marketed or offered as linked with the activities of any organization that provides consultancy. |  |  |  |  |  |
| 5.3.12 | The VVB 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 VVB were used. A VVB 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 VVB 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. |  |  |  |  |  |
| With: | ISO 14065, 5.3  The body shall ensure, through a mechanism independent of its operations, that impartiality is being achieved. |  |  |  |  |  |

## 5.4 Liability

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| **Result of review of documents and records:** | | |  |  |  |  |

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| Findings / justification of findings / specifics / notes: | | | |
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| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** | | | |
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| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / notes: | | | |
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|  | The VVB 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 or reserves) to cover liabilities arising from its activities in each validation/verification programme and the geographic areas it operates. |  |  |  |  |  |

# 6 Structural requirements

## 6.1 Organizational structure and top management

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| 6.1.1 | The VVB 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 VVB 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 VVB 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 VVB shall identify the top management (board, group of persons, or person) having overall authority and responsibility for each of the following:   1. development of policies and establishment of processes relating to its operations; 2. supervision of the implementation of the policies and processes; 3. ensuring impartiality; 4. supervision of its finances; 5. development of validation/verification activities and requirements; 6. performance of validation/verification activities; 7. decisions and issue of validation/verification statements; 8. delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf; 9. contractual arrangements; 10. personnel competence requirements; 11. responsiveness to complaints and appeals; 12. management system of the VVB; 13. provision of adequate resources for validation/verification activities. |  |  |  |  |  |

## 6.2 Operational control

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| **Result of review of documents and records:** | | |  |  |  |  |

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| 6.2.1 | The VVB 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 VVB 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 VVB shall consider the risk that these activities pose to the competence, consistency and impartiality of the VVB. |  |  |  |  |  |

# 7 Resource requirements

## 7.1 General

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| **Result of review of documents and records:** | | |  |  |  |  |

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|  | The VVB shall have access to personnel, facilities, equipment, systems and support services that are necessary to perform its validation/verification activities. [🡺note] |  |  |  |  |  |

## 7.2 Personnel

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|  | **SA + TA** |  |  |  |  |  |
| **Result of review of documents and records:** | | |  |  |  |  |

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| 7.2.1 | The VVB shall have access to a sufficient number of competent persons to perform its validation/verification activities. [🡺Note] |  |  |  |  |  |
| 7.2.2 | The VVB shall require all personnel involved in validation/ verification activities to enter into a legally enforceable agreement by which the personnel commit themselves to the following:   1. to comply with the processes and instructions of the VVB, including those relating to impartiality and confidentiality; 2. to declare any prior and/or present association on their own part, or on the part of another person or organization with which they have a relationship (e.g. a family member or their employer), with a client of the VVB; 3. to reveal any situation known to them that can present them or the VVB with a perceived or actual conflict of interest. |  |  |  |  |  |
| 7.2.3 | The VVB shall use this information as input into identifying threats to impartiality raised by the activities of such personnel, or by the persons or organizations related to them (see 5.3.3). |  |  |  |  |  |
| 7.2.4 | All personnel of the VVB, either internal or external, that could influence the validation/verification activities, shall act impartially. |  |  |  |  |  |
| With: | ISO 14065, 7.2  For ISO/IEC 17029:2019, 7.2.4, note that verifiers and validators demonstrate compliance with ethical requirements by adhering to the principles included in Clause 4. |  |  |  |  |  |
| 7.2.5 | Within a period specified by the VVB, 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. The period shall be long enough to ensure that the threats to impartiality are minimized or eliminated. [🡺NOTE] |  |  |  |  |  |
| With: | ISO 14065, 7.2  For ISO/IEC 17029:2019, 7.2.5, the period specified shall not be less than two years. |  |  |  |  |  |
| 7.2.6 | Personnel, including any committee members, contractors, personnel of external bodies, or individuals acting on the VVB's behalf, shall keep confidential all information obtained or created during the performance of the body's validation/ verification activities. |  |  |  |  |  |
| 7.2.7 | The VVB shall communicate to personnel their duties, responsibilities and authorities. |  |  |  |  |  |

## 7.3 Management process for the competence of personnel

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| 7.3.1 | The VVB shall have a process for managing competence of its personnel involved in the validation/verification activities. |  |  |  |  |  |
| 7.3.2 | The processes shall require the VVB:   1. to determine the criteria for the competence of personnel for each function in the validation/verification process, including at least:  * the ability to apply generic validation/verification concepts (e.g. evidence gathering, risk, misstatements, level of assurance, materiality); * knowledge about the type and typical content  of the client’s claim; * knowledge of the programme requirements  (e.g. competence required for specific validation/verification process);  1. to identify training needs and provide, as necessary, training on validation/verification processes, requirements, methodologies, activities and other relevant validation/ verification programme requirements; 2. to demonstrate that the personnel have the required competence for the duties and responsibilities they undertake; 3. to formally authorize personnel for functions in the validation/verification process; 4. to monitor the performance of the personnel.   [🡺NOTE] |  |  |  |  |  |
| With: | ISO 14065, 7.3.2  In addition to having the process required by ISO/IEC 17029:2019, 7.3.1, the body shall establish, implement and maintain a process for:   1. defining required competencies for each programme and sector in which it operates; 2. ensuring that verifiers, validators, technical experts and reviewers have appropriate competencies; 3. ensuring that there is access to relevant internal or external expertise for advice on specific matters relating to the environmental information programme, validation/ verification activities, sectors or areas within the scope of their work.   The additional requirements and competencies for personnel given in Annexes D, E and F shall be followed as applicable. |  |  |  |  |  |
| 7.3.3 | The VVB shall have documented information demonstrating competence of its personnel involved in the validation/ verification activities. This includes relevant education, training, experience, performance monitoring, affiliations, and professional status. |  |  |  |  |  |
| With: | ISO 14065, 7.3.3  Regarding ISO/IEC 17029:2019, 7.3.3, note that performance monitoring shall be periodic. Monitoring techniques may include annual performance reviews, review of the reports, on the job monitoring and interviews. The monitoring techniques used shall be in proportion with the impact of the performance on the outcome of the validation/verification. |  |  |  |  |  |
| With: | ISO 14065, 7.3.4  The body shall establish competent validation/verification teams and shall provide appropriate management and support services. If one individual fulfils all the requirements for a validation/verification team, then that person may be considered as a validation/verification team. |  |  |  |  |  |
| With: | ISO 14065, 7.3.5  The validation/verification team shall have the ability to apply detailed knowledge of the applicable programme, including its:  a) eligibility requirements;  b) implementation in different jurisdictions, as applicable;  c) validation or verification requirements and guidelines. |  |  |  |  |  |
| With: | ISO 14065, 7.3.6  The validation/verification team shall have sufficient technical expertise to evaluate:  a) relevant activities and technologies;  b) quantification, monitoring and reporting, including relevant technical and sector issues |  |  |  |  |  |
| With: | ISO 14065, 7.3.7  The validation/verification team shall have data and information auditing expertise to evaluate the environmental information statement, including the ability:  a) to evaluate the information system to determine whether the responsible party has effectively identified, collected, analysed and reported on relevant environmental information, and has systematically taken corrective actions to address any misstatements and nonconformities;  b) to design an evidence-gathering plan;  c) to analyse risks associated with the use of data and data systems;  d) to identify failures in data and data systems;  e) to evaluate the impact of the various streams of data on the materiality of the environmental information statement. |  |  |  |  |  |
| With: | ISO 14065, 7.3.8  The validation/verification team shall be able to communicate effectively in appropriate languages on matters relevant to the validation or verification. |  |  |  |  |  |
| With: | ISO 14065, 7.3.9  The validation/verification team leader shall have:  a) sufficient knowledge and expertise of the competencies detailed in 7.3.1 to 7.3.5 to manage the validation / verification team in order to meet the validation or verification objectives;  b) the demonstrated ability to perform a validation or verification;  c) the demonstrated ability to manage audit teams. |  |  |  |  |  |

## 7.4 Outsourcing

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|  | In the absence of applicable programme prohibitions on outsourcing, the VVB may outsource validation /verification activities and shall:   1. retain full responsibility for the validation/verification; 2. not outsource the engagement activities (9.3), the decision on the confirmation of the claim and the issue of the statement (9.7); 3. have a legally enforceable agreement, including confidentiality and management of impartiality requirements, with each body that provides outsourced activities; 4. have ensured that the body that provides outsourced activities conforms with the applicable requirements of this document, including competence, impartiality and confidentiality and to any applicable programme requirements; 5. obtain consent from the client to use the organization that provides the outsourced activities.   [🡺NOTE 1, 2] |  |  |  |  |  |
| With: | ISO 14065, 7.4  For ISO/IEC 17029:2019, 7.4 b), note that “engagement activities” refers to the process by which an agreement between the client and the body is concluded. |  |  |  |  |  |

# 8 Validation/verification programme

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|  | The VVB shall apply one or more validation/verification programme(s) that are consistent with, and do not exclude the requirements of this document. [🡺NOTE 1, 2] |  |  |  |  |  |

# 9 Process requirements

## 9.1 General

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|  | The VVB shall complete the following process steps as validation/verification activities:  — pre-engagement (9.2);  — engagement (9.3);  — planning (9.4);  — validation/verification execution (9.5);  — review (9.6);  — decision and issue of the validation/verification statement (9.7);  — facts discovered after the issue of the validation/verification statement (9.8);  — handling of appeals (9.9);  — handling of complaints (9.10);  — records (9.11). |  |  |  |  |  |

## 9.2 Pre-engagement

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| **9.2.1** | The VVB shall require the client to submit information sufficient to carry out a pre-engagement review, including at least the following:   1. client name and the proposed claim to be validated/verified; 2. locations where the client’s activities are undertaken; 3. the validation/verification programme and associated specified requirements for the validation/verification; 4. the objectives and scope of the validation/verification; 5. reports, data and any other relevant information; 6. where known at this stage and where applicable, the materiality and the level of assurance; 7. any other information as required by the validation/verification programme. |  |  |  |  |  |
| **9.2.2** | The VVB shall conduct a pre-engagement review of the information received from the client to ensure that:   1. an applicable programme exists or a programme  is to be established; 2. the claim is understood (e.g. context, content and complexity); 3. the objectives and scope of the validation/verification  have been agreed with the client; 4. the specified requirements against which the claim will be validated/verified have been identified and are suitable; 5. where applicable, the materiality and level of assurance have been agreed; 6. the process for validation/verification activities can be achieved (e.g. evidence gathering activities, evaluation of gathered evidences); 7. the validation/verification duration can be estimated; 8. the VVB has identified and has access to the resources  and competences that are required to undertake the validation/verification; 9. the time frame for the planned validation/verification  can be proposed. |  |  |  |  |  |
| With: | ISO 14065, 9.2  In addition to the requirements given in ISO/IEC 17029:2019, 9.2.2, the validation/verification team shall ensure that the engagement type(s) has(ve) been identified.  Engagement type(s) may include verification, validation, AUP or a combination thereof. |  |  |  |  |  |
| **9.2.3** | Following the pre-engagement review of the submitted information by the client the VVB shall either accept or decline to perform validation/verification. |  |  |  |  |  |

## 9.3 Engagement

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| 9.3.1 | The VVB shall have an 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:   1. for second- and third-party validation/verification activities, a legally enforceable agreement (e.g. a contract); 2. for first party validation/verification activities, an internal agreement such as service level agreement, internal contract, statement of work, or other enforceable internal agreement. |  |  |  |  |  |
| 9.3.2 | The VVB shall ensure its agreement requires that the client complies at least with the following:   1. validation/verification requirements; 2. making all necessary arrangements for the conduct of the validation/verification, including provisions for examining documentation and access to all relevant processes, areas, records, and personnel; 3. where applicable, making provisions to accommodate observers; 4. complying with the rules of the VVB for reference to validation/verification or use of marks (10.3). |  |  |  |  |  |
| 9.3.3 | The agreement shall confirm that the client engages the VVB to undertake validation/verification activities, including the specification of:   1. the items listed in 9.2.2; 2. the specific requirements for the validation/verification activity, including any additional relevant requirements set by a programme or standard. |  |  |  |  |  |
| 9.3.4 | The VVB shall take responsibility for any inputs that it accepts to take into account as part of its validation/verification activities, including those that have been generated by the client or other external parties. |  |  |  |  |  |
| With: | ISO 14065, 9.3  In addition to the requirements given in ISO/IEC 17029:2019, 9.3.2, the client shall communicate any facts to the body that can affect the validity of an issued opinion. |  |  |  |  |  |

## 9.4 Planning

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| 9.4.1 | The VVB shall undertake the following planning activities taking into account the requirements specified in the applicable validation/verification programme before undertaking the validation/verification activities:   1. assign competent resources to undertake the activities; 2. determine the validation/verification activities based on the understanding of the claim; 3. assess the risk of a material misstatement regarding  the claim; 4. confirm the timing and access arrangements with  the client; 5. determine evidence-gathering activities needed to complete the validation/verification in accordance  with the specified requirements and consistent  with the results of b) and c); 6. prepare an evidence-gathering plan, taking into  account c) and any measures that the client has  in place to control sources of potential errors,  omissions and misrepresentations; 7. prepare a validation/verification plan (9.4.2)  considering the evidence-gathering plan as an input.   [🡺NOTE 1 to 4] |  |  |  |  |  |
| 9.4.2 | The VVB shall develop a validation/verification plan that describes activities and schedules, and that includes the following:   1. objectives and scope of validation/verification; 2. identification of the validation/verification team members and their roles and responsibilities in the team (e.g. team leader, observer); 3. time frame and duration of validation/verification activities; 4. specified requirements. |  |  |  |  |  |
| With: | ISO 14065, 9.4.2  In addition to the planning activities required in ISO/IEC 17029:2019, 9.4.1, the validation/verification team shall:  a) perform a strategic analysis to understand the nature and complexity related to the environmental information statement and to determine the extent of the validation/ verification activities based on the engagement type;  b) assess the risk of nonconformity to the criteria.  Figure 1 shows the general planning process. |  |  |  |  |  |
| 9.4.3 | The VVB shall 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. |  |  |  |  |  |
| With: | ISO 14065, 9.4.3  In addition to the requirements of ISO/IEC 17029:2019, 9.4.2, the validation/verification plan shall include the level of assurance and materiality. |  |  |  |  |  |
| 9.4.4 | The VVB shall communicate to the client the validation/ verification plan. |  |  |  |  |  |
| With: | ISO 14065, 9.4.4  The validation/verification plan and evidence-gathering plan shall be approved by the team leader. |  |  |  |  |  |
| With: | ISO 14065, 9.4.5  Amendments to the validation/verification plan and evidence-gathering plan shall be approved by the team leader in the following circumstances:  a) change in scope or timing of validation/verification activities;  b) change in evidence-gathering procedures;  c) change in locations and sources of information for evidence-gathering;  d) when the validation/verification process identifies new risks or concerns that could lead to material misstatements or nonconformities. |  |  |  |  |  |

## 9.5 Validation/verification execution

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| 9.5.1 | The VVB shall perform the validation/verification execution activities in accordance with the validation/verification plan. |  |  |  |  |  |
| 9.5.2 | The validation/verification plan shall be revised as necessary during the validation/verification execution activities. |  |  |  |  |  |
| 9.5.3 | Any revisions to the validation/verification plan shall be internally documented, including the reasons, and communicated to the client. |  |  |  |  |  |
| 9.5.4 | The body shall undertake the following activities:   1. collection of sufficient objective evidence on original data/information, ensuring its traceability through the data/information management process, any further analysis and calculation; 2. identification of misstatements and consideration of their materiality; 3. assessment of conformity with specified requirements, taking into account the validation/verification programme. |  |  |  |  |  |
| 9.5.5 | The VVB shall prepare the following:   1. a conclusion on the outcome of the activities in 9.5.4; 2. a draft validation/verification statement; 3. a report, if applicable.   [🡺NOTE] |  |  |  |  |  |

## 9.6 Review

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| 9.6.1 | The VVB shall undertake review activities. |  |  |  |  |  |
| 9.6.2 | The review shall be carried out by persons who have not been involved in the validation/verification execution. [🡺NOTE] |  |  |  |  |  |
| With: | ISO 14065, 9.6.2  In addition to the requirements in ISO/IEC 17029:2019, 9.6.2, the review shall be carried out by persons who have not been involved in the planning (see 9.4) and are not part of the validation/verification team. [🡺NOTE] |  |  |  |  |  |
| 9.6.3 | The review shall confirm:   1. that all validation/verification activities have been completed in accordance with the agreement and the programme; 2. sufficiency and appropriateness of evidence to support the decision; 3. whether significant findings have been identified, resolved, and documented. |  |  |  |  |  |
| With: | ISO 14065, 9.6.3  For ISO/IEC 17029:2019, 9.6.3 c), note that “significant findings” are misstatements and nonconformities identified by the validation/verification team that could affect the opinion. |  |  |  |  |  |
| 9.6.4 | The reviewer shall communicate with the validation/verification team when the need for clarification arises. The validation/ verification team shall address concerns raised by the reviewer. |  |  |  |  |  |
| With: | ISO 14065, 9.6.4  In addition to the requirements of ISO/IEC 17029:2019, 9.6.3, the review shall confirm:  a) the competencies of validation/verification team members for the activities that they conducted;  b) 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;  c) significant decisions made by the validation/verification team during the validation/verification;  d) whether the opinion is appropriately drafted;  e) whether the environmental information statement is fairly stated and conforms to criteria. |  |  |  |  |  |
| 9.6.5 | The review shall have available all records of the validation/ verification activities as specified in 9.11. |  |  |  |  |  |
| With: | ISO 14065, 9.6.5  In addition to the requirements of ISO/IEC 17029:2019, 9.6.5, the review may be started at any time during the process before the opinion is issued to allow significant issues identified by the reviewer to be resolved, provided that the independence of the reviewer is maintained, and the activities planned and undertaken by the reviewer(s), including the results, are documented. [🡺NOTE] |  |  |  |  |  |
| With: | ISO 14065, 9.6.6  The review shall be completed before the final opinion, or the report of factual finding for the AUP, is issued. |  |  |  |  |  |

## 9.7 Decision and issue of the validation/verification statement

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| **9.7.1** | **Decision** |  |  |  |  |  |
| 9.7.1.1 | Upon completion of the validation/verification review, the VVB shall make the decision on whether or not to confirm the claim. |  |  |  |  |  |
| 9.7.1.2 | The decision shall be made by persons who have not been involved in the validation/verification execution. [🡺NOTE] |  |  |  |  |  |
| With: | ISO 14065, 9.7.1.2  Regarding ISO/IEC 17029:2019, 9.7.1.1, note that the reference to the word “claim” means “environmental information statement” in this document. A claim can be confirmed when the body concludes that the claim is materially correct and conforms with specified criteria. |  |  |  |  |  |
| 9.7.1.3 | Based on this decision, a validation/verification statement is issued or not issued according to the programme requirements. |  |  |  |  |  |
| With: | ISO 14065, 9.7.1.3  The VVB shall decide whether to confirm an environmental information statement that it has tested using AUP in a mixed engagement. The decision shall be based upon the body’s report of factual findings (see Annex C). |  |  |  |  |  |
| 9.7.1.4 | When the VVB is not issuing a validation/verification statement, the VVB shall inform the client. |  |  |  |  |  |
| With: | ISO 14065, 9.7.1.4  Regarding ISO/IEC 17029:2019, 9.7.1.2, note that the person assigned to make the decision may be the reviewer. The decision shall be made by persons who have not been involved in the validation/verification planning (see 9.4). |  |  |  |  |  |
| With: | ISO 14065, 9.7.1.5  Regarding ISO/IEC 17029:2019, 9.7.1.3, note that the reference to the word “statement” means “verification opinion or validation opinion” in this document.  In the case of AUP, the decision is issued through a report of factual findings.  Bodies may choose not to issue an opinion when the engagement is terminated prior to completion. |  |  |  |  |  |
| With: | ISO 14065, 9.7.1.6  If an opinion is issued, the body shall select one type of opinion, such as:  a) unmodified;  a) modified;  b) adverse.  [🡺NOTE] |  |  |  |  |  |
| With: | ISO 14065, 9.7.1.7  The body may disclaim the issuance of an opinion when it is unable to obtain sufficient and appropriate evidence to come to a conclusion. In this case, the body shall ensure that it has been unable to obtain sufficient appropriate evidence and can conclude that the possible effects on the environmental information statement of undetected material misstatement(s) are material and pervasive (see Tables A.1 and A.2). |  |  |  |  |  |
| With: | ISO 14065, 9.7.1.8  At the conclusion of an engagement to verify statements of historical information, the verification body shall issue an opinion, unless it has disclaimed the issuance of an opinion or the engagement type is AUP. An opinion providing assurance to intended users shall be based upon the verification of sufficient and appropriate historical evidence. [🡺NOTE] |  |  |  |  |  |
| With: | ISO 14065, 9.7.1.9  At the conclusion of an engagement to validate statements about the outcome of future activities, the validation body shall issue an opinion, unless it has disclaimed the issuance of an opinion. A validation opinion on the reasonableness of the assumptions, limitations and methods used to forecast information shall be based upon the evaluation of sufficient and appropriate information. |  |  |  |  |  |
| **9.7.2** | **Issue of the validation/verification statement**  When the VVB issues a validation/verification statement, (9.7.1) the statement shall:   1. state the client’s name; 2. identify whether it is a validation statement or  a verification statement; 3. refer to the claim, including date or period which  the claim covers; 4. include the type of the VVB in relation to the statement in question (i.e. first party, second party or third party); 5. include the name and address of the VVB (if symbols,  e.g. accreditation symbol, are included, they shall not be misleading or ambiguous); 6. describe the objectives and scope of the validation/ verification; 7. describe whether the data and information supporting the claim were hypothetical, projected and/or historical in nature; 8. include a reference to the validation/verification programme and associated specified requirements; 9. include the decision made about the claim, including  the fulfilment of any programme related requirements  e.g. materiality or level of assurance); 10. indicate the date and the unique 11. include any findings, that have not been addressed prior  to the issue of the validation/verification statement, if required by the programme. |  |  |  |  |  |
| With: | ISO 14065, 9.7.2  If the environmental information statement includes a mixture of hypothetical, projected and/or historical information, the validation and verification opinion may be included in the same document.  The opinion shall contain:  — identification of the environmental information-related activity (e.g. organization, project or product);  — identification of the responsible party;  — a statement that the environmental information statement is the responsibility of the responsible party;  — identification of the criteria agreed by the responsible party and the body for the development of the environmental information statement;  — identification of the criteria used by the body to validate or verify the environmental information statement;  — where the environmental information statement includes future predictions, an explanation that the actual result can differ from the estimate because the assumptions upon which the estimate is based can change.  The opinion may contain statements that limit the liability of the body.  A modified opinion shall contain a description of the reason for the modification. If the reason for the modified opinion is quantitative, the body’s opinion shall indicate the value of the material misstatement and its effect on the environmental information statement.  An adverse opinion shall include the reason(s) for the adverse opinion.  When disclaiming the issuance of an opinion, the body shall provide an explanation. |  |  |  |  |  |

## 9.8 Facts discovered after the issue of the validation/verification statement

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| 9.8.1 | If new facts or information that could materially affect the validation/verification statement are discovered after the issue date, the VVB shall:   1. communicate the matter as soon as practicable to the client and, if required, the programme owner; 2. take appropriate action, including the following:   1) discuss the matter with the client;  2) consider if the validation/verification statement  requires revision or withdrawal. |  |  |  |  |  |
| 9.8.2 | If the validation/verification statement requires revision, the VVB shall implement processes to issue a new statement including specification of the reasons for the revision. These can include repeating relevant steps of the validation/verification process. |  |  |  |  |  |
| 9.8.3 | The VVB 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. |  |  |  |  |  |

## 9.9 Handling of appeals

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| 9.9.1 | The VVB 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:   1. a description of the process for receiving, investigating, substantiating the appeal, and deciding what actions  are to be taken in response; 2. tracking and recording the appeal, including the actions  to resolve it; 3. ensure appropriate action is taken. |  |  |  |  |  |
| 9.9.3 | The VVB receiving the appeal shall be responsible for gathering all necessary information to determine whether the appeal is substantiated. |  |  |  |  |  |
| 9.9.4 | The VVB 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. |  |  |  |  |  |

## 9.10 Handling of complaints

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| 9.10.1 | The VVB 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:   1. a description of the process for receiving, substantiating, investigating the complaint, and deciding what actions are to be taken in response; 2. tracking and recording the complaint, including the actions undertaken to resolve it; 3. ensuring appropriate action is taken. |  |  |  |  |  |
| 9.10.3 | The VVB receiving the complaint shall be responsible for gathering all necessary information to determine whether the complaint is substantiated. |  |  |  |  |  |
| 9.10.4 | Whenever possible, the VVB 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. Where resources do not permit this, any alternative approach shall not compromise impartiality. |  |  |  |  |  |

## 9.11 Records

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| 9.11.1 | The VVB shall maintain and manage records of its validation/ verification activities including:   1. information submitted during pre-engagement and scopes of validation/verification; 2. justification for how validation/verification duration is determined; 3. any revisions to the validation/verification planning activities; 4. demonstration that the validation/verification activities have been carried out in accordance with the requirements of this document and the validation/verification programme including findings and information on material or non-material misstatements; 5. evaluation, selection and monitoring of performance of bodies providing outsourced activities; 6. evidence to support conclusions and the decisions; 7. validation/verification statements; 8. complaints and appeals, and any subsequent correction or corrective actions. |  |  |  |  |  |
| 9.11.2 | The VVB shall maintain validation/verification records securely and confidentially, including during their transport, transmission, or transfer. |  |  |  |  |  |
| 9.11.3 | The VVB shall retain validation/verification records in accordance with the programme, contractual, and other management system requirements. [🡺NOTE] |  |  |  |  |  |

# 10 Information requirements

## 10.1 Publicly available information

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| 10.1.1 | The VVB shall ensure the following information is made publicly available:   1. information about the validation/verification process; 2. commitment to impartiality; 3. list of validation/verification activities the VVB provides, including reference to applicable programmes; 4. complaints and appeals process. |  |  |  |  |  |
| With: | ISO 14065, 10.1  Publicly provided information shall include any requirements regarding the use of the body’s opinion in its entirety  (see Annex B). |  |  |  |  |  |

## 10.2 Other information to be available

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| 10.2.1 | The VVB shall maintain and, upon request, provide clear, traceable, and accurate information about its activities and the sectors in which it operates. |  |  |  |  |  |
| 10.2.2 | Unless otherwise specified in the programme, the VVB  shall provide, upon request, the status of a given validation/ verification statement. |  |  |  |  |  |
| With: | ISO 14065, 10.2.2  For ISO/IEC 17029:2019, 10.2.2, note that the status of the validation/verification opinion can be confirmation of the identity of the body that issued the opinion, its date of issuance and, if applicable, the revision date. |  |  |  |  |  |
| 10.2.3 | The VVB shall provide information and update clients on the following:   1. the applicable validation/verification programmes and  any changes; 2. the fees for the validation/verification activity; 3. the VVB’s requirements for the client to:   1) comply with the validation/verification programme;  2) make all necessary arrangements for the conduct  of the validation/verification activities;  3) make provisions, where applicable, to accommodate  the presence of observers (e.g. accreditation assessors or trainee validator/verifier);   1. its policy governing any statement that the client is authorized to use when making reference to its validation/verification statement in communication  of any kind in line with the requirements in 10.3. |  |  |  |  |  |
| With: | ISO 14065, 10.2.3  In addition to the requirements of ISO/IEC 17029:2019, 10.2.3, the validation/verification team shall provide a detailed description of the validation/verification process. [🡺NOTE] |  |  |  |  |  |

## 10.3 Reference to validation/verification and use of marks

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| 10.3.1. | A VVB shall have rules governing any reference to validation/ verification or use of its marks that it authorizes its clients to use. These rules shall ensure, among other things, traceability back to the VVB and to the validation/verification statement issued. |  |  |  |  |  |
| 10.3.2. | This reference or marks shall be used only in relation to the claim which has been validated/verified and shall not be misleading with regards to product certification. |  |  |  |  |  |
| With: | ISO 14065, 10.3.2  The body shall ensure its agreement requires that the client shall not use the environmental information statement, opinion, report, marks, logos or labels in a manner that could mislead intended users or impair the reputation of the body.  Marks, logos and labels may include symbols of the body or those associated with a programme.  The body shall establish rules applying to references to data and information in an environmental information statement that were validated or verified. [🡺NOTE] |  |  |  |  |  |
| With: | ISO 14065, 10.3.3  The body’s agreement shall require the client to ensure that any opinions or reports of factual findings made public by the client are communicated in their entirety. |  |  |  |  |  |

## 10.4 Confidentiality

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| 10.4.1 | The VVB 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 VVB shall inform the client, in advance, of the information it intends to place in the public domain. |  |  |  |  |  |
| 10.4.3 | Except for information that the client makes publicly available, or when agreed between the VVB and the client, all other information is considered proprietary information and shall be regarded as confidential. |  |  |  |  |  |
| 10.4.4 | When the VVB is required by law or authorized by contractual arrangements to release confidential information, the client or individual concerned shall, unless prohibited by law, be notified of the information released. |  |  |  |  |  |
| 10.4.5 | Information about the client obtained from sources other than the client (e.g. complainant, regulatory authority) shall be confidential between the client and the VVB. The provider (source) of this information shall be confidential to the body and shall not be shared with the client, unless agreed by the source. |  |  |  |  |  |

# 11 Management system requirements

## 11.1 General

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| 11.1.1 | The VVB shall establish, document, implement and maintain a management system to support and demonstrate the consistent achievement of the requirements of this document. |  |  |  |  |  |
| 11.1.2 | The management system of the VVB shall include at least the following:  — policies and responsibilities;  — management review (11.2);  — internal audits (11.3);  — corrective actions (11.4);  — actions to address risks and opportunities (11.5);  — documented information (11.6). |  |  |  |  |  |
| 11.1.3 | A VVB can meet 11.1.2 by establishing and maintaining a quality management system, in accordance with the requirements of ISO 9001. This quality management system shall support and demonstrate the consistent fulfilment of the requirements of this document. |  |  |  |  |  |

## 11.2 Management review

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| 11.2.1 | The VVB's management shall review its management system at planned intervals, in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this document. |  |  |  |  |  |
| 11.2.2 | The inputs to management review shall be recorded and shall include information related to the following:   1. changes in internal and external issues that are relevant  to the VVB; 2. fulfilment of objectives; 3. suitability of policies and procedures; 4. status of actions from previous management reviews; 5. outcome of recent internal audits; 6. corrective actions; 7. assessments by external bodies; 8. changes in the volume and type of the work or in the range of VVB's activities; 9. client and personnel feedback; 10. complaints and appeals; 11. effectiveness of any implemented improvements; 12. adequacy of resources; 13. results of risk analysis; 14. other relevant factors, such as monitoring activities and training. |  |  |  |  |  |
| 11.2.3 | The outputs from the management review shall record all decisions and actions related to at least:   1. the effectiveness of the management system and its processes; 2. improvement of the VVB's activities related to the fulfilment of the requirements of this document; 3. provision of required resources; 4. any need for change. |  |  |  |  |  |
| With: | ISO 14065, 11.2  The management review shall be conducted at least once a year, not exceeding 15 months between management reviews. |  |  |  |  |  |

## 11.3 Internal audits

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| 11.3.1 | The VVB shall conduct internal audits at planned intervals to provide information on whether the management system:   1. conforms to:   — the VVB’s own requirements for its management system, including the validation/verification activities;  — the requirements of this document;   1. is effectively implemented and maintained. |  |  |  |  |  |
| 11.3.2 | The VVB shall:   1. plan, establish, implement and maintain an audit programme including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the VVVB's activities concerned, changes affecting the VVB and the results of previous audits; 2. define the audit criteria and scope for each audit; 3. ensure that the results of the audits are reported to relevant personnel; 4. implement appropriate correction and corrective actions without undue delay; 5. retain records as evidence of the implementation of the audit programme and the audit results.   [🡺NOTE] |  |  |  |  |  |
| 11.3.3 | The VVB shall ensure that its internal auditors do not audit their own work. |  |  |  |  |  |
| With: | ISO 14065, 11.3  The internal audit shall be conducted at least once a year, not exceeding 15 months between audits. |  |  |  |  |  |

## 11.4 Corrective action

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|  | The VVB shall establish processes for identification and management of nonconformities in its activities. The VVB shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the impact of the problems encountered. The processes shall define requirements for:   1. identifying nonconformities (e.g. from valid complaints  and internal audits); 2. determining the causes of nonconformity; 3. correcting nonconformities; 4. evaluating the need for actions to ensure  that nonconformities do not recur; 5. determining and implementing in a timely manner,  the actions needed; 6. recording the results of actions taken; 7. reviewing the effectiveness of corrective actions. |  |  |  |  |  |

## 11.5 Actions to address risks and opportunities

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| 11.5.1 | The VVB shall consider the risks and opportunities associated with the validation/verification activities in order to:   1. give assurance that the management system achieves  its intended results; 2. enhance opportunities to achieve the programme  and objectives of the VVB; 3. prevent, or reduce, undesired impacts and potential  failures in the VVB's activities; 4. achieve improvement. |  |  |  |  |  |
| 11.5.2 | The VVB shall plan:   1. actions to address these risks and opportunities; 2. how to integrate and implement these actions into its management system; 3. how to evaluate the effectiveness of these actions.   [🡺NOTE] |  |  |  |  |  |
| 11.5.3 | Actions taken to address risks and opportunities shall be proportional to the potential impact on the validation/ verification statement. [🡺NOTE 1, 2] |  |  |  |  |  |

## 11.6 Documented information

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| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **SA + TA** |  |  |  |  | |  |
| **Result of review of documents and records:** | | |  |  |  |  | |

|  |  |  |  |
| --- | --- | --- | --- |
| Findings / justification of findings / specifics / notes: | | | |
|  | | | |
| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** | | | |
| No. | OE | Title / Description | Date / Version |
|  |  |  |  |
|  |  |  |  |
| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / notes: | | | |
|  | | | |

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| 11.6.1 | The VVB shall control documented information required by the management system and by this document to ensure that it is:   1. available and suitable for use, where and when it is needed, and 2. adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity). |  |  |  |  |  |
| 11.6.2 | For the control of documented information, the VVB shall address the following activities, as applicable:   1. distribution, access, retrieval and use; 2. storage and preservation, including preservation of legibility; 3. control of changes (e.g. version control); 4. retention and disposition. |  |  |  |  |  |
| 11.6.3 | Documented information of external origin determined by the VVB to be necessary for the planning and operation of the management system 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. [🡺NOTE 1, 2] |  |  |  |  |  |

# Further issues of the assessment

| **Additional requirements** | **Responsible** | **Reference documents** | **Appraisal\*** | | | | **No. of** |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **for the implementation** | **1** | **2** | **3** | | **NC\*\*** |
| * **Use of the accreditation symbol / References to the accreditation** | **SA**  (If no SA used: LA) |  |  |  |  | |  |
| Compliance with the rule 71 SD 0 011 on the use of the accreditation symbol in validation and verification reports, business letters, offers, letterhead, website, other documents and advertising media as well as on other cross references to the accreditation **(Not applicable for the assessment for initial accreditation)** | |
| **Result of review of documents and records:** | | |  |  |  |  | | |

|  |  |  |  |
| --- | --- | --- | --- |
| Findings / justification of findings / specifics / notes: | | | |
|  | | | |
| **Objective evidence / Reviewed documents (OE/RD) during the assessment:** | | | |
| No. | OE | Title / Description | Date / Version |
|  |  |  |  |
|  |  |  |  |
| **Result of assessment:** Findings / justification of findings / sectorspecific provisions / notes: | | | |
|  | | | |

| **Compliance of relevant IAF- and EA-Rules** | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Rule** | | **Responsible** | **Reference dokuments** | **Appraisal\*** | | | **No. of** |
|  |  | |  | **for the implementation** | **1** | **2** | **3** | **NC\*\*** |
| **IAF MD 6** | Application of ISO 14065:2013 | | **SA + TA** |  |  |  |  |  |
| Applicable: | Yes | No | | | | | | |

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| Notes: |  |

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| **EA-6/03** | Recognition of Verifiers under EU ETS | | **SA + TA** |  |  |  |  |  |
| Applicable: | Yes | No | | | | | | |

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| Notes: |  |

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| * Fulfilment of imposed conditions and implementation of the corrective actions from the previous assessment | | | **SA + TA** |  |
| Yes | No | Not applicable | | |

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| Notes: |  |

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| **Preliminary assessment of documents and records completed on:** |  |

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| --- | --- | --- | --- | --- |
| **No. of non-conformities:** | Non critical: |  | Critical: |  |

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| **Reductions of the scope of accreditation (indication of validation and verification methods):** |

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| **Summary, remarks and improvement potential** |
| Appropriateness of personnel and other resources • fulfilment of additional requirements • overall impression with respect to the validation/ verification body’s particularities, strengths and areas requiring improvement, appraisal of the appropriateness and effectiveness of the quality system including potential for improvement • final evaluation • key aspects/consideration for the following assessment, if applicable |

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| **Recommendation on accreditation:**[[6]](#endnote-6)), [[7]](#endnote-7)) | | | **Yes** | **No** | |
| Place: |  | Date: |  | Signed *ASSESSOR NAME*: | [[8]](#endnote-8) |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Report reviewed by the case manager:** | | |  | | |
| Place: |  | Date: |  | Signed *CASE Manager:* |  |

Note: The assessor does not confirm the complete correctness of the reference documents of the conformity assessment body.

**\*** Grading of fulfilment the requirements of a section of the standard to be entered by the assessor:

1 **No** non-conformity

2 **Non critical** non-conformity

3 **Critical** non-conformity

\*\* NC = Non-conformity

1. Under assessment type, the assessment technique is to be indicated, whereby several assessment types can be used in the context of an assessment. Please select the applicable element or combination of elements from the following options to indicate the type of assessment:

   On-site assessment / Remote assessment / Witness audit (on-site) / Witness audit (remote) / Witness examination / Document review / Other assessment activity (please specify if necessary) [↑](#endnote-ref-1)
2. Status in the assessment team: LA=Lead Assessor; SA=System Assessor; TA=Technical Assessor; TE=Technical expert; O=Observer [↑](#endnote-ref-2)
3. Only if the review of documents and records reveals that an assessment cannot be performed, the assessor prepares   
   a separate partial assessment report/checklist for the review of documents and records according to this form. [↑](#endnote-ref-3)
4. As an alternative to entering the OE/RD here, the separate form provided for this purpose can be used. [↑](#endnote-ref-4)
5. “Objective evidence” are to be distinguished from „Reviewed documents“ by marking with a cross „x“. [↑](#endnote-ref-5)
6. In the closing meeting the laboratory was informed about the preliminary result of the assessment, non-conformity reports   
   were handed over, if applicable. [↑](#endnote-ref-6)
7. Subject to a sufficient correction of non-conformities [↑](#endnote-ref-7)
8. This report was prepared personally by on . [↑](#endnote-ref-8)