



International Management Accreditation Board

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Checklist

According to DIN EN ISO 14065:2013 for Validation and Verification bodies for greenhouse gases

Name of CAB		
Address of CAB		
Case number		
Date of assessment		
With several locations	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Assessed locations:		
(Name)/Address:		
(Name)/Address:		
(Name)/Address:		

Assessed area (technical fields of CAB, testing fields, sector-specific requirements)

Details of the assessor

<input type="checkbox"/> Lead assessor	<input type="checkbox"/> System assessor	<input type="checkbox"/> Assessor	<input type="checkbox"/> Technical expert	<input type="checkbox"/> Observer
Name	/			
Institution				
Telephone / Fax				
E-Mail				



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General notes in order to use the checklist for greenhouse gas validation and verification bodies laboratories

This checklist for greenhouse gas validation and verification bodies is based on the standard text of DIN EN ISO 14065:2013. The notes are not requirements.

The 1st column refers to the DIN EN ISO 14065:2013 clauses and the 2nd column to the related standard text. In 3rd column, the applicant shall fill in the following information:

Where is the implementation of this requirement documented? (Indication of reference documents)
 Requirements which do not apply shall be marked as “0” with duly substantiated reasons.

In 4th column, the assessor shall give an appraisal rating during the preparation of assessment (document review - A doc.) and in 5th column, assessor shall justify the reasons “noncritical nonconformity verified” or “critical nonconformity verified” in column 3. With no non-conformity for a standard item, the evaluation will suffice in line one of the clause.

Findings recognized during the preparation and during the assessment shall be filled in the assessment report as a summary. There reference may also be made to the Objective evidence (OE), Reviewed documents (RD) or to other annexes.

		Where is the implementation of this requirement documented?	A doc.	A doc.
4	Principles			
4.1	General This International Standard cannot anticipate all possible situations. The following principles, therefore, provide additional guidance in assessing unanticipated situations. Principles are not requirements. In some cases, validation or verification bodies might need to find an appropriate balance between principles such as openness and confidentiality.			
4.2	Impartiality Decisions are based on objective evidence obtained through the validation or verification process and not influenced by other interests or parties.			
4.3	Competence Personnel have the necessary skills, experience, supporting infrastructure and capacity to effectively complete validation or verification activities.			
4.4	Factual approach to decision making The validation or verification statement is based on evidence collected through an objective validation or verification of the responsible party's GHG assertion.			
4.5	Openness Timely information about the status of the validation or verification is accessible or disclosed appropriately to intended users, the client or responsible party.			
4.6	Confidentiality Confidential information obtained or created during validation or verification activities is safeguarded and not inappropriately disclosed.			



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5	General requirements		
5.1	<p>Legal status The validation or verification body shall have a description of its legal status, including, if applicable, the names of its owners and, if different, the names of the persons who control it.</p> <p>NOTE A governmental validation or verification body is deemed to be a legal entity on the basis of its government status.</p>		
5.2	<p>Legal and contractual matters The validation or verification body shall be a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its validation or verification activities.</p> <p>The validation or verification body shall have a legally enforceable agreement with each client for the provision of validation or verification services.</p> <p>The validation or verification body shall retain authority and responsibility for its validation or verification activities, decisions and validation or verification statements.</p>		
5.3	<p>Governance and management commitment The validation or verification body shall identify top management (e.g. individual, group, board) having overall authority and responsibility for</p> <ul style="list-style-type: none"> a) development of operational policies, b) supervision of the implementation of policies and procedures, c) supervision of finances, d) the adequacy of validation or verification activities, e) the resolution of appeals and complaints, f) validation or verification statements, g) delegation of authority to committees or individuals to undertake, as required, defined activities on its behalf, h) contractual arrangements, and i) providing adequate, competent resources for validation or verification activities. <p>The validation or verification body shall document its organizational structure and relevant mechanisms showing duties, responsibilities and authorities of management and other validation or verification personnel. ' If the validation or verification body is a defined part of a legal entity, the structure shall include the line of authority and relationship to other parts of the same legal entity.</p>		



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5.4	Impartiality			
5.4.1	<p>Commitment to impartiality The validation or verification body shall act impartially and shall avoid unacceptable conflicts of interest. The validation or verification body</p> <ul style="list-style-type: none"> a) shall have commitment by top management to act impartially in validation or verification activities; b) shall make publicly available a statement that describes its understanding of the importance of impartiality in validation or verification activities, how it manages conflict of interest and how it ensures the objectivity of validation or verification activities; c) shall have formal rules and/or contractual conditions to ensure that each team member acts in an impartial manner; d) shall document how it manages potential conflict of interest situations and risks to impartiality from within the validation or verification body or any relationships by <ul style="list-style-type: none"> 1) identifying and analyzing potential conflict of interest situations from validation or verification activities, including potential conflicts arising from any relationships 2) evaluating finances and sources of income to demonstrate that commercial, financial or other factors do not compromise impartiality, and 3) requiring personnel relevant to the validation or verification to reveal any situation that presents them or the validation or verification body with a potential conflict of interest. <p><i>NOTE Annex B provides informative guidance on managing validator or verifier impartiality.</i></p>			
5.4.2	<p>Avoidance of conflict of interest The validation or verification body</p> <ul style="list-style-type: none"> a) shall not use personnel with an actual or potential conflict of interest; b) shall not validate and verify GHG assertions from the same GHG project unless allowed by the applicable GHG program; c) shall not validate or verify a GHG assertion where it provided GHG consultancy services to the responsible party that support the GHG assertion; d) shall not validate or verify a GHG assertion where a relationship with those who provided GHG consultancy services to the responsible party that support the GHG assertion poses an unacceptable risk to impartiality (see Note 1); e) shall not validate or verify a GHG assertion using personnel who were engaged by those who provided GHG consultancy services to the responsible party in support of the GHG assertion; f) shall not outsource the review and issuance of the validation or verification statement (see 8.5); g) shall not offer products or services that pose an unacceptable risk to impartiality; h) shall not state or imply that validation or verification of a GHG assertion would be simpler, easier, faster or less expensive if a specified GHG consultancy service were used (see Note 2). 			



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<p>5.4.3</p>	<p>Mechanism for oversight of impartiality The validation or verification body shall ensure through a mechanism independent of operations of the validation or verification body that impartiality is being achieved.</p> <p><i>NOTE An independent mechanism that might be used to safeguard impartiality where conflict of interest, business and operational issues could compromise the integrity of the validation or verification could involve</i></p> <ul style="list-style-type: none"> – an independent committee, – a GHG program that includes an impartiality monitoring function, or – non-executive directors. 			
<p>5.5</p>	<p>Liability and financing The validation or verification body shall demonstrate that it has evaluated financial risks associated with its activities and has arrangements (e.g. insurance, reserves) sufficient to cover liabilities arising from the activities and areas in which it operates.</p>			



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6	Competencies			
6.1	<p>Management and personnel The validation or verification body shall establish and maintain a procedure</p> <ul style="list-style-type: none"> a) to determine required competencies for each sector in which it operates, b) to demonstrate that management and support personnel have appropriate competencies in activities associated with the validation or verification, c) to demonstrate that validators, verifiers and technical experts have appropriate competencies, and d) to have access to relevant internal or external expertise for advice on specific matters relating to validation or verification activities, sectors or areas within the scope of their work. <p>The validation or verification body shall document fulfillment of the above procedure in identifying and demonstrating management and personnel competencies.</p>			
6.2	<p>Competencies of personnel The validation or verification body</p> <ul style="list-style-type: none"> a) shall employ personnel having sufficient competence for managing the type and range of its validation or verification activities, b) shall employ, or have access to, a sufficient number of validation or verification team leaders, validators or verifiers and technical experts to cover the scope, extent and volume of its validation or verification activities, c) shall use validators, verifiers and technical experts only for specific validation or verification activities where they have demonstrated competence, d) shall make clear to appropriate personnel relevant duties, responsibilities and authorities, e) shall have defined processes for selecting, training, formally authorizing and monitoring validators or verifiers and for selecting technical experts used in the validation or verification process, f) shall ensure that validators and verifiers and, where required, technical experts have access to up-to-date information on, and have demonstrated knowledge of, GHG validation or verification processes, requirements, methodologies, activities, other relevant GHG program provisions and applicable legal requirements, g) shall ensure that the group or individual who prepares and writes the validation or verification statement has the competence to evaluate validation or verification processes and related findings and recommendations of the team, h) shall periodically monitor the performance of all persons involved in the validation or verification (including a combination of on-site observation, review of validation or verification findings, reports and feedback from clients or the market), taking into account their level of activity and the risk associated with their activities, and i) shall identify training needs and provide, as necessary, training on GHG validation or verification processes, requirements, methodologies, activities and other relevant GHG program requirements. 			



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6.3	Deployment of personnel			
6.3.1	<p>General The validation or verification body shall establish competent validation or verification teams and shall provide appropriate management and support services.</p> <p>If one individual fulfils all the requirements for either a validation or verification team, then that person may be considered as a validation or verification team.</p> <p>Further competence requirements for greenhouse gas validation teams and verification teams are contained in ISO 14066.</p>			
6.3.2	<p>Validation or verification team knowledge The validation or verification team shall have detailed knowledge of the applicable GHG program, including its</p> <p>a) eligibility requirements, b) implementation in different jurisdictions as applicable, and c) validation or verification requirements and guidelines.</p> <p>The validation or verification team shall be able to communicate effectively in appropriate languages on matters relevant to the validation or verification.</p>			
6.3.3	<p>Validation or verification team technical expertise The validation or verification team shall have sufficient technical expertise to assess the GHG project's or organization's</p> <p>a) specific GHG activity and technology, b) identification and selection of GHG sources, sinks or reservoirs, c) quantification, monitoring and reporting, including relevant technical and sector issues, and d) situations that may affect the materiality of the GHG assertion, including typical and atypical operating conditions.</p> <p>The validation or verification team shall have expertise to evaluate the implications of financial, operational, contractual or other agreements that may affect GHG project or organization boundaries, including any legal requirements related to the GHG assertion.</p>			
6.3.4	<p>Validation or verification team data and information auditing expertise The validation or verification team shall have data and information auditing expertise to assess the GHG assertion of the GHG project or organization, including the ability</p> <p>a) to assess the GHG information system to determine whether the project proponent or organization has effectively identified, collected, analyzed and reported on the data necessary to establish a credible GHG assertion, and has systematically taken corrective actions to address any nonconformities related to requirements of the relevant GHG b) to design a sampling plan based on an appropriate, agreed level of assurance, c) to analyze risks associated with the use of data and data systems, d) to identify failures in data and data systems, and e) to assess the impact of the various streams of data on the materiality of the GHG assertion.</p>			



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6.3.5	<p>Specific GHG project validation team competencies In addition to the requirements given in 6.3.2, 6.3.3 and 6.3.4, the validation team shall have the expertise to assess processes, procedures and methodologies used</p> <ul style="list-style-type: none"> a) to select, justify and quantify the baseline scenario, including underlying assumptions, b) to determine the conservativeness of the baseline scenario, c) to define the baseline scenario and GHG project boundaries, d) to demonstrate equivalence between the type and level of activities, goods or services of the baseline scenario and the GHG project, e) to demonstrate that GHG project activities are additional to baseline scenario activities, and f) to demonstrate conformity, if appropriate, with GHG program requirements such as leakage and permanence. <p><i>NOTE ISO 14064-2 includes requirements and guidance on the principle of conservativeness and the concept of equivalence.</i></p> <p>In addition to the requirements given in 6.3.2, 6.3.3 and 6.3.4, the validation team shall have knowledge of relevant sector trends that may impact selection of the baseline scenario.</p>			
6.3.6	<p>Specific GHG project verification team competencies In addition to the requirements given in 6.3.2, 6.3.3 and 6.3.4, the project verification team shall have the expertise appropriate to assess processes, procedures or methodologies used</p> <ul style="list-style-type: none"> a) to evaluate consistency between the validated GHG project plan and the GHG project implementation, and b) to confirm the ongoing appropriateness of the validated GHG project plan, including its baseline scenario and underlying assumptions. 			
6.3.7	<p>Specific validation or verification team leader competencies The validation or verification team leader shall have</p> <ul style="list-style-type: none"> a) sufficient knowledge and expertise of the competencies detailed in 6.3.2, 6.3.3, 6.3.4, 6.3.5 and 6.3.6 (as appropriate) to manage the validation or verification team in order to meet the validation or verification objectives, b) the demonstrated ability to perform validation or verification, and c) the demonstrated ability to manage audit teams. 			
6.4	<p>Use of contracted validators or verifiers The validation or verification body shall have procedures or policies that demonstrate that it takes full responsibility for validation or verification activities performed by contracted validators or verifiers.</p> <p>The validation or verification body shall require contracted validators or verifiers to sign a written agreement by which they commit themselves to comply with applicable policies and procedures of the validation or verification body. The agreement shall address confidentiality and independence from commercial and other interests, and shall require the contracted validator or verifier to notify the validation or verification body of any existing or prior relationship to the client, responsible party or both.</p>			



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6.5	<p>Personnel records</p> <p>The validation or verification body shall maintain up-to-date records of competencies, including relevant education, training, experience, performance monitoring, affiliations and professional status, of each person involved in the validation or verification process.</p>			
6.6	<p>Outsourcing</p> <p>In the absence of GHG program prohibitions on outsourcing, the validation or verification body may outsource but</p> <ul style="list-style-type: none"> a) shall retain full responsibility for the validation or verification, b) shall require the outsourced body to provide independent evidence that demonstrates conformity with this International Standard and with ISO 14064-3, c) shall obtain consent from the client and responsible party to use the outsourced body, and d) shall have a properly documented agreement. <p><i>NOTE Outsourcing refers to contract arrangements with another organization, including other validation or verification bodies, to provide validation or verification services to the validation or verification body.</i></p>			



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7	Communication and records			
7.1	<p>Information provided to a client or responsible party The validation or verification body shall provide the following to its client or responsible party:</p> <ul style="list-style-type: none"> a) a detailed description of the validation or verification process (see Note); b) changes to the validation or verification requirements and the relevant GHG program that may affect the objectives of the client; c) a schedule of validation or verification activities and tasks; d) relevant information on validation or verification team members; e) information about validation or verification fees; f) its policy governing any statement that the client is authorized to use making reference to its validation or verification; g) information on procedures for handling complaints and appeals. <p><i>NOTE The description of the validation or verification process includes how the validation or verification body considers results of previous assessments, where appropriate and if available.</i></p>			
7.2	<p>Communication of responsibilities to a client or responsible party The validation or verification body shall inform the prospective client or responsible party of its responsibility</p> <ul style="list-style-type: none"> a) to comply with validation or verification requirements, b) to make all necessary arrangements for the conduct of the validation or verification, including provisions for examining documentation and access to all relevant processes, areas, records and personnel, and c) to make provisions, where applicable, to accommodate observers. 			
7.3	<p>Confidentiality The validation or verification body shall have a policy and mechanisms to safeguard the confidentiality of information obtained or created during the validation or verification. The policy shall meet all legal requirements necessary to be enforceable and shall include the personnel and activities of the validation or verification body and outsourced bodies.</p> <p>The validation or verification body, its personnel and outsourced bodies shall treat as confidential validation or verification information obtained or created during the validation or verification or obtained from sources other than the client or responsible party.</p> <p>The validation or verification body shall not disclose information that is not public about a client or responsible party to a third party without the express consent of that client or responsible party.</p> <p>The validation or verification body shall inform the client and, as appropriate, the responsible party before placing any information in the public domain where required by disclosure provisions of a relevant GHG program.</p> <p>The validation or verification body shall have available and shall use equipment and facilities that ensure the secure handling of confidential information.</p>			



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7.4	<p>Publicly accessible information The validation or verification body shall maintain and, upon request, provide clear, traceable and accurate information about its activities and the sectors in which it operates.</p>			
7.5	<p>Records The validation or verification body shall maintain and manage records of its validation or verification activities including</p> <ul style="list-style-type: none"> a) application information and validation or verification scopes, b) justification for how validation or verification time is determined, c) confirmation of the completion of validation or verification activities, including findings and information on material or non-material discrepancies, d) validation or verification statements, and e) records of complaints and appeals, and any subsequent correction or corrective actions. <p>The validation or verification body shall maintain validation or verification records securely and confidentially, including during their transport, transmission or transfer.</p> <p>The validation or verification body shall retain validation or verification records in accordance with GHG program, contractual, legal or other management system requirements.</p> <p><i>NOTE ISO 15489-1 provides guidance on the establishment, operation and management of a records management system.</i></p>			



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8	Validation or verification process			
8.1	<p>General The validation or verification process shall include the following validation or verification process phases:</p> <p>a) pre-engagement; b) approach; c) validation or verification; d) validation or verification statement.</p> <p><i>NOTE Annex C shows the relationship between validation and verification process clauses and requirements in this International Standard and in ISO 14064-3.</i></p>			
8.2	Pre-engagement			
8.2.1	<p>Impartiality The validation or verification body shall review information received from prospective clients to determine potential risks to impartiality in accordance with the requirements of 5.4.</p>			
8.2.2	<p>Competence The validation or verification body shall review information received from prospective clients to determine if the validation or verification body has the competence, personnel and resources necessary to successfully complete the prospective assignment in accordance with the requirements of Clause 6.</p>			
8.2.3	<p>Agreement The validation or verification body shall have a legally enforceable agreement with the client in accordance with the requirements of 5.2.</p> <p>The contract between the validation or verification body and the client shall take account of the requirements of ISO 14064-3:2006, 4.3.</p>			
8.2.4	<p>Appointing the team leader The validation or verification body shall appoint the validation or verification team leader in accordance with the requirements of 6.3.7.</p>			
8.3	Approach			
8.3.1	<p>Selecting the validation or verification team The validation or verification body shall appoint the validation or verification team in accordance with the requirements of Clause 6.</p>			
8.3.2	<p>Communicating with the client and responsible party The validation or verification body shall communicate with the client or responsible party or both in accordance with the requirements of 7.1 and 7.2. The validation or verification body shall inform the client or responsible party of the names of the members of the verification or validation team, with sufficient notice for any objections to the appointment of a team member to be made. The validation or verification body shall consider reconfiguring the validation or verification team in response to any objection from the client or responsible party.</p>			



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8.3.3	<p>Planning</p> <p>The validation or verification body shall conduct a review of the responsible party's GHG information in developing a validation or verification plan to conform to the requirements of ISO 14064-3:2006, 4.4.</p> <p>The validation or verification body shall develop a validation or verification plan to conform to the requirements of ISO 14064-3:2006, 4.4.2.</p> <p>The validation or verification body shall develop a sampling plan to conform to the requirements of ISO 14064-3:2006, 4.4.3.</p> <p>The validation or verification body's team leader shall approve the validation or verification plan and sampling plan.</p> <p>The validation or verification body shall detail specific activities and times required to complete the validation or verification based on the validation or verification plan and sampling plan.</p>			
8.4	<p>Validation or verification</p> <p>The validation or verification body shall assess the GHG assertion in conformity with the requirements of ISO 14064-3:2006, 4.5, 4.6 and 4.7, taking account of the information review, validation or verification plan and data sampling plan decided in ISO 14064-3:2006, 4.4.1, 4.4.2 and 4.4.3, and in 8.3 of this International Standard.</p> <p>The validation or verification body shall evaluate whether the validation or verification evidence collected supports the GHG assertion, in conformity with ISO 14064-3:2006, 4.8.</p>			
8.5	<p>Review and issuance of validation or verification statement</p> <p>The validation and verification body shall ensure that competent personnel different from the validation or verification team</p> <p>a) confirm that all validation or verification activities have been completed, and</p> <p>b) conclude whether or not the GHG assertion is free from material discrepancy, and whether the verification or validation activities provide the level of assurance agreed to at the beginning of the validation or verification process in conformity with ISO 14064-3:2006, 4.8.</p> <p>The validation and verification body shall issue a validation or verification statement based on the conclusion of validation or verification findings, in conformity with ISO 14064-3:2006, 4.9.</p>			
8.6	<p>Records</p> <p>The validation or verification body shall maintain validation or verification records in conformity with 7.5 and the requirements of ISO 14064-3:2006, 4.10.</p>			



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8.7	<p>Facts discovered after the validation or verification statement The validation or verification body shall consider appropriate action if facts that could materially affect the validation or verification statement are discovered by the client, responsible party or GHG program after the issuance of the validation or verification statement, including the following:</p> <ul style="list-style-type: none"> a) determining if the facts have been adequately disclosed in the GHG assertion; b) considering if the validation or verification statement requires revision; c) discussing the matter with the client, responsible party or GHG program (as appropriate). <p>If the validation or verification statement requires revision, the validation or verification body shall implement processes to issue a revised validation or verification report and issue a revised validation or verification statement which specifically addresses the reason for the revision.</p>			
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9	Appeals			
	<p>The validation or verification body</p> <ul style="list-style-type: none"> a) shall have a documented process to manage, evaluate, take necessary corrective action and make decisions on appeals, b) shall make publicly available a description of the appeals-handling process upon request, c) shall be responsible for all decisions at all levels of the appeals-handling process, d) shall ensure that the persons engaged in appeals-handling processes are different from those who carried out the validation or verification and prepared statements on the GHG assertion, e) shall advise the appellant of receipt of the appeal, the appeals-handling process, the persons engaged in the process, and shall provide reports and formal notice of the outcome, and f) shall ensure that decisions on appeals do not result in any discriminatory actions against the appellant. 			



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10	Complaints			
	<p>The validation or verification body</p> <ul style="list-style-type: none"> a) shall have a documented process to manage, evaluate, take necessary corrective action and make decisions on complaints, b) shall make publicly available a description of the complaints-handling process upon request, c) shall be responsible for all decisions at all levels of the complaints-handling process, d) shall safeguard the confidentiality of the complainant and subject of the complaint, e) shall, upon receipt of a complaint, confirm whether the complaint relates to validation or verification activities that the validation or verification body is responsible for, f) shall use persons different from those related to the complaint in the complaint-handling process, and g) shall advise the complainant of receipt of the complaint, the complaint-handling process, the persons engaged in the process, and shall provide reports and, wherever possible, formal notice of the outcome. <p><i>NOTE ISO 10002 provides guidance for complaints handling.</i></p>			



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11	Special validations or verifications		
	<p>In cases where it is necessary for the validation or verification body to conduct, at short notice, a validation or verification of a previously validated or verified GHG assertion in response to complaints or facts discovered after the validation or verification statement, the validation or verification body</p> <ul style="list-style-type: none"> a) shall notify, in advance, the client, the responsible party or both, of the conditions under which the special validation or verification is to be conducted, and b) shall use additional care in assigning validation or verification team members if there is a lack of opportunity for the responsible party to object. 		



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12	Management system		
	<p>The validation or verification body shall establish, implement and maintain a documented management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard and also includes the following elements:</p> <ul style="list-style-type: none"> a) management system policy; b) control of documents; c) control of records; d) internal audits; e) corrective actions; f) preventive actions; g) management review. <p>The documented management system shall include the maintenance of associated records.</p> <p><i>NOTE This clause does not imply the need for certification or registration of the management system.</i></p>		

.....
 Assessor:

.....
 Date / signature

Note: The signature of the assessor does not confirm the complete correctness of the reference documents provided by the CAB.