Annex II(D)
Management System Checklist
(for Validation and/or Verification in Respect of a Specific Validation and/or Verification Programme)

The validation and/or verification body which provides validation and/or verification service in respect of a validation and/or verification programme shall complete the following checklist, which will be used for determining if the validation and/or verification programme satisfies the criteria set out in HKCAS SC-17.

This checklist consists of questions based on the requirements of HKCAS SC-17. For further information, please refer to the corresponding clause as listed in the second column.

The validation and/or verification body shall indicate in the 'Supporting Document' column, for every question, the supporting document which can demonstrate that the validation and/or verification programme satisfies the criterion.

The column headed 'OK' is for internal use of HKAS Executive.

A softcopy of this completed checklist shall be provided to HKAS Executive by email or other means.

Management System Checklist
(for Validation and/or Verification in respect of a specific Validation and/or Verification programme)

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at GHG validation/verification body
HKAS Policy on Validation and Verification Programme offor Environmental Information				
Does the programme owner (PO) maintain sufficient evidence and justification that the validation/verification activity and the standard selected for the accreditation of validation/verification body is appropriate?	HKCAS SC-17 3.1	☐		
Does the PO make a general description of the validation/verification programme publicly available without request? Are the programme documents, including the criteria and process to be used in assessing conformity be publicly available? In addition, does the PO make the validation/verification programme publicly available for application without restriction by number of membership or other limitations?	HKCAS SC-17 3.2	☐		
Does the PO demonstrate that the validation/verification programme has been validated? Is the validation documented and included the following aspects:	HKCAS SC-17 3.3	☐		
3.3.1 a description of the purpose of the validation/verification programme;		☐		
3.3.2 a description of the requirements of the validation/verification programme;		☐		
3.3.3 an analysis of the appropriateness of the established requirements for fulfilling the defined purpose of the validation/verification programme;		☐		
3.3.4 a description of the methods to be used for determining fulfilment of the requirements;		☐		
3.3.5 an analysis showing that the described methods to be used for determining fulfilment of the requirements are appropriate;		☐		
3.3.6 the decision on the validation/verification activity to be used (including identification of the applicable validation/verification standard); and		☐		
3.3.7 an analysis showing that the selected validation/verification activity is appropriate?		☐		

Management System Checklist
(for Validation and/or Verification of Greenhouse Gas Statements at Organisation Level, and Validation and/or Verification of Greenhouse Gas Statements at Project Level)

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at GHG validation/verification body
In case the PO provides any clarification on the validation/verification programme to any interested party, is the information also available to HKAS and validation/verification body within the validation/verification programme?	HKCAS SC-17 3.4	☐		
Does the PO have a legally enforceable agreement with validation/verification body it authorizes which, as a minimum, ensure that the validation/verification body use the validation/verification programme as published by the PO, without any additions or reductions, and comply with PO rules for applying the symbol/statement/mark, as applicable?	HKCAS SC-17 3.5	☐		
Does the PO have a procedure for dealing with complaints relating to the validation/verification programme, ensuring that complaints processes of validation/verification body's clients, validation/verification body and HKAS are not affected? Are the investigation and decision on complaints not result in any discriminatory actions?	HKCAS SC-17 3.6	☐		
Is an arrangement describing the relationship and the terms of cooperation between the PO and accreditation bodies be established? Any requirements for accreditation bodies shall be part of the validation/verification programme and not individual arrangements. HKAS may, at its discretion, not accept some or all these requirements or terms of cooperation.	HKCAS SC-17 3.7	☐		
If the PO monitors the validation/verification body, does it consider cooperation with HKAS and have a feedback mechanism to provide information on the performance of the validation/verification body to HKAS?	HKCAS SC-17 3.8	☐		
Does the PO develop the validation/verification programme with the participation of technically competent representatives of interested parties? Does the PO demonstrate that the validation/verification programme has credibility with relevant industry, appropriate regulatory authorities or relevant professional groups?	HKCAS SC-17 3.9	☐		

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at GHG validation/verification body
Does the PO have a process for a periodic review of the validation/verification programme taking into account the experience gained and the feedback received from parties interested in the validation/verification programme?	HKCAS SC-17 3.10	☐		
Does the PO monitor the development and review of the standards and other normative documents, whether its own or external, which define the specified requirements used in the programme? Where changes in the normative documents of the validation/verification programme occur, does the PO have a process for making the necessary changes in the validation/verification programme, and for managing the implementation of the changes (e.g. transition period) by the validation/verification body's' clients and, where necessary, other parties interested in the validation/verification programme?	HKCAS SC-17 3.11	☐		
Are the changes to the validation/verification programme that affect the output of the validation/verification programme be validated according to clause 3.3 of HKCAS SC-17?	HKCAS SC-17 3.12	☐		
A validation/verification programme for environmental information is a set of rules, procedures and management for carrying out validation/verification activities in a specific sector. Are these rules, procedures and management not contradict or exclude any of the requirements of ISO/IEC 17029: 2019 and ISO 14065: 2020? Does the validation/verification programme cover the following elements:	HKCAS SC-17 4.1	☐		
4.1.1 Selection of the object(s) of validation and verification, including selecting specified requirements to be assessed and planning information collection and sampling activities;		☐		
4.1.2 Determination, including the use of one or more determination methods to develop complete information regarding fulfilment of the specified requirements by the object of validation and verification;		☐		

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at GHG validation/verification body
4.1.3 Review, decision and attestation, including the review of evidence from the determination stage. Conclusion based on the results of the review as to whether fulfilment of specified requirements has been demonstrated and a subsequent attestation that the object of validation and verification has been reliably demonstrated to fulfil the specified requirements, and any subsequent marking or licensing and their related controls, where applicable?	HKCAS SC-17 4.1	☐		
Does validation/verification programme include the following:	HKCAS SC-17 4.2	☐		
4.2.1 the objectives of the programme for the specific industry or intended user group;		☐		
4.2.2 the scope of validation and verification (including the type of environmental information and its associated information where applicable, e.g. boundaries, facilities, processes, time period, etc.)		☐		
4.2.3 the validation and verification criteria (e.g. validation and verification standards);		☐		
4.2.4 specific competence criteria for the validation and verification team and V/VB;		☐		
4.2.5 process for validation and verification; 4.2.6 evidence gathering activities of validation and verification;		☐ ☐		
4.2.7 reporting of validation and verification; 4.2.8 any specific applications or explanations of ISO/IEC 17011: 2017, if applicable; and		☐ ☐		
4.2.9 any specific application or explanation of ISO/IEC 17029: 2019 and ISO 14065: 2020, if applicable?		☐		
Where applicable, are the requirements in the validation/verification programme be written in terms of results or outcomes, together with limiting values and tolerances?	HKCAS SC-17 4.3	☐		
Are the requirements in the validation/verification programme be stated unambiguously using wording that is objective, logical, valid and specific and enable consistent application by organisations as well as evaluation across validation/verification body?	HKCAS SC-17 4.4	☐		

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at GHG validation/verification body
Where the validation/verification programme includes legal requirements, are these requirements formulated in such a way that compliance is a condition for outcome of conformity assessment?	HKCAS SC-17 4.5	☐		
Does the validation/verification programme describe the method used to monitor that the validation and verification statement holder continues to comply with the requirements, if applicable?	HKCAS SC-17 4.6	☐		
Where the PO authorisation is given before accreditation, which implies that the validation/verification body can perform validation and verification activities covered by the validation/verification programme and may have the right to use the PO's mark, does the validation/verification programme require the validation/verification body to be accredited in a defined period of time?	HKCAS SC-17 4.7	☐		
Does the validation/verification programme specify the decision made about the environmental information statement in the validation/verification documents?	HKCAS SC-17 4.8	☐		
Where the validation/verification programme provides the use of validation and verification marks and/or allows marking any reference, is there a license and/or rules or another form of enforceable agreement to control such use and/or reference?	HKCAS SC-17 4.9	☐		
Does the validation/verification programme specify a manner by which the PO monitors validation/verification body, beyond requiring that the validation/verification body are accredited to the validation/verification programme requirements?	HKCAS SC-17 4.10	☐		
If any validation/verification programme specific requirements are placed on HKAS, are they not contradict or exclude any of the requirements of ISO/IEC 17011: 2017, relevant IAF guidelines, policies and other requirements?	HKCAS SC-17 4.11	☐		