



PRE-ASSESSMENT REPORT (Version 01.0)

Entity name and address:	
UNFCCC entity ref. no.:	
Pre-assessment type:	☐ Requested by the Supervisory Body; or ☐ Voluntarily requested by the AE
Sectoral scopes applied for:	☐ 1. Energy industries (renewable - / non-renewable sources) ☐ 2. Energy distribution ☐ 3. Energy demand ☐ 4. Manufacturing industries ☐ 5. Chemical industry ☐ 6. Construction ☐ 7. Transport ☐ 8. Mining/Mineral production ☐ 9. Metal production ☐ 10. Fugitive emissions from fuels (solid, oil and gas) ☐ 11. Fugitive emissions from production and consumption of halocarbons and sulphur hexafluoride ☐ 12. Solvents use ☐ 13. Waste handling and disposal ☐ 14. Afforestation and reforestation ☐ 15. Agriculture ☐ 16. Carbon dioxide capture and storage in geological formations ☐ 17. Other activities involving removals
A6.4-AT leader's name:	
A6.4-AT members' names:	

NOTE:

1. A pre-assessment is conducted to identify gaps and to raise deficiencies, instead of any NC(s), between the AE's current documentation/processes and the requirements specified in the Standard: Article 6.4 accreditation.
2. Based on the type of pre-assessment, the assessment team is to complete the following tables based on the check items within the scope of the pre-assessment as per the Article 6.4 accreditation procedure, paragraph 55 (a) or (b).
3. This form is relevant to the Article 6.4 accreditation standard and the Article 6.4 accreditation procedure.
4. The following tables are only checklists, refer to the A6.4 accreditation standard for the detailed requirements.
5. Substantiate and explain, in the comments column, compliance (or lack thereof) with each of the requirements.

Criteria Requirement	Assessment	
	Complies (Yes/No)	Comments (Substantiate the compliance or non-compliance)
4.3 Principles		
1. Does the entity have a principle of integrity? (Para 9)		(Please check if the entity has the principle of integrity in place throughout the validation or verification process as per paragraph 9. Please refer to the paragraphs 27 and 28 for the requirements on the measures established)
2. Does the entity have a principle of risk-based approach to ensure that the risks associated with providing competent, consistent and impartial validation and/or verification/certification are taken into account throughout the accreditation term? (Para 10)		
6. Legal status and matters		
1. Describe the supporting documents provided by the entity to establish its legal status (e.g., registration documents, memorandum and articles of association, etc.) Do the provided documents establish the legal status of the entity? (Para 12)		(The VVC functions may be conducted by a defined part of the legal entity and please refer to the footnote 10 and paragraph 21)
2. Has the entity documented a procedure for handling of judicial processes and maintained a record of all the judicial processes pending against it as well as information of any judicial process held in the past (Paras 13-14).		(Please describe how the documented procedure covers judicial process as described as per paragraph 13 and steps as per paragraph 14.)

Criteria Requirement	Assessment	
	Complies (Yes/No)	Comments (Substantiate the compliance or non-compliance)
3. Does the entity have any pending judicial processes? (Para 15)		
7. Finance and Liability		
1. Has the entity provided documentation demonstrating its financial stability? (Para 16)		
2. Has the entity documented a procedure for monitoring its income and expenditure to determine the financial stability and financial resources required for its operation of A6.4 related activities at least annually? (Para 17)		
3. Does the entity have a system for analysis of potential risks arising out of its A6.4 activities (validation, verification & certification)? Has the entity provided a documented analysis of potential liabilities arising out of its A6.4 activities (validation, verification & certification)? (Para 18)		(Describe how the arrangements cover the identified risks arising from its VVC activities in the geographic areas it operates as per paragraph 18.)
4. Does the entity have a system to ensure that potential liabilities are assessed and adequate arrangements to cover liabilities are provided? (Para 19)		(Provide information as referred to in the footnotes 13 and 14.)

Criteria Requirement	Assessment	
	Complies (Yes/No)	Comments (Substantiate the compliance or non-compliance)
8.Entity management		
1. Does the documented management structure/chart include lines of authority, responsibilities and allocation of functions stemming from top management (e.g. management personnel, responsibility for final decision making, validation and verification/certification (VVC) personnel, operational and supervisory committees etc.)? Does the documented management structure and authority and responsibility include all functions described in paras 24 and 25?. (Paras 20-21)		(When A6.4 VVC functions are conducted by a defined part of the legal entity which engages in activities other than A6.4 VVC functions, the management structure shall include the structure of the entire legal entity showing line of authority and the relationship of the defined part involved in A6.4 VVC functions and all other defined parts involved in activities other than A6.4 VV/C functions.)
2. Are the names, qualifications, experience and terms of reference of the top management personnel and other management personnel documented? (Para 22) Has this been documented for all management and top management functions? (Paras 24-25)		(Please refer to paragraph 75 while reviewing paragraphs 24 and 25.)
3. Has the entity documented a procedure for allocation of responsibilities? (Para 23)		

Criteria Requirement	Assessment	
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4. Is there a documented procedure to cover appointment, terms of reference and operation of any committees that are involved in A6.4 policy making and operational functions? (Para 26)		
9. Integrity		
Has the entity established a code of integrity and conduct to ensure that its personnel and outsourced entities maintain integrity? (Paras 27-28)		(Please describe the measures established to ensure that all entity personnel and outsourced entities maintain integrity)
10. Independence		
Is the entity an independent body neither owned by nor linked to any entity that is engaged in prohibited activities as detailed in the para 40? (Paras 29-30)		(Please describe the activities of the entity and its related bodies and please refer to paragraph 40)
11. Safeguarding impartiality		
1. Has the entity documented a policy on safeguarding impartiality and a system of ensuring that this policy is understood at all levels? (Paras 32-33)		

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2. Has the entity enclosed a statement that describes its understanding of the necessity of impartiality in validation and/or verification/certification functions, how it manages conflict of interest, and how it ensures the objectivity of validation and/or verification/certification functions? (Para 34(b))		
3. Does the documented structure to safeguard impartiality of the entity's operations include the Impartiality Committee and the impartiality committee's reporting to top management? Are the terms and reference of the impartiality committee documented? (Paras 35-37)		
4. Does the entity have a system in place to ensure compliance with the para 40? Has the entity established a documented procedure for analyzing potential threats against impartiality and is this reviewed at least annually? (Paras 41-42)		(Please describe how the AE complies with the paragraph 40)
5. Has the entity enclosed a documented analysis of all potential conflicts of interests? (Paras 43-45)		

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6. Has the entity established a documented procedure for the mitigation of threats against impartiality? Does the procedure describe mitigation strategies and actions? Does the procedure ensure coverage of situations referred to in para 50? (Paras 46-48)		(Describe how the documented procedure covers (i) the situation whenever a change in the conflict-of-interest analysis has occurred or in a case where a potential or actual conflict of interest has materialized as per paragraph 47 and (ii) the provisions under the paragraph 48.) (Check if the document procedure covers aspect for its management personnel, top management personnel and validation and verification/certification personnel amongst others to reveal required information as per paragraph 48(g).)
7. Does the entity's system include an annual analysis and review of all data relevant to impartiality? (Paras 49-51)		
12. Human resources and competence		
1. Does the entity have a system to determine human resource requirements related to the type, range and volume of estimated/planned workload for each TA in which the entity intends to operate and in the sectoral scopes in which the entity has applied for accreditation or has been accredited? (Paras 52-53)		
2. Does the entity have internal resources to perform management functions as described in paras 24 and 25? (Para 54)		

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3. Describe which of these two options (internal and/or outsourcing) are used by the entity to fulfill the requirement of sufficient resources for the functions other than management functions. (Para 55) Does the entity have a system to evaluate the sufficiency of competent resource availability at least annually? (Para 56)		
4. Are the personnel carrying out VVC functions, including full-time/part-time/internal/external resources (i.e. outsourcing to an external individual), under the supervision of a responsible senior executive of the entity? (Para 57)		
5. Has the entity got at least one person qualified in the technical area to participate on the VVC and at least one person qualified to participate on technical review, in at least one technical area for each sectoral scope it intends to get accredited for and for each technical area it intends to operate in? (Para 58)		(The DOE shall have personnel for at least one technical area as defined in Appendix 2 within each sectoral scope for which it has applied for accreditation or has been accredited).
6. Has the entity documented a procedure for recruitment of personnel? (Para 59)		

Criteria Requirement	Assessment	
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7. Does the documented procedure to outsource functions require (i) outsourcing to legal entities only (ii) take full responsibility for all outsourced activities, (iii) contractual agreement with outsourced body to (a) perform VVC functions in accordance with A6.4 rules and requirements (b) comply with applicable requirements of the accreditation standard, and the entity's policies/procedures including provisions related to confidentiality and impartiality? (Paras 60-62)		(Review if the central office and related body are as per the definition specified in the paragraphs 8(d) and 8(q) respectively.)

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8. Does the documented procedure to use outsourcing to an external individual (i.e. external resources) require: (i) the entity to establish a contract with the external individual or its company, (ii) external individuals to comply with the entity's policies and procedures, including confidentiality and impartiality/independence. (iii) external individuals to notify the entity of any actual/potential impartiality issues? Do the requirements with respect to competence, evaluation and qualification, monitoring of performance, maintenance of competence, training as well as personnel records, as defined in sections 12.2.2 and 12.3.1–12.3.3 apply to external individuals? (Paras 66-68)		
9. Has the entity established a procedure for determining the required competence? Has the entity documented the initial competence analysis and competence criteria for top management, management and VVC personnel? (Paras 69-71)		(Review whether the initial competence analysis provides competence criteria for top management personnel, management personnel and VVC personnel as per paragraph 71.)

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10. Are the documented competence criteria in compliance with accreditation standard requirements for the: (Paras 72, 74 and appendixes 2 and 3)		(Refer the technical knowledge related to (i) methane monitoring technologies and oil and gas reporting and mitigation framework as per the for TA10.1, (ii) agroforestry and mangroves for TA14.1, (iii) activities related to CO ₂ capture and storage for TA16.1 and (iv) activities related to CO ₂ removal for TA17.1 if these TAs apply to entity (Refer competence requirement including SD tool amongst others as per appendix 3, table 1, No: 1, 3), a) and b) and table 2, No: 1.)
i. management personnel (Para 24)		
ii. top management (para 25)		
iii. VVC teams (Para 74)		
iv. validation team (Para 74)		
v. verification team (Para 74)		
vi. validator/verifier (Para 74)		
vii. team leader (Para 74)		
viii. technical expert (Para 74)		
ix. technical review team (Para 74)		
11.Has the entity established a system to evaluate adequacy of its competence criteria taking into account performance of VVC functions as well as technological and scientific developments and the knowledge and skill which may be required in order to maintain competence in sectoral scopes and technical areas in which the DOE operates or intends to operate? (Para 73)		(Refer to the definition of skill as per paragraph 8(t).)

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12.Has the entity documented a procedure for evaluation, demonstration and qualification of personnel? Does this procedure include the competence criteria as determined in paragraphs 69-73 and provisions in appendixes 2 and 3 for all its functions? (Paras 75-76)		(Review the documented procedure covers the provisions related to evaluating its management personnel and top management personnel for demonstrating that they have appropriate competence and meet applicable requirements and for qualifying and authorizing them before performing such activities as per paragraph 75.) (Review how the documented procedure addresses the qualifications of personnel for management and top management functions as per paragraph 76(b)(i).)
13.Does this documented procedure include evaluation and demonstration of competence in accordance with the A6.4 accreditation standard? (Paras 77-79)		
14.Has the entity documented a procedure for monitoring the performance of VVC personnel? Does the documented procedure for performance monitoring include on the job performance evaluation, subsequent continuous monitoring, ensure maintenance and update of competence of its personnel, monitoring processes, and monitoring method? (Paras 80-84)		
15.Does the documented procedure for training include identification of training needs, evaluation of effectiveness of training provided, and maintenance of records for both qualified personnel and to-be qualified personnel? (Paras 85-87)		

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13. Information management		
1. Does the entity have a system to maintain information and make it publicly available on its website as required under para 88? (Para 88)		(Refer to information related to accreditation and allocation of responsibilities amongst others as per paragraph 88 (a) and (c).) (A process sheet or process diagram based on the complaint handling procedure and appeals handling procedure is acceptable for the paragraph 88 (e) and (f))
2. Has the entity documented the confidentiality policy and mechanism to safeguard the confidentiality of information obtained from project participants? (Para 89)		
3. Does the mechanism require the entity personnel to be bound by the confidentiality requirements, and obtain written consent of the project participants for any information which may be made public prior to any such information being disclosed except for information which is required to be made publicly available by the CMA? (Paras 90-91)		

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14. Validation and verification/certification process		
1. Does the documented procedure for contract review include proposal/quotation submission after conduct of contract review, attaining necessary information, approval of contract review before entering into a contract, establishing legally enforceable contract with client, and maintaining records of contract review? (Paras 92-97)		(Review information related to SD tool and outcome of the local stakeholder consultation amongst others as per paragraph 94.) (Please confirm there is a provision that contracts are not signed with either the project developers or consultants as per paragraph 96. Further, (i) if there are two types of contracts (i.e. technical and payment agreement) a contract covering the technical aspect signed with the activity participants for provision of VVC services contains or covers all requirements specified in paragraph 94 is adequate and (ii) if there is more than one contract, the contracts shall be interlinked)
2. Does the documented procedure include selection of the VVC team ensuring team competence, impartiality etc.? (Paras 98-102)		
3. Does the documented procedure for performing VVC ensure that these activities are carried out in accordance with the requirements in CMA decisions, the VVS, the PCP and other A6,4 Supervisory Body decisions? Does the procedure have the provision to ensure that the VVC plan is prepared, tasks for the team are defined, and that a qualified team leader and technical expert participate in the site visit? (Paras 103-104)		

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4. Does the documented procedure include a technical review process prior to issuance of the final VVC certification opinion and report? (Paras 105-106)		
5. Does the documented procedure require that a successful technical review be carried out before management approval of the final VVC certification opinion and report? (Paras 107-109)		
6. Does the documented procedure for the conduct of VVC functions include other relevant processes? (e.g. proposing new methodologies, requests for clarifications and post registration changes).		
7. Does the documented procedure for the conduct of VVC functions include responding to requests for review from the A6.4 Supervisory Body?		
8. Does the documented procedure for the conduct of VVC functions include submission of requests for registration and issuance?		

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15. Quality management system		
1. Does the entity have a documented quality management system, policies and objectives? Do the documents of the entity specify who is responsible to establish the above? Has the entity put measures in place to ensure that the policies and objectives are understood, implemented and maintained? (Paras 110-113)		
2. Is there a person designated as A6.4 quality manager who has direct access to top management of the entity, for example chief executive, board members, etc.? (Para 114)		
3. Is there a documented procedure for the control of documents which sufficiently covers the control of documents as per the A6.4 accreditation standard? (Paras 115-116)		
4. Is there a documented procedure for defining the controls needed for the entity's records, and maintenance and management of records including records pertaining to the entity's validation and/or verification/certification functions? (Paras 117-122)		(Describe entity system for records retention time as per paragraph 119.)

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5. Does the documented procedure for internal audit specify that the internal audit shall be carried out at least annually for both the entity and any outsourced entity, conducted independently by the DOE's own qualified personnel or an external qualified expert addressing all A6.4 requirements, adequately recorded, and implementation and effectiveness of corrective actions? (Paras 123-125)		(Describe the predetermined schedule and procedure as per paragraph 124.)
6. Does the documented procedure for corrective actions include identification and management of non-conformities (for the entity and outsourced entity), recording, monitoring effectiveness of corrective actions etc.? (Paras 126-129)		
7. Does the documented procedure for preventive actions include identification of potential sources of non-conformities/improvement opportunities (for entity and outsourced entity), and for taking preventive actions? (Paras 130-131)		(The potential sources of non-conformities and areas for improvement may be from many of sources, including the outcome of risk control and opportunities for improvement as referred to in paragraph 10)
8. Does the entity address the management reviews as part of the procedures at least annually? (Para 132)		(Describe the predetermined schedule and procedure as per paragraph 132)

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9. Do the management reviews sufficiently cover the requirements with regard to VVC functions? (Para 133)		(Please confirm if the management review also covers the effectiveness in managing risks associated with conducting the VV/C work as per the paragraph 133 (k)))
10. Do the procedures require that the decisions taken in the management reviews are recorded and followed up for sustained improvement? (Paras 134-135)		
16. Complaints, dispute and appeal process		
1. Is the documented procedure for handling of complaints, disputes and appeals, adequate to effectively handle complaints, disputes and appeals? Are the personnel involved in investigating the complaint/disputes/appeals independent of the personnel involved in the A6.4 validation/ verification certification activities? Does the appeal process require establishment of an independent appeal panel responsible for the appeal process? (Paras 136-137)		
Has a provision been made to make the procedure for handling disputes available to the client upon request or if a dispute occurs? (Para138)		

RECOMMENDATION OF THE A6.4-AT AFTER PRE-ASSESSMENT		
The A6.4-AT conclusion	Yes/No	Comments
The level of documentation is complete and adequate as per type of pre-assessment specified in the Article 6.4 accreditation procedure		
Any additional information required for additional round of desk review (if not referred to under comments)		
The A6.4-AT recommends resuming the additional round of desk review		
General Comments:		
Signature by A6.4 AT leader	Date:	

Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
01	7 November 2025	Initial publication of form template.
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