



المجلس العالمي للاعتماد
Global Accreditation Bureau



Accreditation Procedure for Validation and Verification Bodies

Issue 02 – May 2021



Accreditation Procedure

for Validation and Verification Bodies

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1. Introduction

This document defines the procedure that must be followed by the organizations seeking accreditation or are accredited by GAB based on ISO 14065 for offering services for validation and verification of Greenhouse gas emissions or environmental information. The general information of accreditation process is contained in this procedure. GAB, on request, will provide any specific information required by the organizations.

The other applicable procedures and information that are mandatory for the new applicant and the accredited organizations like Use of accreditation symbol, Appeals procedures, Fee schedule etc. are also to be considered. These documents can be referred or downloaded from GAB website www.gab.qa.

2. Criteria for Accreditation

2.1 Adoption of Criteria

2.1.1 GAB shall adopt and document the accreditation criteria for Conformity Assessment bodies undertaking Validation and Verification (CAB-VV) of GHG emissions and/or environmental information based on international standards and guidelines, supported by mandatory or any other relevant documents prescribed by International Accreditation Forum (IAF) and/or Asia Pacific Accreditation Cooperation (APAC).

2.1.2 Accreditation Criteria documents, ISO 14065 and other related standards such as ISO 14064-3, ISO 14066 etc. have been adopted directly from international standards and are covered by copyright laws. Therefore, these are not available as part of the application pack. For such documents, only the reference number and issue level is given. The applicant/ accredited bodies need to procure such documents either from national standards body or International Organization for Standardization (ISO) directly or through their authorized sources.

2.2 Amendment to the Criteria of accreditation

Criteria for accreditation and the related documents may be amended and shall be taken up for amendment based on following conditions individually or severally:

- Any change in the international standards and guidelines
- Any change in the IAF/APAC documents for implementation of international standards and guidelines
- Feedback from the Peer Review assessment team that warrants amendment
- Feedback from the implementation of the criteria
- Any other reason as deemed fit by GAB

- GAB shall approve the amended criteria after completion of any one or more of the consultative processes
- Seek the advice of the appropriate Committee and/or personnel, if any,
- Views of the Conformity Assessment Bodies undertaking validation or verification of GHG emissions (CAB-VV) before approval of the amendment
- Seek public comments on the proposed changes through the Members of Advisory Board of GAB and other representative bodies as GAB may deem fit. The issue status of the Criteria documents shall be identified by month and year of the issue.

2.3 Communication of changes to the Criteria

2.3.1 Any change in the accreditation criteria shall be notified to the accredited / applicant CAB-VV within a suitable time frame for implementing the modified criteria. Any transition policy announced by IAF/APAC would be adopted by GAB and communicated to the CAB-VV. The accredited CAB-VV shall communicate their objection, if any, in writing within 30 days of the receipt of the amended criteria. If the communication is not received within 30 days, it will be presumed that the accredited CAB-VV body is willing to adopt the changed criteria.

2.3.2 The implementation of the changed criteria shall be verified during the subsequent onsite assessment of each CAB-VV. In the event of any major change in the criteria, GAB reserves the right to carry out an additional assessment or add additional mandays with the scheduled onsite assessment and the fee of such assessment visit/additional mandays as per published rates shall be borne by CAB-VV.

2.3.3 If an accredited CAB-VV is not willing to adopt the changed criteria, it can opt out of the accreditation scheme and the accreditation is withdrawn with effect from the date of the implementation of revised criteria. The accredited CAB-VV in such cases shall forfeit their right to get the refund of the paid fees and shall clear all its outstanding payment before opting for withdrawal of accreditation.

3. Accreditation Process

3.1 General

GAB has decided to provide accreditation services to Validation and Verification Bodies (CAB-VV) established as legal entities. It is expected that the bodies applying for accreditation would be registered legal entities as per applicable laws within their economies and can be sued in their own names. Any exception made regarding legal status would be only by a specific decision of GAB, keeping in view the legal provisions of the economy in which the CAB-VV is established as a legal entity.

3.2 Scope of accreditation

3.2.1 The Organization-level and Project-level Validation/Verification scope sectors followed by GAB are adopted as defined in the document IAF-MD-14. The same are reproduced in Annex 1. These shall apply in case the GHG programme does not prescribe any scopes.

3.2.2 To apply for accreditation as per ISO 14065 with or without other/multiple GHG programmes, applicant CAB-VV shall demonstrate competence and knowledge of the specific GHG programme requirements for each scope sector applied for. Where the requirements of such GHG programme are additional to the requirements of ISO 14065, the requirements of these programmes shall also apply. Applicant CAB-VV shall ensure that these requirements are built in its VV system in line with ISO 14065 and IAF MD-6.

3.2.3 Any additional explanation needed by the applicant is provided by the Director, GAB or nominated person on behalf of GAB, on receipt of a specific request for the same, including necessary explanations on the specific GHG programmes and scopes of accreditation that are covered under validation/verification system.

3.3 Application for Accreditation

3.3.1 CAB-VV interested in getting accreditation from GAB for their validation/verification activities can apply for accreditation in the prescribed application form that can be downloaded, from GAB website.

3.3.2 The following documents that form part of the application package are available on the website of GAB:

- Application Form
- Fee Schedule
- Accreditation Criteria
- Accreditation Procedure
- Use of Accreditation Symbol
- Copy of the accreditation agreement
- Blank copy of the Cross-Reference Matrix

3.3.3 Before applying for accreditation, the applicant body must have met the following conditions:

- Has operated the V/V systems and process for at least six months as a minimum including any GHG programme
- Has completed one Internal Audit against the applicable criteria for GHG Accreditation
- Has completed one Management Review

- Has completed one Validation/Verification each as per ISO 14064-1, 14064-2 and any recognized GHG programme for which it has applied.
- Where CAB-VV applies for ISO 14064-1 only, two completed organization level verifications should have been done.
- Where CAB-VV applies for both ISO 14064-1 and ISO 14064-2, two completed validation and/or verifications should have been done, of which one should be a validation project and the other a verification at organization or project level.

3.3.4 The completed application form for accreditation must be duly signed by the authorized representative/s of the organization seeking accreditation and forwarded to GAB along with the following;

- a. Application fee (Refer fee schedule).
- b. A completed Cross Reference matrix indicating clearly, the clause numbers and the reference number/name of the document that addresses the requirement of the applicable standard.
- c. Complete documented management system for which accreditation is being sought. The documented system must include all documents that have been referred by CAB-VV in the Cross-Reference Matrix. (The documents may include quality manual, procedures, work instructions, guidance documents, formats etc.)
- d. Evidence of the documents and records relating to the completion of internal audit and Management review are to be submitted along with the application package.

GAB reserves the right to seek information on the antecedents of the owners / those managing activities of CAB-VV before deciding to accept the application for further processing.

If any adverse decision is made on the acceptance of application, GAB will communicate the reason for the adverse decision of non-acceptance of the application. The applicant can appeal against such decision.

The application fee is non-refundable except when the application is rejected by GAB. Once the application is accepted the application fee is non-refundable. Normally, the acknowledgement of the receipt of the application would be communicated within a week of receipt.

3.3.5 The applicant must also enclose the required information and documents as specified in the application form and submit the same.

3.3.6 The application is reviewed by GAB secretariat for completeness, clarity of accreditation requirements and the capability of GAB to provide the services. Any mismatch is clarified, and the outcome of the review is communicated to the applicant regarding acceptance of the application for further processing, or to complete any further requirements identified during the review.

3.3.7 In case the application is accepted for further processing, a formal quotation is sent for carrying out the assessment of the applicant body based on the fee schedule. GAB would publish on its website, information about new applications for accreditation, for information and feedback from the industry/ other stakeholders. In case any feedback from industry/individuals or stakeholders calls for a review by GAB, the required formalities shall be completed before further processing of the application.

Note: At the request of the CAB-VV, applying for initial accreditation, that has been accredited for the same scheme by another accreditation body (AB), MRA member of APAC or IAF, Director, GAB may consider the accreditation granted by other AB and reduce the extent of assessment subject to the following conditions

- a. The CAB-VV shall pay the application fee.
- b. The CAB-VV shall submit its complete documented system
- c. The CAB-VV shall submit the previous assessment reports of the last accreditation cycle that consist of Document review, initial accreditation/reaccreditation, surveillance assessment (if any), and witness assessments (if any)
- d. Record the justification of reduction in the assessment in the contract review and reflect the reduced assessment in the assessment plan.

3.3.8 Further processing of application shall be taken up on receipt of acceptance of the quotation and confirmation by the applicant CAB-VV that the “agreement for accreditation” is acceptable.

3.3.9 If a preliminary visit is requested by the applicant CAB-VV or deemed necessary to effectively ascertain the readiness of the applicant, GAB organizes the same after obtaining the acceptance of the preliminary visit fee by the applicant CAB-VV. Such a visit would solely be for the purpose of gaining a better understanding of the operations of the CAB-VV and for the CAB-VV to better understand the accreditation process and clarify the expectations of GAB as regards the requirements of the standard. The visit may result in communication of findings to the CAB-VV. Such a visit would not result in any decrease in the man-days for the initial assessment.

3.3.10 Any scopes that are added following the start of initial assessment process can be included in the assessment, depending upon the stage of initial assessment process and scope applied. Additional assessment time beyond the normal assessment time (refer Annex-2) may be required in such situations. For assessment at foreign locations, GAB shall reserve the right to take the assistance of local IAF/APAC members, preferably MLA members, for assessments at foreign locations. The fee for such assessments shall depend on the fee structure of the local accreditation body. The applicant / accredited CAB-VV shall have the opportunity to object to inclusion of specific assessor in the GAB assessment team (GAB-AT) for reasons of conflict of interest. If the validation and verification body does not prefer to involve such local accreditation body, then the reasons for the same would have to be clearly indicated in writing. GAB reserves the right to share such information with the concerned accreditation body / IAF.

4. Preparation for Assessment

4.1 Assessment Programme:

GAB prepares a draft assessment programme for the Initial Assessment as below:

- Review of the documented system of the CAB-VV offsite,
- Assessment of office of the applicant including any critical location/other branch offices/ sub-contractors as per its policy based on risk and
- Witnessing of on-site V/V activities being carried out by the applicant CAB-VV for the applied scopes. (Refer Annex 1 for details)

4.2 Assessment Time:

The normal assessment time for each stage of assessment is given in the Annex 2. The draft assessment programme may be prepared in stages as mentioned above depending on the information supplied. The clarifications regarding the scopes applied for, validator/verifier competence available with applicant, etc. shall be provided by applicant/accredited CAB-VV in advance for finalizing assessment programme; if necessary, the same shall be further verified as part of the office assessment.

4.3 Assessment of Branch/Subcontractor:

The central office and some of the branch/sub-contractor's offices shall be covered for the initial assessment based on risk analysis by GAB. These may include all or some of the offices/ sub contractor's offices from where critical activities are performed.

Critical activities shall include:

- Policy formulation and approval
- Process and/or procedure development necessary for operations
- Pre-engagement activities, including contract review and approval of the validation/ verification request received.
- Initial approval of validation and verification personnel or control of their training and personnel records which would also include their selection and appointments
- On-going monitoring of validation and verification team
- Application review, and approval of contracts
- Final report review or validation and verification assertion, approval and decision on the results of validation and/or verification activities
- Development of policies and procedures for resolution of appeals and complaints received by CAB-VV

The Inputs for the assessment programme shall be discussed with the authorized personnel of the applicant CAB-VV to ensure an effective assessment plan at each stage.

4.4 Appointment of the GAB assessment team (GAB-AT)

4.4.1 GAB-AT, consisting of a Team Leader, member(s) and technical expert(s), if needed, is identified by the Director, GAB, from the pool of assessors and technical experts maintained by GAB. GAB-AT for each stage of the initial assessment normally consists of two members. The team for Witness Assessment will normally have as many members in the team as the V/V team of the applicant CAB-VV. GAB-ATs may include Observers and/or Trainee Assessors.

4.4.2 The names of the members of GAB-AT, along with their CVs and details of any past/current affiliations/relationships, shall be communicated to the applicant CAB-VV giving them enough time, to raise any objection against the appointment of any of the team members. Any objection by the applicant CAB-VV against any of the team members must be accompanied in writing with adequate grounds for the objection. The Director, GAB, will evaluate the objection and decide whether to change the team member or to overrule the objection raised by the applicant body.

4.4.3 The decision of GAB on the team members and the number of team members for any stage of accreditation assessment shall be final.

4.4.4 After acceptance of GAB-AT by the applicant CAB-VV, GAB-AT is formally appointed.

4.4.5 Efforts are made to ensure that team leader of GAB-AT is not changed throughout the initial assessment process. If there is any change in the composition of the team members, the same shall be communicated to the applicant CAB-VV for their acceptance.

4.4.6 The assessors/experts of GAB are bound by confidentiality and declared absence of conflict of interest with the CAB-VV.

4.5 Assessment Plan

4.5.1 An Assessment Plan shall be prepared by Team Leader of GAB-AT based on draft assessment programme agreed by Director, GAB, and the applicant/ CAB-VV.

4.5.2 For initial accreditation of CAB-VV, the minimum number of witness assessments required to be undertaken shall be in accordance with the Annex 1 on Witness assessments.

4.5.3 For witness of CAB-VV personnel, the Team Leader of the GAB-AT may identify the applicant CAB-VV's validators/verifiers that GAB-AT would wish to observe during the witness of validation/verification by applicant CAB-VV, as per Annex 1.

4.6 Document Review

4.6.1 The applicant CAB-VV's documents shall be reviewed by GAB-AT for compliance to the accreditation criteria including the GHG programme for which CAB-VV has applied. GAB may advise the applicant CAB-VV to submit the required set of the documentation for the assessors, in electronic form. The documentation includes manual, procedures, formats, checklists, guidance/guides, instructions, or any other documentation that has been referred in cross reference matrix by the applicant, which demonstrate compliance with accreditation requirements.

4.6.2 For applications that include specific GHG programme, CAB-VV shall demonstrate knowledge of the applied GHG programme requirements for each scope sector.

A summary report of deficiencies in the documentation against the accreditation criteria is forwarded by the Team Leader to the applicant CAB-VV for its comments and compliance. If substantial changes in CAB-VV's documentation are required based on the first review, a decision regarding a 'second review' of documents shall be taken by the Director, GAB.

4.6.3 The applicant CAB-VV shall be informed if a 'second review' is needed in view of the substantial changes and the time period for submission for the second review. The second review shall be charged to the CAB-VV.

4.6.4 GAB secretariat may decide to conduct preliminary visit in case the need is felt instead of conducting a second review.

4.6.5 After document review, GAB would decide about the onsite visit and total time required in terms of man-days which would also include time required to review the documentation issues. Alternately, where required a preliminary visit would be planned as referred in Clause 3.3.9.

4.6.6 The Applicant CAB-VV shall ensure that corrective actions for deviations observed during document review exercise are completed in a maximum time of 90 days. Any extension of this time limit would need a justification and be approved by Director, GAB.

4.6.7 In case the above condition is not met, the application shall be liable to be rejected.

4.6.8 Applicant CAB-VV shall pay for document review charges.

4.7 Onsite Office Assessment

4.7.1 The assessment plan for the onsite office assessment shall be agreed to between GAB-AT and applicant CAB-VV.

4.7.2 The head office of the CAB-VV shall be assessed by GAB. In addition, assessments shall be conducted at other office sites / sub-contractors and any other locations based on risk analysis conducted by GAB.

4.7.3 During the office assessment, GAB-AT shall evaluate the implementation of CAB-VV's management system as per requirements of ISO 14065 along with the related standards and documents as mentioned in the accreditation criteria.

4.7.4 In cases where the CAB-VV seeks accreditation to participate in specific GHG programme, requirements of the GHG programme shall be additional to above requirements.

4.7.5 Wherever needed, to demonstrate the competence of the applicant CAB-VV, the applicant CAB-VV may submit the documents and records of assessments undertaken on the applicant/ CAB-VV by other IAF MLA Members or other equivalent internationally recognized GHG programme such as CDM projects under Kyoto Protocol.

4.7.6 During office assessment, GAB Team leader shall confirm that applicant CAB-VV's declarations are correct including their declared branch offices and subcontractors for confirming critical activities involved. In case information collected during office assessment requires inclusion of other locations in the assessment programme, including any foreign location, the applicant shall be informed, and assessment programme shall be modified to cover such locations. Subsequent monitoring at these offices/ new locations shall depend on nature of activities carried out by them and extent of control demonstrated by the applicant CAB-VV.

4.7.7 During assessment or on demand at any time, applicant/CAB-VV shall provide unrestricted access to the locations and documents that pertain and/or relate to the validation/ verification process and the scope applied for accreditation.

4.7.8 GAB-AT shall explain non-conformities/concerns observed during office assessment at the end of assessment. Non-conformities/concerns shall be provided in prescribed format in writing to applicant CAB-VV for corrective action plan and further implementation of corrective action. Applicant CAB-VV shall respond within stipulated timeline with the root cause analysis, and corrective action plan in response to the NCs. The time required for the closure of nonconformities would be as per requirement specified in this accreditation procedure. GAB-AT also provides an opportunity for the applicant CAB-VV to ask any question about the findings and its basis during the meeting.

4.7.9 In case of any disagreement on any non-conformities/concerns, CAB-VV may escalate the matter to Director, GAB. Decision by Director, GAB in such a case shall be final.

4.7.10 GAB Team leader shall send a draft report to the applicant CAB-VV, including details of the recommended witness assessments, as per guidelines of GAB.

4.7.11 Based on Office Assessment report, nature and type of nonconformities/ concerns issued, GAB shall advise, at this stage, whether to await completion of the corrective actions to the non-conformities/concerns or to proceed with the witness assessment of validation/ verification scheduled to be carried out by the applicant.

4.8 Onsite Witness Assessment

4.8.1 The assessment team, nominated by GAB, shall carry out the witness assessment of validation/verification as per CAB-VV's plan. Witness assessment selection and planning shall be as per Annex 1 for each standard and activity separately. The number of required witness assessments is determined by the scope of the accreditation applied.

4.8.2 Witness Assessments are required for both organization and project level validation/verification. GAB shall consider organization-level verification and project-level validation/verification to be separate and distinct processes.

Note 1: For all witness assessments, the applicant CAB-VV shall provide as a minimum, details of pre-engagement review including inputs received for contract review, impartiality assessment, records of competence of VV team and resources, GHG validation/verification plan, document review report, and draft validation/ verification report, GHG assertions calculation sheet assessed, documentation of the assessed organization such as GHG plan, GHG information, GHG project description, baseline, methodology used, similar relevant documents for multi-facilities or grouped projects, other GHG programme requirements, and backup evidence seen by the CAB-VV's team without causing undue disturbance to the validation/verification process.

Note 2: GAB-AT may request for additional documents for review on case-to-case basis, for offsite review.

Note 3: In addition, applicant CAB-VV shall provide details of the location and means of reaching the site(s) for effective planning and preparation of witness assessment plan.

4.8.3 All witness related documentations should be received by GAB-AT at least a week before the scheduled onsite dates, to enable GAB-AT to do offsite review and prepare itself. Specific GHG programme requirements shall be assessed during witness assessment(s).

4.8.4 The applicant/CAB-VV shall include all organization facilities, projects, and the relevant processes specific to the sectors of GHG emissions in the witness assessment plan. All the witness assessments, collectively, shall demonstrate the ability of the applicant to validate and/or verify all requirements of applicable standard for the specific scope sector for which the witness assessment is planned/conducted.

- a. For witness assessment of validation activity, CAB-VV shall submit its Final Validation Report duly reviewed by an independent reviewer for completeness and adequacy, along with closed Corrective action requests (CARs) or Clarification requests to GAB-AT. Validation witness assessment will not require onsite visit to the project site.
- a. Witness assessment of verification activity will be performed on project site. After the CAB-VV shall submit its Draft Verification Report, duly reviewed by an independent reviewer for completeness and adequacy, along with open Corrective action requests (CARs) or Clarification requests within seven days to GAB-AT.

4.8.5 A physical or virtual closing meeting may be held on completion of witness assessments where the validation/verification team of the applicant shall be explained and communicated the non-conformities/concerns observed in writing for corrective action as per accreditation procedure of GAB. The team also provides an opportunity for CAB-VV to ask any question about the findings and its basis during the meeting.

4.8.6 In case of any disagreement on the non-conformities/concerns, CAB-VV may escalate the matter to Director, GAB. The decision of Director, GAB, in such cases shall be final.

4.8.7 GAB-AT shall finalize the witness assessment report and non-conformities/concerns based on the onsite visit/offsite observations, and/or of the witnessed personnel, and the CAB-VV's report. GAB-AT reserves the right to issue additional nonconformity or escalate the concern to nonconformity, based on the Validation/Draft Verification report. Such changes shall be reported to the applicant CAB-VV as well as mentioned in the Witness assessment report. GAB shall base its decision according to its assessment.

4.9 Assessment Report

4.9.1 GAB-AT shall prepare a report at each stage of the assessment – document review, office assessment, branch office assessment, and witness assessments. Non-conformities and concerns, if any, shall be communicated to the CAB-VV representative(s) at the end of each assessment, in writing.

The draft assessment report for each assessment shall be sent by GAB-AT within 15 days of the assessment to the CAB-VV. If no comments are received within 7 days of sending the report, then the report is considered as acceptable to the CAB-VV and is deemed final. For any comments received on the report, GAB-AT shall try to resolve them within 10 days. GAB-AT shall submit the report at the end of this period along with unresolved comments from CAB-VV to GAB, who would review and/or coordinate, as needed.

4.9.2 After completion of various stages of assessments, GAB-AT Leader shall prepare Final Assessment Report based on Document Review report, Office Assessment(s) and Witness assessment(s) with the recommendations to GAB. The Final Assessment Report shall be prepared for Initial assessment only.

4.9.3 The assessment reports shall include the following:

- Details indicating the level of conformity of the validation and verification body's management system against GAB accreditation requirements
- The non-conformities observed during various stages of the assessment and actions taken by the validation and verification body on the non-conformities
- Recommendations of GAB-AT
- The scope of accreditation recommended based on the assessments

4.9.4 The report shall be prepared as per the laid down guidelines and criteria by team leader / team members in the prescribed formats listing the level of compliance to the requirement of the accreditation criteria of GAB.

4.9.5 This draft report would be sent to CAB-VV for review and comments. In case the report sent to the applicant CAB-VV contains any difference from the information presented to the applicant CAB-VV by GAB-AT at the closing meeting (of each stage of assessment), the same is highlighted and the explanation of the differences shall be provided.

4.9.6 The report would be reviewed by reviewers nominated by GAB in cases of initial assessment, reassessment and scope extension. The purpose is to ensure that the report is as per laid down criteria and guidelines and changes are made where necessary. The modified report, if any, is shared with CAB-VV.

4.9.7 Applicant CAB-VV may support its case with the assessments undertaken on the applicant by other accreditation bodies especially IAF MLA Members or GHG programme owners. Director, GAB, shall ensure a detailed review, on a case-to-case basis, and place a report on the same to the Accreditation Committee. The Annex 3 provides norms for using other Accreditation Body's reports for the grant of scopes based on such reports.

4.9.8 In the event of delay in getting witness assessment scheduled for different scope sectors applied for, applicant CAB-VV may apply in writing to the Director, GAB, for "Partial Assessment of available scopes". Director, GAB, shall have the right to accept or reject the request.

4.10 Time Period for Assessment Process

4.10.1 A typical assessment time for various assessments of the accreditation process is given in Annex 2. Accreditation process for initial assessment should be completed within one year from the date of acceptance of application failing which the application is liable to be rejected.

4.10.2 In the event that the process is not completed within one year, due to delays/deficiencies on the part of the applicant, an extension of one year may be given depending on the results of past assessments and/or applicant body's assessment experience in other GHG programme related to GHG and/or if the applicant/CAB-VV is accredited to other GHG programme by GAB. In such cases, the assessment process may be carried out afresh and shall be completed in one year.

4.10.3 The process of closing the non-conformities/concerns and verification shall be completed in the specified time. If the applicant CAB-VV delays the process of satisfactory submission of corrective actions beyond the limits specified, GAB shall have the right to reject the application. The fees paid by the applicant will not be refunded.

4.10.4 Applications pending over 2 years shall be reviewed by GAB for appropriate action including closure. Any extension of time shall be an exception.

4.11 Accreditation Decision

4.11.1 GAB shall submit a summary of assessments and its recommendation for each applicant CAB-VV to Accreditation Committee. The conclusions shall be based on final assessment report including closed status of nonconformities and concerns as well as any unresolved issues.

4.11.2 Accreditation Committee is responsible for taking decisions on granting, maintaining, suspending, reducing, or withdrawing of Accreditation.

4.11.3 The decisions of the Accreditation Committee shall be based on assessment reports and other relevant information placed before it. Accreditation Committee in its capacity shall have the right to ask any further clarifications on the report and information submitted on the applicant's system and the applicant shall not refuse to provide such information.

4.11.4 Based on the available competence and/or recommendation of GAB-AT/secretariat, Accreditation Committee may decide to restrict grant of accreditation to a part of the broad scope or GHG programme applied for by the applicant.

5. Conditions for Accreditation

5.1 Granting of Accreditation

5.1.1 Accreditation is granted to an applicant after following conditions have been met by applicant body:

- a. Applicant meets the criteria of accreditation and all nonconformities/ concerns found against the criteria of accreditation during assessment have been closed to the satisfaction of GAB-AT in accordance with this accreditation procedure
- b. There are no adverse reports / information / complaints with GAB about the applicant regarding quality and effectiveness of implementation of validation/ verification system as per accreditation criteria of GAB
- c. The clients of the applicant body and owner of the GHG programme are satisfied by the conduct of the applicant body and its validation/ verification system.

Note: GAB on regular basis, shall obtain through appropriate mechanism, feedback from a few of the clients of the validation/ verification body and owner of the GHG programme to assess the integrity and compliance aspects of the validation/ verification body

- d. The applicant body has paid all the outstanding dues

5.1.2 Accreditation shall normally be granted to CAB-VV for a period of 4 years and shall be subject to continued satisfactory operation of accredited validation/ verification GHG programme and reasonable number of GAB accredited certificates being issued by the CAB-VV.

5.1.3 In the event of any adverse issue arising from the reasons specified at points b, c, and d of clause 5.1.1 above, the applicant CAB-VV will be given an opportunity to explain its position in writing to GAB and present its case in person to Accreditation Committee. The final decision shall be taken in respect of granting of accreditation based on facts and results of such presentation.

5.1.4 GAB would publish on its website, grant of any new accreditation, for information and feedback from the industry / other stakeholders.

6. Accreditation Documents

6.1 Accreditation Agreement:

On being informed about the grant of accreditation, accreditation agreement shall be signed by the applicant and the applicant shall ensure that the relevant fees are paid.

6.2 Accreditation Documents:

On receipt of the signed agreement and fee as per the invoice, a set of accreditation documents shall be issued to the applicant body along with the Procedure for Use of Accreditation Symbol of GAB.

6.3 Accreditation Certificate:

The accreditation certificate in the standard template shall include GAB logo, the name of CAB-VV, address of the premises of CAB-VV, unique identification as an accreditation number, the scope of accreditation, GHG programme included, if any, statement of conformity and reference to the applicable accreditation standard.

6.4 Validity of Accreditation Certificate:

The accreditation certificate shall normally be valid during the validity and date of granting and validity of accreditation will be indicated on the certificate.

6.5 Maintaining Accreditation

6.5.1 Accreditation granted to CAB-VV shall be maintained during the validity under the following conditions;

- a. The accredited body continues to meet the criteria of accreditation and all non-conformities/ concerns found against the criteria of accreditation during surveillance assessment have been closed to the satisfaction of GAB-AT as per this procedure
- b. There are no adverse reports / information / complaint with GAB about the applicant regarding the implementation of validation and verification system as per accreditation criteria.
- c. The organizations who have availed validation and/or verification services or used results

of validation/verification in any manner of the accredited CAB-VV are satisfied by the conduct of the CAB-VV and its V/V system.

d. The accredited CAB-VV has paid all the outstanding dues.

6.5.2 In the event of any adverse issue arising from the reasons specified at clause 6.5.1 b) and c) above, during its accreditation period, the accredited CAB-VV shall be given an opportunity to explain its position in writing to GAB and present its case in person or remotely to Accreditation Committee. The final decision shall be taken in respect of maintenance of accreditation by Accreditation Committee based on facts and the results of such presentation.

6.6 Surveillance Assessment

6.6.1 To ensure that each of the CAB-VV accredited by GAB continues to comply with the accreditation requirements, a surveillance assessment (at the office) shall be carried out annually.

6.6.2 The surveillance assessment shall be consistent with the initial assessment and includes office assessment at head office every year and some of the locations performing critical activities based on risk analysis.

6.6.3 All branch offices/sub-contractors performing critical activities will generally be covered under assessment during one accreditation cycle as per the assessment programme but may be reduced based on risk analysis. Offices other than those performing critical activities may also be assessed.

6.6.4 All groups of scopes for which CAB-VV has been accredited shall be witnessed during an accreditation cycle. CAB-VV shall provide GAB with complete information on its activities, to enable GAB to choose and plan witness assessments. Witness assessment planning shall be based on complexity, number of V/V activities per sector/ scope, number of multisite, grouped projects/ facilities, locations, amongst other things as described in Annex 1.

6.6.5 Assessment programme shall be updated annually based on risk analysis, surveillances and witness assessments planned, and scopes witnessed.

6.6.6 The Cross-frontier assessments may be clubbed with GAB assessments as requested as per given scope of activities. Assessment plan shall be made accordingly.

6.6.7 Witness assessments, as part of the surveillance, shall be conducted separately based on six-monthly data on number of validation/verifications performed by CAB-VV.

6.6.8 The witness assessment programme shall be based on:

- Resources available with the accredited CAB-VV,
- Number of accredited V/V conducted on stand-alone and / or other GHG programme,
- Spread of locations,

- Single or group facility/ projects, complexity & risks involved,
- Stakeholders' concerns, extent of control demonstrated by the CAB-VV and observations of the office assessment
- Complexity of the scope (refer to Annex 1)
- Specific organizations or validators/ verifiers may be chosen for witnessing

6.6.9 A plan for witness assessments shall be communicated to the accredited CAB-VV. The decision of GAB related to number of witness assessments shall be binding.

6.6.10 The number of GAB assessors/experts in the witness assessment team would be generally as many as in CAB-VV team but decided on case-to-case basis by GAB.

6.6.11 In selection of CAB-VV to be witnessed, besides Annex 1, GAB will consider the following:

- a. Will normally not witness the same validators/verifiers that have been witnessed earlier for the given standard and type
- b. Will normally not witness a CAB-VV of any facility or project, which has been witnessed earlier
- c. Where a CAB-VV is conducting both validations and verifications, both functions may be witnessed

6.6.12 The first surveillance assessment shall be conducted within 9 months from the date of initial accreditation. However, the accredited CAB-VV, for valid reasons, may seek a postponement of the assessment for a maximum period of three months. Further surveillance assessments would be carried out every 12 months.

6.6.13 For deferring the surveillance assessment, accredited CAB-VV shall give a written justification and obtain the approval of Director, GAB. It shall be ensured that the gap between two consecutive assessments shall normally not exceed 15 months.

6.6.14 The Surveillance Assessment Report and non-conformity reports of each of the surveillance assessment shall be forwarded to accredited CAB-VV by GAB AT for taking corrective action as per the laid down criteria for the maintenance of accreditation.

6.6.15 In the event of any critical and or major non-conformity that can affect the CAB-VV process, Director, GAB, shall inform the accredited CAB-VV and shall call for a time bound corrective action plan. CAB-VV shall be liable to suspension of accreditation keeping in view the seriousness of the non-conformities. The decision for an additional follow up visit to verify the implementation of the corrective action plan as committed by the accredited body shall be taken by Director, GAB, in consultation with the Team leader of the GAB-AT. Such decision shall be binding on the accredited validation and verification body. The cost of the additional visit shall be borne by the accredited CAB-VV. If the accredited CAB-VV has not demonstrated evidence of completion of the corrective action agreed as per committed time period, Director,

GAB, shall prepare a status report and submit it along with the summary of the assessment report to Accreditation Committee for further decision on suspension or reduction or withdrawal of accreditation.

6.6.16 If no critical or major non-conformity is observed during surveillance assessment, the surveillance assessment report shall be reviewed at GAB secretariat and decision of continuation of accreditation shall be communicated to CAB-VV as part of the surveillance assessment report.

6.6.17 The frequency of surveillance assessments shall be increased based on the type and nature of non-conformities observed, complaints received, market feedback etc. Accredited CAB-VV shall be informed of the reasons for any change in the frequency.

6.7 Other Surveillance Activities

6.7.1 GAB Secretariat may call for information on validation and verifications activities and opinions issued on a quarterly basis and then may decide to seek validation and/or verification reports on a random basis. The Secretariat would have the reports reviewed and seek any clarification. If a clear deviation from the requirement of the standard is established, then such findings would be raised as non-conformities requiring the accredited CAB-VV to respond. CAB-VV would bear the cost of such reviews.

6.7.2 If review of reports as referred in 6.7.1 indicate satisfactory operation of accredited CAB-VV, then a reduction in normal witnessing could be considered. If however, review of reports reveal unsatisfactory operation of the accredited validation/verification scheme, then GAB Secretariat would advise actions to be taken which could include a special office assessment, intensified witnessing, witnessing at specific organization which revealed unsatisfactory operation etc.

6.7.3 CAB-VV may opt for such review of reports in lieu of witnessing on their own. In such cases the number of reports to be reviewed and charges to be levied would be communicated to the CAB-VV by GAB secretariat in advance for acceptance. Selection of samples would be done by GAB Secretariat.

6.8 Extension / Reduction of the scope

6.8.1 Extension of the scope shall be allowed under the following situations

- a. Type A Extension of Scope is requested by CAB-VV, for a complete group which makes it necessary to process the application in a manner similar to the initial assessment which includes document review, office assessment, and witness assessment. In this case assessment for same shall be carried out as part of the surveillance visit, by increasing the number of assessor man-days as necessary. Alternatively, GAB or the applicant may ask for a special assessment

b. Type B Extension of Scope is requested for sector which is within the same group, for which the applicant has already been assessed/accredited. In this case applicant CAB-VV is required to provide initial competence analysis and availability of competent resources to carryout validation/verification at the organization and /or project level, like initial assessment. Applicant CAB-VV may support its competence claim by its activities in other GHG programme for similar scope and sectors. An office assessment along with the surveillance assessment for the same shall be conducted by GAB. Additional Witness assessment will not be required in such cases

6.8.2 Where scope extension is requested for during the initial/ re-accreditation stage, the request should be made well in advance of the office assessment. Alternatively, GAB may in consultation, advise the applicant CAB-VV to undertake the assessment separately. GAB will undertake the Scope Extension Assessment off-site/ on-site review, as decided on case-to-case basis.

6.8.3 Scope Extension assessment quotation shall be agreed prior to undertaking the assessment and shall be charged as per prevailing fee structure. The invoice for Scope Extension assessments is sent to the accredited CAB-VV. Further action related to fresh certificate of accreditation, website update, etc. shall be initiated only on timely payment of fee for the extension visit. The procedure followed for the assessment and decision for extension of the scope is similar to initial accreditation as described in this document.

6.8.4 GAB will undertake the reduction of the scopes based on following situations

- The accredited CAB-VV may like to reduce their scope of accreditation voluntarily
- In case of inadequate resources and competence as observed during assessments or otherwise
- In case accredited CAB-VV is placed under partial suspension on account of inadequate resources or due to inadequate competence
- The cases for extension and reduction of scope shall be submitted to Accreditation Committee for decision

6.8.5 GAB would publish information about any reduction in the scope and sector of accreditation on its website for information of the industry / other stakeholders.

6.9 Reaccreditation

6.9.1 Accredited CAB-VV shall apply for re-accreditation six months prior to expiry of accreditation.

6.9.2 Reaccreditation process followed shall be as per Initial Assessment including Document Review in accordance with the relevant sections described in this procedure.

6.9.3 The office assessment should be organized at least 3 months prior to expiry of accreditation. If the assessment is not organized by the accredited CAB-VV timely to be able to resolve the non-conformities/concerns, it could result in withholding reaccreditation.

6.9.4 The accredited CAB-VV shall also be required to complete the minimum witness assessments as per GAB guidelines and scope during the previous accreditation cycle.

6.9.5 On completion of the re-assessment, the accredited CAB-VV shall initiate the root cause analysis and take corrective actions on the identified non-conformities and concerns, if any, and complete all actions within defined timeline as per GAB accreditation procedure to ensure closure of all such nonconformities and concerns. GAB-AT shall prepare a report of all aspects of assessment of office and witness assessments with recommendations. The assessment report is made in the following parts stating:

- Changes in the accredited CAB-VV and its system
- Non-conformities/concerns observed during various stages of the assessment, including witness assessments
- Level of conformity as assessed for the CAB-VV's management system against accreditation requirement

6.9.6 The reaccreditation assessment report shall be prepared by GAB team leader as per accreditation criteria in requisite format. Director, GAB, presents the report of reaccreditation assessment with the corrective actions taken by accredited CAB-VV to Accreditation Committee for decision.

6.9.7 If decision by Accreditation Committee is to grant reaccreditation, a fresh set of accreditation documents shall be issued to accredited CAB-VV.

6.9.8 The renewal shall be for a period of four years subject to satisfactory operation of accredited V/V programme by CAB-VV and reasonable number of GAB accredited validation/verification activities performed by the CAB-VV.

6.9.9 If decision of the Accreditation Committee is not favorable, it shall be communicated to accredited CAB-VV for initiating appropriate actions including any corrective action. GAB reserves the right to suspend/withdraw accreditation based on decision of Accreditation Committee.

6.9.10 All reassessment activities shall be completed prior to the expiry of accreditation. In case there is delay in decision-making, the accreditation may be continued, if the report of GAB-AT is satisfactory. Decision of the Accreditation Committee shall be binding on accredited CAB-VV in such cases.

6.9.11 Reaccreditation may be withheld if there are unresolved issues from reaccreditation assessments and especially if corrective actions for major/critical non-conformities are pending. Withholding of reaccreditation will generally not be for more than 6 months and if issues are not resolved within this timeline, accreditation would be allowed to expire. In such case if CDM-VV wants accreditation from GAB after the lapse of 6 months period, CDM-VV shall apply as a fresh applicant. If, however, reaccreditation is granted within six months of expiry, reaccreditation shall be from the date of accreditation decision and the period from the previous expiry date to the decision for reaccreditation shall be treated as suspension. The expiry of reaccreditation will be four years from the previous expiry date.

7. Suspension and Withdrawal of Accreditation

7.1 Decision on Suspension and Withdrawal of Accreditation

Accreditation Committee is authorized for taking decisions on suspension, withdrawal of accreditation or revocation of decision of suspension.

7.2 Suspension of Accreditation (Partial or Full)

7.2.1 The validation/ verification body shall be subject to suspension either fully or partially based on the following conditions (individually or severally).

- a. No / ineffective corrective action in response to the non-conformities observed during surveillance assessment or reassessment
- b. Non-payment of outstanding dues
- c. Any major change has taken place in the legal status, ownership, impartiality etc. without information to GAB
- d. Any willful misuse of the logo of GAB
- e. Any willful mis-declaration in the application form
- f. Any willful non-compliance to the accreditation agreement
- g. Any non-compliance to the terms and conditions of accreditation including organizing GAB assessments within timelines prescribed
- h. Inability or unwillingness of CAB-VV, to ensure compliance of the organizations validated and/ or verified by the accredited body to the applicable standards
- i. Excessive and/or serious complaints against the validation & verification system of the accredited CAB-VV
- j. Evidence of lack of control over the Validation/Verification process and or willful by-passing of Validation/ Verification procedures
- k. Evidence of unethical Validation/Verification practices including providing incorrect information to GAB, faking of validation/verification records
- l. Non-availability of resources in some of the technical areas covered under accreditation
- m. Non-compliance to the revised requirements of the standards before deadline set as per GAB policy
- n. Any other situation deemed appropriate by the Accreditation Committee

7.2.2 A notice citing reasons and intention to suspend shall be sent to the CAB-VV inviting response within 15 days.

7.2.3 The accredited CAB-VV shall be given an opportunity to explain its position in writing to GAB and present its case in person to Accreditation Committee. Final decision shall be taken in respect of suspension of accreditation (Partial or full) on the basis of facts and the results of such presentation.

7.2.4 Notwithstanding the above provision for a representation by the CAB-VV, Accreditation Committee may decide to suspend accreditation without any notice if there is sufficient evidence of willful misrepresentation of facts or willful non-compliance to accreditation criteria. The period of suspension shall be formally communicated as per the criteria laid down by GAB.

7.2.5 Information about suspension of CAB-VV (partially or full); would be published on GAB website for information of industry / other stakeholders.

7.2.6 CAB-VV may seek suspension citing its own reasons on voluntary basis.

7.2.7 Suspension would normally not exceed six months. GAB shall have the right to withdraw the accreditation if accredited CAB-VV does not take suitable corrective action to the satisfaction of GAB-AT appointed to verify the corrective actions, within six months.

7.2.8 For revoking suspension, the accredited CAB-VV shall formally communicate to GAB regarding the corrective actions implemented. Suspension shall be revoked after an assessment has been carried out by GAB-AT to verify implementation and effectiveness of corrective actions for eliminating the reasons for suspension.

7.2.9 In the event of part/full suspension of accreditation, accredited CAB-VV shall be informed and shall be barred from issuing accredited VV opinions for the scopes for which the accreditation has been suspended.

7.3 **Withdrawal of Accreditation**

7.3.1 CAB-VV shall be subject to withdrawal of accreditation based on the following conditions individually or severally

- a. If an accredited body voluntarily relinquishes its accredited status
- b. If non-conformities are not appropriately addressed despite suspension for a period of six months
- c. If no action is taken by accredited body in response to the suspension on any other grounds
- d. Complaints are received about validation/ verification process and are observed to be based on facts
- e. If there is any evidence of unethical conduct or fraudulent behavior
- f. Any situation which is serious enough to warrant withdrawal

7.3.2 A notice of intention to withdraw accreditation and citing reasons shall be sent to CAB-VV. The CAB-VV shall respond within 15 days.

7.3.3 The accredited validation/ verification body shall be given an opportunity to explain its position in writing to GAB and present its case in person or remotely to Accreditation Committee. The final decision shall be taken in respect of withdrawal of accreditation based on facts and the results of such presentation

7.3.4 The withdrawal of accreditation shall be formally communicated to CAB-VV by GAB.

7.3.5 GAB would publish information about withdrawal of accreditation on its website for information of the industry / other stakeholders

7.3.6 In the event of decision to withdraw accreditation, CAB-VV shall be asked to return the original of accreditation certificate, the enclosure of scopes to GAB and to stop using accreditation symbol of GAB forthwith. Director, GAB, shall also notify the legal course for initiating any penalty of such misuse if it is reported and found supported by facts and evidence.

7.3.7 Withdrawal of accreditation may have consequences for customers of CAB-VV under process of validation and verification as, CDM-VV shall be barred to issue any accredited opinion on validation/verification of GHG emissions.

7.3.8 Following withdrawal of accreditation, CAB-VV would be eligible to seek fresh accreditation as a new applicant only after a lay off period of minimum one year.

7.4 Public Information of Suspension or Withdrawal of Accreditation or Withholding of reaccreditation or reduction of scope

7.4.1 The information about reduction of scope, suspension (partial or full), withdrawal or withholding of reaccreditation shall be placed on GAB website in the list of accredited bodies. GAB may also make a public declaration by other means, like newspapers, if required. The charges for making the information public through newspapers shall be recovered from CAB-VV involved before revoking the suspension or renewal of accreditation.

7.4.2 The information so published in public media will be open for feedback from industry / other stakeholders. Any feedback so obtained at any stage of accreditation, shall be addressed by GAB appropriately.

8. Non-Conformities and Corrective Actions

8.1 Non-conformities observed shall be classified in three categories:

8.1.1 Critical:

- Any evidence that indicates that validation/verification opinion issued by the CAB-VV may not be based on sound judgment, objective evidence and may not be a true reflection of compliance with requirements
- Any failure of implementation of validation and verification rules as per accreditation criteria that raises doubts on the operation and practice of validation and verification and results of VV system being operated by the CAB-VV
- Any evidence that indicates possibility of fraudulent/irregular behavior by CAB-VV, such as issuance of opinion without verifying objective evidence, violation of impartiality requirements indicating an unacceptable threat to impartiality, issuance of validation and verification opinions based on inadequate evidence, or willful overlooking of objective evidence, etc
- Critical non-conformities shall call for immediate correction and corrective actions based on appropriate root cause analysis. Such actions shall be completed, and non-conformities addressed within 30 days of the date these have been observed by GAB-AT as per the established criteria. Critical NC shall be brought to the immediate notice of Director, GAB, by Team Leader of GAB-AT. CAB-VV may be liable for suspension/withdrawal of accreditation with due notice if such NCs are raised even as it takes action to address them. In case the corrective action is not completed within the stipulated time frame, the accreditation may be liable for suspension partially or completely or withdrawal based on the nature of non-conformity

8.1.2 Major Non-conformities:

- Any evidence that casts doubt on the system of validation and verification and is less severe than in case of the critical (which bring into question the validity of opinion issued) and is evident in failure of certain elements of the criteria individually (e.g. absence of liability insurance or internal audit system not working). It may have less direct impact on the VV system and its results or any minor non-conformities that have not been acted upon within the stipulated time frame. Several minor nonconformities associated with the same requirements or issue may be considered as major nonconformity if it indicates a systemic failure
- Major non-conformities shall call for early correction and corrective actions based on appropriate root cause analysis. Such actions shall be completed, and nonconformities addressed within 60 days of the date these have been observed by GAB-AT as per the established criteria. In case the non-conformity is not addressed within the stipulated time frame, the accreditation may be liable for suspension partially or completely based on the nature of the non-conformity

8.1.3 Minor Non-conformities:

- Any evidence that indicates a non-compliance to the accreditation criteria and the application documents, which has limited or negligible impact on validation and verification system and its results
- Minor non-conformities shall be addressed and corrected as early as possible but not later than 3 months (90days) from the date these have been observed by the GAB-AT, as per the established criteria.

Note 1: Multiple Minor NCs with related impact on the system of CAB-VV shall result in a Major non-conformity based on the judgement of GAB-AT.

Note 2: NCs remaining unresolved after the prescribed timelines are liable to be upgraded to the next higher category.

8.1.4 In case of NCs, CAB-VV shall undertake appropriate root cause analysis to identify corrective actions.

8.2 **GAB-ATs may also raise Concerns under the following circumstances:**

- Minor gaps/inadequacies observed, in CAB-VV documented system or practices, which do not directly amount to non-compliance. However, if no action is taken, they are likely to result in non-conformities
- Issues observed during witness assessments, which may require further review and assessment of the systems of the CAB-VV in the office
- Findings of minor nature where, in the judgement of the GAB-AT, root cause analysis is not required
- Issues from documentation review, minor in nature, which have remained unresolved subsequent to office assessment, where the practice of the CAB-VV was observed to be complying with the requirements of the standard

Concerns are findings which do not require the CAB-VV to carry out any root cause analysis. It can directly inform the correction/corrective actions it has taken or intends to take (where it would take time). In certain cases, where these are unresolved issues from documentation review, GAB AT may ask the CAB-VV to submit the evidence of Corrective actions for the resolution of the concerns.

8.2.1 The CAB-VV shall have two chances/iterations each for acceptance of corrective actions at proposal stage and at implementation stage, for closure of non-conformities/concerns. From third chance/iteration onwards, every iteration would be charged for the additional review accordingly (0.5 man-day as decided on case-to-case basis).

8.2.2 The time for addressing the NCs/Concerns shall be reckoned from the day the non-conformities are handed over to the validation and verification body.

8.2.3 Non-conformities of critical or major nature shall normally call for a follow up visit to the office of CAB-VV as per recommendation of the GAB-AT. Such a follow up visit shall be charged as per prevailing fee structure.

8.2.4 During the onsite office assessment, if it is observed that the corrective actions in response to any previous minor non-conformity or concerns, is not effective, the same issue will be raised again by upgrading concern to minor non-conformity and minor non-conformity to major non-conformity.

Note: GAB-AT may also identify opportunities for improvement and include the same in the assessment report for the benefit of CAB-VV.

9. Changes in Accredited CAB-VV

9.1 As part of application for accreditation applicant/accredited CAB-VV undertakes to inform GAB within 30 days if any change takes place in its status or operation that affects its:

- a. Legal, commercial, or organizational status
- b. Organization and management, for example key managerial staff
- c. Policies or procedures, where appropriate
- d. Premises
- e. Personnel, equipment, facilities, working environment or other resources, where significant
- f. Capability to undertake validation or verification activities
- g. Scope/ Sectors of accredited activities
- h. Conformance with the requirements of the accreditation criteria
- i. Addition/Closure/Cancellation of any new branches / sub-contractors, in local or foreign locations where clients are located or operations related to validation/ verification are performed
- j. Any complaint/ feedback of serious nature received from GHG V/V programme or intended user/ stakeholders on its performance
- k. De-registration status of any GHG programme that included accreditation of GAB as part of the criteria, reduction of scope /suspension/ withholding/ withdrawal by other accreditation bodies the CAB-VV may be accredited to under GHG programme
- l. Any other force majeure condition rendering accredited CAB-VV incapable and unable to discharge its normal functioning

- 9.2 On receipt of the information of change in any of the above parameters, Director, GAB, decides whether a special assessment is necessary, or the change will not affect the operation of the validation/ verification system within the accredited scope and sector. If Director, GAB, recommends a special assessment, such special assessment shall be charged as per prevailing fee structure. The invoice for such special assessment is sent to accredited CAB-VV. The procedure of surveillance assessment shall be followed.
- 9.3 During regular surveillance the accredited CAB-VV shall be required to confirm if there are any changes in its status or operation as mentioned in clause 9.1 above or any other aspect that will affect the ability and capability of CAB-VV to perform its validation and verification activities, since the last assessment. This shall be verified by GAB-AT and included in the surveillance report.
- 9.4 In case an accredited CAB-VV is found to have given willful wrong/incomplete declaration, GAB shall initiate suitable action and shall reserve the right to suspend/withdraw accreditation.

10. Fee Payable for Accreditation Process and Annual Fee

- 10.1 The approved fee structure of GAB shall apply for GHG Validation and Verification accreditation programme. The current approved fee structure is available on website of GAB.
- 10.2 The total fee shall depend on actual assessment days and other parameters as specified in the fee schedule. Appropriate invoices with payment terms shall be raised by GAB.
- 10.3 Each accredited CAB-VV shall pay annual fee as identified in the current approved schedule. Appropriate invoices will be generated by GAB at the beginning of the financial year.
- 10.4 GAB shall have the comprehensive rights to revise the fee schedule at the end of every financial year.
- 10.5 Travel expenses and local travel shall be paid/arranged by the CAB-VV directly. If GAB incurs the travel and local travel costs, a service charge of 10% shall be included as indicated in fee schedule.
- 10.6 GAB shall take the following actions if any applicant or accredited CAB-VV fails to pay the fee and charges as invoiced.
- Stop further processing of the application
 - Does not offer accreditation
 - Suspend and/or withdraw the accreditation
 - Initiate legal action as appropriate to recover the outstanding invoice

- 10.7 If applicant CAB-VV fails to pay the invoiced fee within 30 days, the application for accreditation will be rejected. In the event of the rejection of the application on account of non-payment of fee, any partial fee paid till date shall not be refunded.
- 10.8 Fees for any assessment on foreign locations carried out by the local accreditation body shall be charged at the current rates of the local accreditation body if the services of local body are used.
- 10.9 Additional charges may be levied on the applicant CAB-VV on account of following and as described in their relevant sections.
- Corrective Actions Review resulting from Document Review.
 - Corrective Actions and Implementation Review resulting from Nonconformities.
 - Scope Extension Reviews and Assessments
 - Providing GAB accreditation application documents for the GHG V/V programme on specific request, where they are available on GAB's website as well.
 - Unscheduled visits or assessments resulting from changes in the accredited CAB-VV/ market surveillance/ feedback or complaint/dispute/appeal analysis.
 - Publication in the newspaper for the purpose of public information.
 - Foreign location assessment of the client or office of accredited CAB-VV.
 - Any other reason upon the discretion of GAB after consultation with the applicant/ CAB-VV.

11. Complaints

- 11.1 Any person or body has the right to send a complaint on the activities and actions of GAB and its procedures.
- 11.2 The complaint must be made in writing to GAB with complete details of the complainant and description of the problem. The complaint shall be handled as per the Complaints procedure.
- 11.3 If the complaint has no details of the complainant or the description is not adequate, GAB shall have the right of dealing with such complaint as deemed fit.

11.3.1 If the complaint is against the non-compliance of accreditation criteria by any applicant/CAB-VV, then GAB shall encourage the complainant to utilize the procedure for complaints of the respective applicant/CAB-VV. However, GAB may carry out an investigation in accordance with the procedure. If the complaint is resolved without undertaking any travel or additional assessment, no financing shall be needed for such resolutions. If the resolution calls for undertaking travel and assessment, the cost shall be borne by the defaulting party.

11.4 The report of the analysis is sent to both the parties along with the invoice as applicable to recover the cost of such complaint analysis.

11.5 Director, GAB, or nominated person shall follow each complaint to conclusion and initiate possible corrective actions.

11.6 Director, GAB, shall maintain record of complaints received and the corrective actions taken.

12. Appeals

12.1 Appeals

12.1.1 The applicant/CAB-VV may file an appeal against the decision of GAB to the President of GAB through Director. The appeal will be handled as per the appeals procedure. Appeals procedure is made available to the applicant/CAB-VV on request.

12.1.2 Director, GAB, shall keep records pertaining to the appeals received and corrective actions taken by GAB.

13. Public Information & Availability of Accreditation Scheme

13.1 GAB shall make public announcement of the accreditation scheme, criteria of accreditation, application for accreditation, fee schedule, cross-reference matrix and other related documents on its website and make them available in print form on specific request on chargeable basis.

13.2 GAB shall maintain a list of accredited CAB-VV and applicants on its website. It also makes this information available on request

13.3 This accreditation scheme is open to all applicants within the capability and scope of GAB.

13.4 GAB shall make public information about suspension and withdrawal of accreditation.

14. Confidentiality and Disclosure

- 14.1 The information obtained regarding CAB-VV system of the applicant bodies and accredited bodies that are not of the nature of public information shall be kept confidential by all staff members of GAB, panel of assessors, experts and the committee members.
- 14.2 If GAB has to share any confidential information due to the requirements of law of the land, the concerned CAB-VV body shall be informed (if not prohibited by law) of the extent of disclosure and the body to whom the disclosure has been made.

15. OBLIGATION OF APPLICANT/ACCREDITED CAB AND GAB

- 15.1 The obligations of the applicant/accredited CABs and GAB are specified in detail in Annex 4.

ANNEX 1

ACCREDITATION SCOPES AND WITNESS ASSESSMENTS

1. OBJECTIVE:

To provide guidance on the classification of Scope/ Sectors for the purpose of accreditation and planning for witness assessments

2 SCOPE:

This Annex applies to Accreditation of CAB-VV by GAB.

3 RESPONSIBILITY:

Director, GAB, or nominated person is responsible for ensuring compliance.

4 DESCRIPTION:

4.1 Scope Classification

GAB shall accredit CAB-VV for sectors for Greenhouse Gas Validation and Verification based on Annex A of IAF MD 14. For the purpose of witnessing and grant of accreditation, the sectors have been classified based on complexities as “Complex” and “Non-Complex” and grouped from A-F for organizations (ISO 14064-1) and Projects (ISO 14064-2) in Table 1.1 and 1.2 below:

Table 1.1 Organization Verification (ISO 14064-1)

	Sector	Examples of included activities	Complexity	Witness Groups
1.	Power Generation and Electric Power Transactions	Transmission of Electricity	Complex	A
		Generation of bulk electric power		
		Transmissions from generating facilities to distribution centers and/ or distribution to end users		
		Renewable energy systems		
		Purchased electricity, steam		
2.	General Manufacturing (physical or chemical transformation of materials or substances into new products)	Manufacturing – Electric and electronics equipment, industrial machinery	Complex	A
		Manufacturing – Food processing		
		Civil engineering, e.g. construction, will get covered under this sector		

3.	Oil and Gas Exploration, Extraction, Production and Refining, and pipeline distribution, including Petrochemicals	Conventional exploration and production	Complex	B
		Oil sands and heavy oil upgrading		
		Coal bed methane production		
		Gas processing plants		
		Gas well completions		
		Transportation and distribution		
		Natural gas storage and LNG operations		
		Crude oil transportation		
		Refining		
		Petrochemical manufacturing		
		Emissions from process vents in oil and gas treatment		
		Process emissions (e.g. glycol dehydration, acid gas removal/ sulphur recovery, hydrogen production, fluid catalytic cracker (FCC) catalyst regeneration)		
		Venting emissions (e.g. vessel loading, tank storage and flashing, and venting of associated gas)		
		Fugitive emissions (e.g. leaks from equipment and piping components)		
Non-routine events (e.g. gas releases during planned pipeline and equipment maintenance, releases from unplanned events)				
4.	Metals Production	Production of processing of ferrous metals	Complex	C
		Production of secondary aluminium		
		Processing of non-ferrous metals, including production of alloys		
		Production of coke		
		Metal ore roasting or sintering, including pelletisation		
		Production of pig iron or steel including continuous casting		
5.	Aluminium production	Primary aluminium	Complex	C

6.	Mining and mineral production	Production of cement clinker and production of lime or calcinations of dolomite or magnetite	Complex	C
		Glass and ceramic, mineral wool		
7.	Pulp Paper & Print		Complex	D
8.	Chemical Production	Production of carbon black	Complex	D
		Production of ammonia		
		Production of bulk organic chemicals by cracking, reforming, partial or full oxidation or by similar processes		
		Production of hydrogen and synthesis gas by reforming or partial oxidation		
		Production of soda ash and sodium bicarbonate		
		Production of nitric acid		
		Production of adipic acid		
		Production of glyoxal and glyoxylic acid		
9.	Carbon Capture and storage	Capture and transport of GHG by pipelines for geological storage	Complex	B
		Geological storage of GHG in a storage site		
10	Transport	Aviation	Complex	A
		Other Transportation		
11	Waste handling and disposal	Water and waste water treatment	Non-Complex	E
		Landfill and composting facilities		
12	Agriculture, Forestry and Other Land Use (AFOLU)		Non-Complex	F
13	General	Building Services/Facility Management	Non-Complex	A
		Education		
		Hospital		
		Others		

Table 1.2 Project Validation and Verification ISO 14064-2

Scope	Description	Technical Areas		Complexity	Witness Groups
1.	Energy Industries (renewable/non-renewable sources)	1.1	Thermal energy generation from fossil fuels and biomass including thermal electricity from solar	Complex	A
		1.2	Energy generation from renewable energy sources	Non-Complex	
2.	Energy Distribution	2.1	Electricity distribution	Non-Complex	A
		2.2	Heat Distribution		
3.	Energy demand	3.1	Energy demand	Non-Complex	A
4.	Manufacturing Industries	Cement sector		Complex	B
		Aluminium			
		Iron and steel			
		Refinery			
5.	Chemical industry	Chemical process industry		Complex	D
6.	Construction	Construction		Non-Complex	A
7.	Transport	Transport		Non-Complex	A
8.	Mining and mineral production	Mining and mineral processes, excluding oil and gas industry, coal mine methane recovery and use		Complex	C
		Oil and gas industry, coal mine methane recovery and use			
9.	Metal Production	Metal Production		Non-Complex	B
10.	Fugitive emissions from fuels (solid, oil and gas)	Mining and mineral processes, excluding oil and gas industry, coal mine methane recovery and use		Non-Complex	B
		Oil and gas industry, coal mine methane recovery and use			

11.	Fugitive Emissions from Production and Consumption of Halocarbons and Sulphur Hexafluoride	Chemical process industry	Non-Complex	D
		GHG Capture and destruction	Non-Complex	
12	Solvent use	Chemical process industry	Complex	D
13	Waste handling and disposal	13.1 Waste handling and disposal	Non-Complex	F
		13.2 Animal Waste management	Non-Complex	F
14	Afforestation and Reforestation	14.1	Non-Complex	E
15	Agriculture	15.1 Agriculture	Non-Complex	F
16	Carbon Capture of CO ₂ in geological formations	16.1 Carbon Capture of CO ₂ in geological formations	Complex	G

4.2 Grouping of scopes

For the purpose of witnessing and grant of accreditation, the sectors have been grouped into 6 groups A to F for organizations (ISO 14064-1:2006) and Projects (ISO 14064-2:2006) in the table below:

Group	Complexity	Organizational Verification ISO14064-1	Project Validation and Verification ISO 14064-2
A	High	Power Generation and Electric Power Transactions (fossil fuel Thermal)	Energy Industries (Thermal)
	Low	Power Generation and Electric Power Transactions (Renewable Non-thermal) General Manufacturing (Physical or chemical transformation of materials or substances into new products -including Construction) Pulp, Paper and Printing Transport (including aviation) General	Power Generation (Renewable – Non- Thermal) Energy Distribution Energy demand General Manufacturing (including Construction) Transport (including aviation)

B	High	Oil & Gas Exploration, Extraction, Production and Refining; and pipeline distribution, including Petrochemical	Refinery Oil and Gas industry, Coal Mine Methane, recovery and use.
	Low	Chemical production	Solvent use, Chemical process industry Fugitive emissions of fuels
C	High	Metals Production Aluminium production	Metal Production (Ferrous and Non-ferrous)
	Low	Mining and Mineral Production	Mining and Mineral Production including Cement
D	High	Waste handling and disposal	Waste handling and disposal
E	High	Forestry and Other Land Use (AFOLU)	Forestry and Land Use
	Low	Agriculture	Agriculture
F	High	Carbon Capture and Storage	Carbon Capture and Storage

4.3 Witness Assessment Selection and Planning

4.3.1 Witness assessment selection and planning would depend on various factors including:

- type of GHG involved,
- agreed level of assurance, materiality level, objectives and scope;
- complexity involved in the GHG assertion, project plan and inventory,
- size of the validation/ verification activity,
- spread of validations/ verifications conducted per standard per scope/ technical area,
- grouped projects and/or several facilities within organization verification,
- multi-site location validation/ verification projects/ organizations,
- geographical location and spread of the validation/ verifications,

- Organizational links and interactions between stakeholders, responsible parties, client, intended users; and GHG scheme requirement.
- number of Validator and Verifiers employed / empanelled by the CAB-VV,
- feedback from market and complaints received,
- inputs from any office assessment,
- any other point of relevance as per IAF MD 6, etc, which GAB considers pertinent

4.4 Witness assessment for initial accreditation

4.4.1 For accreditation and grant of accreditation for scopes/sectors under ISO 14064-1 and ISO 14064-2, witness assessments shall be separately conducted for the respective standards.

4.4.2 In case there are no clients available for a particular scope/sector, the scope(s) may still be considered for accreditation. In such cases, GAB reserves the option to review complete reporting of the first client in that scope /sector. It would be the responsibility of the CAB-VV to keep GAB informed of undertaking validation/ verification in such scopes/ sector, prior to the issue of validation/ verification statement.

4.4.3 Witness Assessments shall be as below:

- One Witness assessment of Organizational Level Verification per Group for ISO 14064-1
- One Witness assessment of Project Level Validation per Group for ISO 14064-2
- One Witness assessment of Project Level Verification per Group for ISO 14064-2

4.4.4 For accreditation for ISO 14064-2,

- Witness of Project Level Verification will allow the grant of only Project Level Verification and not Project Level Validation for the applied sectors; while
- Witness of Project Level Validation will allow the grant of both Project Level Validation & Verification for the applied sectors.

4.4.1 Where applicant CAB-VV is being assessed for ISO 14064-1 and ISO 14064-2 accreditation, CAB-VV shall offer both validation and verification functions under ISO 14064-2.

4.4.2 Two witness assessments shall be required as minimum for being accredited for both the standards, which will include one organization level verification and one project validation in case a CAB-VV applies for both.

4.4.3 In case of CAB-VV seeking accreditation only for ISO 14064-1, only one witness would be needed.

4.4.4 In case of CAB-VV seeking accreditation only for ISO 14064-2, it shall be witnessed for one project level validation and one project level verification activity.

4.4.5 Each group shall require one witness from complex sectors for both Complex and Non-complex sectors in that group. (If Complex sector is not available, CAB-VV can offer one witness in non-complex section for seeking accreditation for all sectors in non-complex group).

4.4.6 Extension of non-complex sectors within the same group shall be granted without any witness based on document review/office assessment.

4.5 Restrictions in Scopes

Based on the available competence and / or recommendation of GAB-AT, Accreditation Committee may decide to restrict grant of accreditation to a part of the sectors described. The accreditation schedule would indicate the actual coverage in terms of scopes, programmes and specific technical area.

4.6 Witness assessments for surveillance

4.6.1 Witnessing is a part of surveillance and shall be conducted for each of the standards separately.

4.6.2 GAB may demand to witness a specific Validator and/or Verifier or any organization issued with validation/ verification statement.

4.6.3 The normal plan for witnessing based on the number of validations and/or verifications (V/V) as well as the number of Validators and Verifiers employed / empanelled by the CAB-VV would be as follows.

#.	No. of CAB-VV reports in past 6 months under GAB accreditation	No. of witnesses required /6 months
1	0-50	1
2	50-150	2
3	151-500	3
4	501 & above	4

#.	No. of validators & verifiers employed / empanelled by CAB-VV	No. of validators and verifiers to be witnessed annually
1	1-10	2
2	11-50	4
3	51 and above	6

Note: The number of witnesses determined based on the above two tables are not to be added. The higher number determined by each of the above two tables decides the number of witnesses to be undertaken every year.

4.7 Other Witness assessment requirements

4.7.1 GAB-AT for witness assessment shall have the same number of assessors as the number of validators/ verifiers from the CAB-VV.

4.7.2 In case of multi-sites/ grouped projects or facilities for organization verification; all sites/ projects/ facilities as covered by the CAB-VV, shall be covered by GAB-AT.

4.7.3 GAB-AT may include technical experts, on chargeable basis.

4.7.4 Minimum man-days required for witness assessment shall be decided by Director, GAB, or the nominated person on case-to-case basis.

4.7.5 Documentations supporting validation/ verification activities, competence of personnel with approvals, and basis for approval, procedures, etc should be sent for offsite review prior to conducting witness assessment.

4.7.6 GAB-AT shall assess methodology of CAB-VV in qualifying its personnel involved in the validation and verification activity, including persons performing pre-engagement and independent review for sectors within the Groups.

4.7.7 Where witness assessment is considered unsatisfactory, during any stage of assessment, additional witness assessment shall be conducted in addition to the evidencing closure of findings, where applicable.

ANNEX 2

ASSESSMENT DURATION AND MANDAYS AS PER ISO 14065

The normal assessment duration would be as follows

- Document review (Manuals, procedures, other documents as needed) – 3 mandays
- Review of corrective actions and revised documents – to be estimated by GAB Secretariat
- Office assessment – Minimum 4 man-days for one CAB-VV programme, at least one man-day would be added for each extra programme covered in assessment. Need for any additional man-days for specific situations would be estimated by GAB Secretariat and informed to the CAB-VV in advance
- Witness assessments – At least one man-day.
- Follow up assessments – To be estimated by GAB secretariat
- In case of initial accreditation assessment, the preparation of final report by team leader - 1.5 man-day
- In case of reaccreditation assessment (if witnessing and number of offices are part of the process) - preparation of final report by team leader and virtual closing meeting, if needed - 1.0 man-day.
- Review of response to NCs – as per document on timelines for assessment process
- Surveillance assessments – At least 2 man-days for CAB-VV but same may be more depending upon the number of programmes covered.
- Any extension of scope assessment – May require both office assessment and witnessing an estimation of which would be informed by GAB secretariat.
- Branch office / sub-contractor assessment – generally 1 man-day depending on the activities carried out in the branch

ANNEX 3

NORMS FOR USING REPORTS FROM OTHER ACCREDITATION BODIES

a. Background:

GAB, as a member of APAC & IAF, is obliged to recognize accreditations issued by other MLA signatory accreditation bodies. A provision exists in the MLA procedures of APAC & IAF for exchange of documents among ABs and to recognize the work done by each other.

GAB procedure for accreditation also includes a provision for using reports issued by other accreditation bodies.

Therefore, GAB would consider reports of other ABs who are signatory to IAF/APAC MLA for the applicable standard.

For the purpose of GHG related validation and verification, GAB will take into consideration the accreditation assessment and performance assessments on GHG validation and verification conducted by other non-IAF/APAC members under other internationally recognized GHG programs and standards, such as Clean Development Mechanism (CDM), Voluntary Carbon Standard (VCS), Gold Standard (GS) etc. Other such agencies include United Nations Framework for Climate Change Convention (UNFCCC), VCS, GS, etc.

b. Framework for use of reports from other ABs for initial assessments

1. GAB would consider Use of reports of Document review, onsite office assessment or onsite witness assessment from other ABs.
2. Extent of assessment to be carried out in the form of Document Review, onsite assessment, witness assessment shall be decided by Director, GAB and recorded as part of the assessment programme.
3. GAB would consider witness assessment reports and shall treat them as per accreditation procedure of GAB.
4. Reports of witness assessments should be reasonably current – not older than 2 years on the date of GAB assessment. The scope of the witness assessment should be the same as applied by CAB.
5. GAB would follow IAF Guidance on exchange of documents among IAF MLA signatories. The reports would be sought from AB directly based on the information provided by the CAB-VV. It shall be the responsibility of the CAB-VV to ensure that the AB concerned releases the reports.

6. CAB-VV shall also confirm that there had been no issues raised by the other accreditation body on competency requirements during their previous assessment.
7. GAB / Accreditation Committee may decide not to use such reports citing clear reasons.

ANNEX 4**OBLIGATIONS OF THE APPLICANT / ACCREDITED VALIDATION AND VERIFICATION BODIES**

The obligations of applicant / accredited Validation and Verification body are:

- a. CAB-VV shall commit to fulfil continually the requirements for accreditation set by GAB for the scopes for which accreditation is sought or granted including adapting to changes in the requirements for accreditation as and when communicated and shall also commit to provide evidence of fulfilment.
- b. When requested, CAB-VV shall provide such access and cooperation as is necessary to enable the accreditation body to verify fulfilment of requirements for accreditation. This applies to all locations where the activities of CAB-VV take place.
- c. CAB-VV shall provide access to its personnel, locations, equipment, information, documents and records as necessary to verify fulfilment of requirements for accreditation.
- d. CAB-VV shall provide access to those documents that provide insight into the level of independence and impartiality of CAB-VV from its related bodies, where applicable.
- e. CAB-VV shall arrange the witnessing of their activities when requested by GAB.
- f. CAB-VV shall have, where applicable, legally enforceable arrangements with their clients that commit the clients to provide, on request, access to GAB-ATs, to assess CAB-VV's performance when carrying out validation and verification activities at client's site.
- g. CAB-VV shall claim accreditation only with respect to the scope for which it has been granted accreditation.
- h. CAB-VV shall commit to follow GAB's policy for the use of the accreditation symbol
- i. CAB-VV shall not use its accreditation in such a manner as to bring GAB into disrepute.
- j. CAB-VV shall timely pay fees as determined by GAB.
- k. CAB-VV shall inform without delay, any significant changes relevant to its accreditation, in any aspect of its status or operation relating to:
 - Its legal, commercial, ownership or organizational status,
 - The organization, top management and key personnel,
 - Main policies,
 - Resources and locations,
 - Scope of accreditation, and

- Other such matters that can affect the ability of CAB-VV to fulfil requirements of accreditation.
- l. The CAB-VV shall assist in investigation and resolution of any accreditation related complaints about itself, referred to it by GAB.

Obligations of GAB

- a. GAB shall provide information on accreditation to the accredited CAB-VV that shall identify the following:
- i. the identity and where relevant, GAB logo
 - ii. name of the accredited CAB-VV and name of the legal entity, if different
 - iii. scope of accreditation
 - iv. locations of the accredited CAB-VV and as applicable the validation and verification activities performed at each location and covered by the scope of accreditation
 - v. unique accreditation identification of accredited CAB-VV
 - vi. effective date of accreditation and, if applicable, its expiry or renewal date, and
 - vii. a statement of conformity and a reference to international standard(s) and or other normative document(s) including issue or revision used for assessment of the CAB-VV

GAB shall make all the above information publicly available. GAB shall also make publicly available, where applicable, information on withholding of reaccreditation, extension of validity of accreditation and suspension or withdrawal of accreditation, including dates and scopes.

- a. GAB shall, where applicable, provide information about international arrangements in which it is involved.
- b. GAB shall give due notice of any changes to its requirements for accreditation. It shall take account of views expressed by interested parties before deciding on the precise form and effective date of the changes. Following a decision on, and publication of, the changed requirements, it shall verify that each accredited body conforms to the changed requirements.



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