



Annex 1

CDM ACCREDITATION
STANDARD FOR OPERATIONAL ENTITIES

(Version 02)

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I. Abbreviations

AE/DOE	Applicant entity ¹ /Designated Operational Entity
CDM AP	CDM accreditation panel
CDM AT	CDM assessment team
CDM EB - The Board	CDM Executive Board
CDM PP	CDM project participants
CDM PA	CDM project activities
CDM M&P	Modalities and procedures for a clean development mechanism as defined in Article 12 of the Kyoto Protocol, Decision 3/CMP.1
COP/MOP	The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol
DNA	Designated National Authority
GHG	Greenhouse gas
PDD	Project design document
V&V	Validation and verification

¹ In case where a DOE applies for re-accreditation or additional sectoral scopes it is also considered as an AE.



II. Introduction

A. Objective and scope

1. The purpose of this document is to facilitate and promote common understanding and consistent implementation of the CDM accreditation requirements by providing users with a compilation of all the CDM accreditation requirements in a single document.
2. The CDM accreditation standards described in Appendix A to Decision 3/CMP.1 (CDM M&P) specify the requirements applicable to AEs and DOEs. An **Applicant entity /Designated Operational Entity (AE/DOE)** shall also comply with the requirements described in other sections of the **modalities and procedures for a clean development mechanism as defined in Article 12 of the Kyoto Protocol, Decision 3/CMP.1 (CDM M&P)** and in the decisions and/or clarifications issued by the **Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (COP/MOP)** and the **CDM-EB CDM Executive Board (the Board)** as detailed in paragraph 6 below. The text of each requirement described in Appendix A to the CDM M&P and related references in the CDM M&P is provided in a text box and the relevant elaboration of each such requirement in accordance with the COP/MOP and **CDM-EB the Board** decisions and accepted practice in accreditation is provided immediately after the text box.
3. For mandatory provisions, the term “shall” is used throughout this document. The term “should” is used for indicating a typical means for meeting a requirement, and if the AE/DOE uses alternative means, it shall provide a suitable and adequate justification for the alternative means.

B. Terms and definitions

4. The definitions provided in the “Glossary of CDM terms²” shall apply. For terms specific to the CDM accreditation process that are not defined in the “Glossary of CDM terms” the definitions below shall apply.
5. CDM accreditation: Formal recognition by the **CDM-EB Board** of an AE’s institutional capacity and competence to carry out the CDM validation and/or verification/certification functions³ in accordance with the CDM accreditation requirements.
6. CDM accreditation requirements: The CDM accreditation requirements are defined in the following documents:
 - (a) Appendix A to the CDM M&P;
 - (b) Section E “Designated operational entities” of the CDM M&P;
 - (c) Section G “Validation and registration” of the CDM M&P;

² For glossary of CDM terms see <<http://cdm.unfccc.int/Reference/glossary.html>>.

³ In accordance with the CDM M&P DOEs shall perform CDM validation and verification functions. The requirements for the DOEs to perform these functions are defined in the CDM validation and verification manual. The AEs, seeking their accreditation, shall integrate the provisions of the validation and verification manual into their quality management systems. Hereafter, the same note applies to the phrase “the validation and/or verification/certification functions”.



- (d) Section I “Verification and certification” of the CDM M&P; and
- (e) Relevant decisions issued by the COP/MOP and/or the Board CDM-EB.

7. Complaints: Formal (written) and/or informal (verbal) expressions of dissatisfaction regarding the performance of a DOE in relation to its CDM function(s), from any source, such as the CDM client’s organization (CDM PP), the general public or its representatives, government bodies, NGOs, etc.

8. Disputes: Disagreement between a DOE and the project participant (PP) regarding the DOE’s recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions.

9. Appeals: A CDM client organization’s (CDM PP) request for a review by an independent appeal panel of various decisions taken by a DOE in respect of validation and/or verification/certification functions.

10. Related body: An organization and/or body related to an AE/DOE on the basis of common ownership and/or governance, personnel, shared resources, finances, contracts, marketing and payment of commission or other inducement for bringing in business or the referral of new clients, etc.

11. Competence: Ability to apply knowledge and skills to CDM validation and/or verification/certification functions with a view to achieve intended results, in accordance with CDM accreditation requirements.

12. Knowledge: The theoretical and/or practical understanding of a subject.

13. Skills: To carry out in practice; to do.

14. Technical area: A sub-sector of a CDM sectoral scope defined based on the nature of technical processes, applicable methodologies, monitoring requirements and environmental impacts.

15. Complex technical area: A sub-sector of a CDM sectoral scope where: (a) operations with diverse components and/or processes that are independent and interrelated with others; (b) operations may be conducted in different configurations and the inter linkages between these components are diverse.

16. Validation/verification team: One or more validators and/or verifiers performing validation and/or verification functions including one or several technical experts as needed. One validator/verifier shall be appointed as the validation /verification team leader.

17. Validator/verifier: A person with the required competence appointed to perform the validation/verification activity in a validation/verification team.

18. Technical expert: A member of the validation/verification team who provides specific technical input.

19. Designated operational entity (DOE): An entity designated by the COP/MOP, based on the recommendation by the Board CDM-EB, as qualified to validate proposed CDM project activities (CDM PA) as well as to verify and certify reductions in anthropogenic emissions by sources of GHG (greenhouse gases) (GHG) and net anthropogenic GHG removals by sinks. A DOE shall perform either validation or verification/certification functions related to a CDM project activity. Upon



request, the Board CDM-EB may however allow a single DOE to perform all these functions for a single CDM project activity.

20. Non-conformity: Non-fulfilment of the CDM accreditation requirements.
21. Corrective action: Action to eliminate a detected non-conformity and the cause of a detected non-conformity.
22. Preventive action: Action to prevent the occurrence of non-conformity(ies) or improve the effectiveness of its function.



III. Legal issues

Appendix A to the CDM M&P

1. An operational entity shall:
 - (a) Be a legal entity (either a domestic legal entity or an international organization) and provide documentation of this status;

23. An AE/DOE shall be a legal entity under applicable national and/or international law so that it can function legally, enter into contracts, make decisions independently and may be sued.

24. The accreditation shall be granted to a legal entity irrespective of whether the entire organization or a part of it performs the validation/verification functions.

25. The accreditation shall be confined to the CDM functions and sectoral scopes as indicated by an AE in its completed application form for accreditation, subject to successful completion of the accreditation assessment by the CDM assessment team (CDM AT).

26. Even if the validation and/or verification/certification functions are carried out only by a part of a legal entity, the CDM AT shall examine all other activities of the legal entity that might affect its CDM operations, in particular, for potential conflicts of interest, independence and impartiality.

27. The central office of the DOE shall assume full responsibility for decision-making regarding validation, verification and certification, as well as quality assurance and control.

28. The DOE may allocate some functions to sites other than its central office in accordance with Annex A. Other sites include:

- (a) Branches and offices of the DOE other than its central office;
- (b) Offices of other legal entities belonging to the same group to which the DOE belongs.

29. The central office of the DOE shall establish the contractual arrangements with the other sites described in paragraph 28 (b) above for the allocation of functions.

30. Allocation of functions to other sites through contractual arrangements does not constitute the use of external individuals as described in paragraphs 65–67 below nor subcontracting as described in paragraphs 70–73 below.



IV. Human resources and competence

Appendix A to the CDM M&P:

1. An operational entity shall:
 - (b) Employ a sufficient number of persons having the necessary competence to perform validation, verification and certification functions relating to the type, range and volume of work performed, under a responsible senior executive;

AND

 - (f) Have, or have access to, the necessary expertise to carry out the functions specified in modalities and procedures of the CDM and relevant decisions by the COP/MOP, in particular knowledge and understanding of:
 - (i) The modalities and procedures and guidelines for the operation of the CDM, and relevant decisions of the COP/MOP and of the Executive Board;
 - (ii) Issues, in particular environmental, relevant to validation, verification and certification of CDM project functions, as appropriate;
 - (iii) The technical aspects of CDM project functions relevant to environmental issues, including expertise in the setting of baselines and monitoring of emissions;
 - (iv) Relevant environmental auditing requirements and methodologies;
 - (v) Methodologies for accounting of anthropogenic emissions by sources;
 - (vi) Regional and sectoral aspects;

AND

 - (g) An applicant entity shall make available:
 - (v) Its policy and procedures for the recruitment and training of operational entity personnel, for ensuring their competence for all necessary functions for validation, verification and certification functions, and for monitoring their performance.

A. Sufficiency of human resources

31. An AE/DOE shall have **a system** to determine **necessary** resources in order to meet the CDM accreditation requirements related to the validation and/or verification/certification functions that the AE/DOE undertakes or proposes to undertake.
32. An AE/DOE shall ensure that it has deployed sufficient resources relating to the type, range and volume of present and future estimated/planned workload.



33. An AE/DOE shall have sufficient internal resources for core functions defined in paragraph 105 below.
34. An AE/DOE shall evaluate the sufficiency of resources available to its CDM validation and/or verification/certification functions at least annually based on the necessary competence related to the CDM sectoral scopes, geographical locations of projects and expected volume of its validation and/or verification/certification functions. This evaluation should be based on past performance of its validation and/or verification/certification functions and future business projections.
35. The evaluation should enable an AE/DOE to ensure that required human resources remain sufficient for its validation and/or verification/certification functions.
36. The personnel carrying out validation and/or verification/certification functions irrespective of whether employed full time or part time on contract, shall be under the supervision of a responsible senior executive of an AE/DOE.
37. An AE/DOE may fulfil the requirements for sufficient resources, except those resources for core functions as described in paragraph 33 above, by:
- (a) Internal resources;
 - (b) Employing individuals on contractual basis; or
 - (c) Subcontracting.

B. Competence

1. General

38. An AE/DOE shall have documented procedure to determine the required competence related to its CDM functions, both at the management and validation/verification team level, including knowledge, skills and ability to apply the same.
39. An AE/DOE shall ensure that the competence of its resources is adequately meeting the determined level as described in paragraph 42–47 below.
40. An AE/DOE should evaluate the adequacy of the determined competence at least annually based on the performance of validation and/or verification/certification functions.
41. The evaluation should enable an AE/DOE to ensure that competence of the resources as defined by the AE/DOE remains adequate for its validation and/or verification/certification functions.

2. Competence for management functions

42. An AE/DOE shall demonstrate its commitment to the implementation of the CDM validation and/or verification/certification functions.
43. The AE/DOE shall ensure that its management is competent to:
- (a) Analyse and determine the human resource requirements;
 - (b) Evaluate and qualify the personnel;
 - (c) Allocate the personnel;



- (d) Assess applications and conduct of contract reviews;
- (e) Select validation and/or verification team members and independent technical review personnel; and verify their competence;
- (f) Maintain competence level of validation and/or verification/certification personnel and arranging any necessary training;
- (g) Supervise implementation of validation and/or verification/certification procedures;
- (h) Decide on validation and/or verification/certification functions;
- (i) Manage all functions of the AE/DOE including impartiality related activities; and
- (j) Implement overall quality management system.

3. Competence for validation/verification team

44. An AE/DOE shall ensure that members of a validation/verification team collectively have the necessary competence including:

- (a) Knowledge for specific CDM technical and methodological aspects, in particular, the items specified in paragraph 1. (f) (i) through (vi) of Appendix A to the CDM M&P including:
 - (i) The technical process, project design, methodology, baseline, project boundary, calculation of GHG, environmental impact and monitoring requirements, measurement techniques, calibration and uncertainty in the measurement of the applicable parameters, impact of failure of monitoring equipments on the measurement of emission reductions of the CDM project activity under validation/verification, as relevant to technical areas within the sectoral scopes relevant to the CDM project activity;
 - (ii) Assessment of additionality, including CDM related investment analysis as appropriate;
 - (iii) Quantification, monitoring and reporting of GHG emissions, including relevant technical and sector issues; and
 - (iv) Regulatory requirements relevant to CDM sectoral scopes and project activities.
- (b) Skills to perform validation and/or verification as described in paragraphs 45–46 below and to act in accordance with the applicable auditing principles and procedures; and
- (c) Ability to apply the knowledge and skills to perform validation and/or verification functions in order to achieve intended results.



45. A validation/verification team member shall **have skills that would enable him/her** to apply relevant auditing principles, procedures and techniques **inter alia**:
- (a) Plan and organize the work effectively and conduct the work within the agreed time schedule, to prioritise and focus on matters of significance;
 - (b) Collect information through effective interviewing, listening, observing and reviewing documents, records and data;
 - (c) Verify accuracy of collected information and confirm the sufficiency and appropriateness of gathered evidence to support audit findings and conclusions and prepare audit reports; and
 - (d) Communicate effectively, either through personal knowledge of the language or through help of an interpreter.
46. In addition to the above, the designated team leader shall have the following additional knowledge and skills **and the ability to apply them** in team leadership to facilitate the efficient and effective conduct of the validation/verification functions:
- (a) Plan and make effective use of human resources during the function;
 - (b) Represent the validation/verification team in communications with CDM PPs and organize and direct team members;
 - (c) Understand the validation/verification functions and lead the team to reach conclusions on various aspects of validation/verification process; and
 - (d) Prevent and resolve conflicts, if any, prepare and complete the validation/verification report and handle all the possible follow-up actions, as appropriate.

4. Competence for independent technical review

47. An AE/DOE shall ensure that the personnel involved in independent technical review have **the necessary competence to conduct these technical reviews, which includes** knowledge relevant to the specific **technical areas within CDM** sectoral scope, and project activity being validated and/or verified/certified.

C. Management of human resource and competence

1. Initial competence analysis

48. An AE/DOE shall conduct and document an initial competence analysis in response to the **identified** needs for each technical area within **CDM** sectoral scope, **as elaborated in Annex D**, in which it operates or proposes to operate. This analysis shall provide the basis for determining specific competence requirements for each function **within the AE/DOE**.

49. An AE/DOE should integrate the analysis **as described in paragraph 48 above with procedures for initial evaluation, qualification, and** training of its personnel, improvement of its quality management system and procedures for carrying out CDM validation and/or verification/**certification** functions.



2. Ensuring competence of personnel

(i) Validation/verification team members

50. An AE/DOE shall demonstrate how its personnel have acquired the required competence, as determined through the competence analysis, before qualifying them for relevant functions.

51. Initial qualification of validators and verifiers shall include the consideration of the criteria referred to in paragraph 64 below.

(ii) Validation/verification team leaders

52. In addition to the competence described in paragraph 44 above, an AE/DOE shall ensure that the team leader has competence typically gained by acting as a trainee team leader under the direction and guidance of another validator/verifier, already qualified as a team leader, for a minimum of two validation/verification functions. This competence may also have been gained by acting in the role of a team leader in other related areas.

3. Confirmation, maintenance and improvement of competence

(i) General

53. An AE/DOE shall establish a system to confirm, based on a performance evaluation, the competence of its personnel; and maintain and update competence to keep current with new requirements as described in paragraphs 42–47 above. The system shall take into account technological changes and changes in CDM requirements.

(ii) Evaluation and ongoing monitoring

54. An AE's/DOE's management shall have a documented procedure for ensuring satisfactory performance of all personnel involved in CDM activities on an ongoing basis, including initial on-the-job evaluation and subsequent monitoring and measurement of the performance of the validation/verification team members and other personnel involved in CDM activities.

55. The performance evaluation process should include three main steps:

- (a) Establishing the evaluation criteria (qualitative and/or quantitative);
- (b) Selecting the appropriate evaluation method; typical methods include review of validation/verification reports, on-site observation, interview and/or feedback from stakeholders; and
- (c) Conducting the evaluation.

56. The monitoring methods and frequency should depend on the type, range and volume of work performed by different personnel and the level of importance of their activities. In particular, an AE/DOE shall review the performance of its personnel in order to identify training needs.

(iii) Training

57. An AE/DOE shall have a documented procedure for identifying training needs on a regular basis taking into account new technical and regulatory needs. An AE shall provide the documented procedure available to the UNFCCC CDM secretariat with its application.

58. An AE/DOE shall establish and maintain a procedure for evaluating the effectiveness of the training and update it accordingly.

4. Competence requirements for composition of validation/verification teams

59. An AE/DOE shall establish a procedure for the selection of validation/verification team members that ensures that the validation/verification team collectively has the required competence in the technical, methodological and sectoral aspects of specific CDM Project activities.

60. In case where part of the validation/verification team is on-site, then the AE/DOE shall ensure that this part of the validation/verification team has the required competence including in the technical area within the CDM sectoral scope as described in paragraph 64 below.

61. The validation/verification team may include technical experts. The technical experts shall have specific expertise in technical/methodological and sectoral aspects.

62. The technical expert shall be familiar with an AE's/DOE's procedures for CDM validation/verification functions and shall have access to an up-to-date set of documented procedures giving relevant instructions and information on the CDM activities.

5. Qualification of the validation/verification team members for technical areas within CDM sectoral scope

63. An AE/DOE shall have a documented procedure for qualification of the personnel involved in validation/verification functions for technical areas within CDM sectoral scopes.

64. The qualification system shall include the consideration of the following criteria:

- (a) Knowledge and skills acquired through a combination of educational background, work experience and training as elaborated in Annex D to the CDM accreditation standard; and
- (b) Ability to apply knowledge and skills as demonstrated through evaluation of actual performance in validation/verification activities.



6. Use of external validators, verifiers and technical experts⁴

65. In cases where an AE/DOE uses external individuals on a contractual basis (validators, verifiers and/or technical experts), as provided for in paragraph 37 above to fully comply with its policy and the quality management system, it shall establish and implement a documented procedure for engaging external individuals.

66. The procedure shall require having a written agreement from the external individuals to comply with the AE/DOE's policies and procedures. The agreement shall address confidentiality and independence from commercial and other interests. The agreement shall also require external individuals to notify the AE/DOE of any existing or prior association with any CDM PP they may be assigned to validate/verify as well as actual or potential involvement in identification, development or financing of CDM activities.

67. The relevant requirements with respect to competence evaluation and qualification, training, monitoring and personnel records, as defined under paragraphs 44–46, 50–58 and 63–64 above and paragraph 74 below, shall also apply to these external individuals.

7. Recruitment

68. An AE's/DOE's management shall establish, document and implement appropriate system for recruitment/deployment and training of personnel so as to ensure their initial competence as stated above. An AE shall provide the documented procedure available with its application.

69. The AE/DOE shall maintain relevant records related to recruitment.

8. Subcontracting⁵

70. An AE/DOE may subcontract another legal entity to provide specific technical expertise⁶ that shall be supplemental to internal resources of the AE/DOE. In such cases, the AE/DOE shall establish and implement a documented procedure for subcontracting.

71. The AE/DOE shall remain responsible for the outcomes of the work carried out by subcontractors to comply with the requirements specified in the CDM M&P, the decisions of the COP/MOP and the Board CDM-EB.

⁴ The use of external individuals, as described in paragraphs 65–67, does not constitute allocation of functions to other sites as described in paragraphs 28–29 nor subcontracting as described in paragraphs 70–73. Use of an external individual, such as a validator, verifier and/or technical expert, aims at fulfilling a specific need in a validation or verification by supplementing the internal validation or verification team. The external individual operates as a regular member of the team, under the supervision of the team leader and the entity. The entity has to ensure the external individual meets competence requirements, provide adequate training as necessary, qualify the external individual, monitor his/her work and performance and maintain personnel records.

⁵ Subcontracting, as described in paragraphs 70–73, does not constitute allocation of functions to other sites as described in paragraphs 28–29 nor the use of external personnel as described in paragraphs 65–67.

⁶ Expertise relevant to technical issues related to validation and verification of CDM PA project activities, in accordance with paragraph 1 (f) (iii) of Appendix A “Standards for the accreditation of operational entities” of the CDM M&P.



72. The AE/DOE shall ensure that subcontractors and their personnel meet the relevant requirements contained in this standard and the AE/DOE's systems.

73. The AE/DOE shall provide documentation on evaluation of its subcontractors to the CDM ATs during assessments.

9. Personnel records

74. An AE/DOE shall maintain up-to-date personnel records of management and administrative personnel and the personnel performing the CDM validation/verification functions including those external to the AE/DOE. These records shall include relevant qualifications, training, experience, affiliations, professional status, and any consultancy services that may have been provided, as specified by paragraphs 114–119 below.



V. Liability and finance

Appendix A to the CDM M&P

1. An operational entity shall:
 - (c) Have the financial stability, insurance coverage and resources required for its functions;
 - (d) Have sufficient arrangements to cover legal and financial liabilities arising from its functions;

A. Financial stability

75. An AE/DOE shall demonstrate that it has the financial resources and stability required for its operations of CDM related activities through:

- (a) Evidence of financial resources including previous three years financial statements for companies existing for more than three years (balance sheets, profit and loss accounts, etc);⁷ or any other relevant evidence such as shareholders commitment for newly established companies; and
- (b) Business or work plan or equivalent financial plan for next three years.

76. This documented evidence must be sufficient to generate confidence that financial status shall not compromise the impartiality of the AE/DOE.

77. An AE/DOE shall have a documented procedure to continuously monitor its income and expenditure to determine the financial stability and financial resources required for its operations of the CDM related activities.

B. Liability

78. An AE/DOE shall demonstrate that it has analysed, identified and evaluated the nature, scale and impact of all potential financial risks arising from its CDM related activities and has adequate arrangements to cover the identified financial risks.

79. The means to cover potential financial risks shall be:

- (a) Liability insurance; or
- (b) Financial resource reserves, such as bank savings and/or short/long term liquidities.

⁷ In this context, financial statements audited by a related body may not be considered as “externally audited financial statements”.



VI. Process requirements

Appendix A to the CDM M&P

1. Operational entity shall:

- (e) Have documented internal procedures for carrying out its functions including, among others, procedures for the allocation of responsibility within the organization and for handling complaints. These procedures shall be made publicly available;

AND

Section E “Designated operational entities” of the CDM M&P– Requirements 27 (a), (b) and (e)

AND

Section G “Validation and registration” of the CDM M&P

AND

Section I “Verification and certification” of the CDM M&P

A. General requirements

80. An AE/DOE shall establish, document, implement and maintain documented procedures for carrying out its validation and/or verification/certification functions competently, in line with the requirements specified in the CDM M&P, the latest version of the CDM Validation and Verification Manual (VVM), and relevant decisions of the COP/MOP and the Board CDM-EB.

B. Contract review

1. Requests for validation and/or verification/certification application

81. An AE/DOE shall have a documented procedure for inviting and reviewing requests for applications from authorized representatives of CDM PPs. The request for application shall be designed to capture all the necessary information including complete details of the CDM project function that the CDM PPs would like the DOE to validate or verify/certify, so that for the DOE can establish:

- (a) Whether the project falls within the DOE’s accredited sectoral scopes;
- (b) Whether the DOE has necessary competence to take up the project; and
- (c) Whether impartiality issues are cleared in line with the CDM accreditation requirements.

82. Essential information that should be included in the application documentation which would enable the DOE to establish the above are:

- (a) The project design document (PDD) that defines project boundaries and sites included in assessment, the nature of the data needed for validation/verification and the methodology used;



- (b) Information about the CDM PPs, the host Party and its **designated national authority (DNA)**;
- (c) Information about persons or organizations engaged in identification, development, and consultancy and financing of the project activity;
- (d) Scope of the validation/verification; and
- (e) Contract period and the liability conditions.

2. Request for application review

83. Before entering into a contract, the DOE shall review the request for application and supplementary information to ensure that the requirements for validation/verification are understood and that the documentation is complete, accurate and verifiable. The DOE shall enter into a contract only if:

- (a) There are no impartiality issues that contravene the CDM accreditation requirements;
- (b) It has the **necessary human resources with required** competence to perform the validation/verification function under question;
- (c) It has been granted for CDM accreditation in the sectoral scope of the proposed project activity; and
- (d) Considerations such as location(s) of the applicant organization's operations, time required to complete the project and any other issues influencing the validation/verification such as language, safety conditions, etc., have been taken into account.

84. Complete details of the contract review process along with records of the justification for the decision to undertake the project function shall be documented and maintained.

3. Validation/verification contract review

85. An AE/DOE shall have a documented procedure for entering into a contractual agreement with the **project participant** for the provision of validation and/or verification/certification functions.

86. **Only DOEs may conclude contracts with CDM PPs for validation and/or verification/certification activities; any other entity shall not conclude such contracts. Contracts with CDM PPs for validation and/or verification/certification activities may be signed, under a power of attorney, by persons not employed by DOEs, but such contracts shall be in the name of the DOE.**

C. Selection of the team for validation/verification functions

87. An AE/DOE shall have a documented procedure for determining the competencies needed in its audit team, based on the contract review, and for the validation/verification opinions and decisions.

88. The team shall have the **necessary** competences as specified under paragraphs 44-46 and paragraph 60 **above**.



89. The DOE shall have confirmed that the personnel selected as team leader and/or team member(s) have no conflict of interest with respect to the CDM project activity as described in chapter XII below.

90. An AE/DOE shall have formal rules and/or contractual conditions to ensure that each validation/verification team member (validators, verifiers and/or technical experts) acts in an impartial and independent manner.

91. Each team member should inform the DOE, prior to accepting the assignment, about any known existing, former or envisaged link to the project activity.

D. Allocation of human resources for a specific validation/verification function

92. An AE/DOE shall have a documented procedure for determining the human resources needed for the team to carry out a complete and effective validation/verification. The DOE should record the human resources, such as man-days, allocated for each validation and/or verification/certification project activity and the justification for the allocation.

93. In determining the human resources needed for the team, an AE/DOE should consider and document the following aspects:

- (a) Complexity of the CDM project activity;
- (b) Risks associated with the project activity;
- (c) Technological and regulatory aspects;
- (d) Size and location of the facility; and
- (e) Type and amount of field work necessary for the validation/verification process.

E. Planning and performing validation/verification functions

94. An AE/DOE shall have a documented procedure for preparing a plan for the validation/verification. The plan should identify all the tasks required to be carried out in each type of project activity, the human resource needed for the team and identification of any specific sectoral scope(s) and geographical aspects.

95. The tasks given to each member of the validation/verification team should be clearly defined and communicated to the client (CDM PP).

96. In advance of the validation/verification, the DOE should provide the CDM PPs the names of the validation/verification team members and sufficient background information to allow the CDM PPs to object to the appointment of any particular member(s), with sufficient justification, and for the DOE to reconstitute the team in response to any valid objection. The DOE shall carry out V&V validation and verification as per the requirements specified by the latest version of the CDM Validation and Verification Manual VVM.

97. An AE/DOE shall have a documented procedure for conducting independent technical review of the draft validation/verification report prepared by the validation/verification team and decision-making. The decision on the assessed project activity shall be undertaken independently of the validation/verification team. The independent technical reviewer and the decision maker may be the same person.



VII. Information management

Appendix A to the CDM M&P

1. An operational entity shall:
 - (e) Have documented internal procedures for carrying out its functions including, among others, procedures for the allocation of responsibility within the organization and for handling complaints. These procedures shall be made publicly available;

AND

Section E of the CDM M&P

- 27 A designated operational entity shall:
- (f) Maintain a publicly available list of all CDM project activities for which it has carried out validation, verification and certification;
 - (g) Submit an annual function report to the Executive Board;
 - (h) Make information obtained from CDM project participants publicly available, as required by the Executive Board. Information marked as proprietary or confidential shall not be disclosed without the written consent of the provider of the information, except as required by national law. Information used to determine additionality as defined in paragraph 43 of the CDM M&P, to describe the baseline methodology and its application, and to support an environmental impact assessment referred to in paragraph 37 (c) of the CDM M&P, shall not be considered as proprietary or confidential.

A. General

98. An AE/DOE shall have a documented procedure for management of all information with respect to its validation and/or verification/certification processes.

B. Information to be made available in public domain

99. An AE/DOE shall have a documented procedure for uploading to their website the following information/documents.

- (a) A list of all CDM **PA project activities** for which it has carried out validation, verification and certification;
- (b) Information obtained from the CDM PPs marked as proprietary or confidential shall not be disclosed without the written consent of the provider of the information, except as required by national law. Information used to determine additionality as defined in paragraph 43 of Decision 3/CMP.1, to describe the baseline methodology and its application, and to support an environmental impact assessment referred to in paragraph 37 (c) of the same, shall not be considered proprietary or confidential and shall be made publicly available;
- (c) The PDD and the monitoring report obtained from the CDM PPs;



- (d) The ~~V&V validation and verification~~ reports by the DOE;
- (e) The certification report by the DOE; and
- (f) All documented procedures related to provision of information on ~~V&V validation and verification~~ services, the allocation of responsibilities within the AE/DOE and its procedures for complaints handling shall be made publicly available.

C. Information to be made available to the ~~Board CDM EB~~

100. The DOE shall submit an annual CDM activity report to the ~~Board CDM EB~~ in accordance with Annex C below.

101. The organizational structure, names, qualifications, experience and terms of reference of senior management personnel, such as the senior executive, board members, senior officers, team leaders and other relevant personnel, shall be made available annually to the UNFCCC CDM secretariat.



VIII. AE's/DOE's organization

Appendix A to the CDM M&P

1. An operational entity shall:
 - (g) Have a management structure that has overall responsibility for performance and implementation of the entity's functions, including quality assurance procedures, and all relevant decisions relating to validation, verification and certification. The applicant operational entity shall make available:
 - (i) The names, qualifications, experience and terms of reference of senior management personnel such as the senior executive, board members, senior officers and other relevant personnel;
 - (ii) An organization chart showing lines of authority, responsibility and allocation of functions stemming from senior management;

AND

Section E “Designated operational entities” of the CDM M&P – Requirements 26, 27 (a), (b), (c)

A. General

102. An AE/DOE shall have a documented organizational structure:
- (a) To work in a credible, independent, non-discriminatory and transparent manner, complying with applicable national law; and
 - (b) To safeguard impartiality, including provisions to ensure impartiality of its operations.

B. Organizational structure

103. An AE/DOE shall document its organizational structure, showing duties, responsibilities and authorities of management personnel, validation, verification and certification personnel and others involved in CDM activities and any operational or supervisory committees.

104. Any planned changes in the management, key staff and organizational structure shall be notified in advance in accordance with the CDM accreditation procedure. Any unexpected change(s) shall be notified to the UNFCCC CDM secretariat within ~~ten (10)~~ days of the change took place.

C. AE's/DOE's management

105. An AE/DOE shall identify top management (individuals, a group of persons or a board or committee) having overall authority and responsibility for the following functions:

- (a) Formulation and development of policy matters relating to the operations of the AE/DOE;



- (b) Establishment of quality management system in line with policies formulated;
- (c) Documentation of policies and procedures and their implementation;
- (d) Supervision and monitoring of implementation of policies and procedures;
- (e) Supervision of finances, administrative matters and dealing with contractual matters and arrangements;
- (f) Final decisions on validation and/or verification/certification;
- (g) Decisions relating to disputes and complaints; and
- (h) For providing adequate and competent human resources for validation/verification functions related to CDM; etc.

106. An AE/DOE shall have a documented procedure for the appointment, terms of reference and operation of any committees that are involved in its CDM policy making or operational functions.



IX. Quality management system

Appendix A to the CDM M&P:

1. An operational entity shall:
 - (g) Have a management structure that has overall responsibility for performance and implementation of the entity's functions, including quality assurance procedures, and all relevant decisions relating to validation, verification and certification. The applicant operational entity shall make available:
 - (iii) Its quality assurance policy and procedures;
 - (iv) Administrative procedures, including document control;

A. General

107. An AE/DOE shall establish, document, implement and maintain a quality management system for ensuring and demonstrating consistent application of the CDM accreditation requirements.

108. An AE/DOE shall make the QMS documentation available to the UNFCCC CDM secretariat when it submits its application and shall periodically update them to reflect any changes in the CDM accreditation requirements.

B. Responsibilities of top management

109. The top management of an AE/DOE shall demonstrate its commitment to the development and implementation of a quality management system in accordance with the CDM accreditation and validation/verification requirements.

110. The top management of an AE/DOE shall put into place measures to ensure that the policies are understood, implemented and maintained at all levels of the organization.

C. CDM quality manager

111. The top management of an AE/DOE shall appoint a member of management as a CDM quality manager, who, regardless of other responsibilities, shall have responsibility and authority for the following:

- (a) Ensuring that the AE/DOE's procedures for complying with CDM accreditation requirements are established, implemented and maintained; and
- (b) Reporting to the AE's/DOE's top management on the performance of the quality management system and proposing required improvements.

D. Document and record management system

1. Control of documents

112. An AE/DOE shall establish documented procedures to control all documents that form part of its CDM quality management system (internally generated or from external sources), such as quality



manual, procedures, and instructions, **V&V validation and verification** guidelines and procedures, regulations, standards, other normative documents. The documentation can be in any form or type of medium; e.g. paper, electronic.

113. The procedure should define the controls needed for the following:

- (a) Approval of documents by authorised personnel before they are issued;
- (b) Re-approval of documents by personnel authorised to approve changes before they are issued;
- (c) Identification of changes in documents and current revision status;
- (d) Availability of authorised and applicable versions of all required documents at points of use;
- (e) Prompt removal of all obsolete documents from all points of issue or use;
- (f) Suitable marking of all obsolete documents retained for legal or other reasons; and
- (g) Identification, update and distribution of external documents.

2. Control of records

114. An AE/DOE shall establish and maintain documented procedures to define the controls needed for the identification, collection, indexing, access, filing, storage, protection and retrieval of its records. The established procedures shall also define retention time and disposition of records.

115. Records of original observations, derived data and sufficient information used to follow an audit trail shall be maintained to demonstrate compliance with the CDM accreditation requirements

116. An AE/DOE shall establish procedures for retaining records for a period consistent with its contractual and legal obligations and the CDM accreditation requirements. All records should be held securely and safely so as to preserve all confidential information.

117. The record control procedures should protect and back up records to prevent unauthorised access to, or amendment of, these records.

3. Records pertaining to validation and/or verification/certification functions

118. An AE/DOE shall have a documented procedure for maintaining and managing specific records pertaining to its CDM validation or verification and certification activities including the following:

- (a) All information in respect of requests for validation/verification and the information received from the CDM PPs in relation to such requests;
- (b) Records pertaining to contracts, including the results of contract reviews;
- (c) Records pertaining to validation, verification preparation and planning;
- (d) Records pertaining to objective evidence collected during validation/verification functions;



- (e) Records pertaining to validation/verification assessment findings and conclusions/opinions;
- (f) Records pertaining to validation, verification and certification reports;
- (g) Records pertaining to any decision-making;
- (h) Records of complaints, disputes and appeals and their resolutions;
- (i) Personnel records, including evidence of the competence of validators/verifiers and technical experts;
- (j) Records of internal audits and actions taken based on the results of the audits; and
- (k) Records of management reviews and actions taken based on the reviews.

119. An AE/DOE shall have a procedure for securely transporting or transmitting documents and for securely maintaining them in accordance with its own specified retention period.

E. Internal audits

120. An AE/DOE shall have a documented procedure for conducting internal audits, at least once a year, and in accordance with a predetermined schedule and procedure, conduct internal audits of its CDM activities to verify that its quality management system is effective and to ensure that its operations continue to comply with the CDM accreditation requirements, relevant sections of the CDM M&P, relevant decisions and/or clarifications issued by COP/MOP and the **Board CDM-EB**, and its own documented procedures.

121. The internal audit should address all the CDM accreditation requirements.

122. The internal audit should:

- (a) Be conducted by personnel independent of the function audited, either AE's/DOE's qualified personnel or external qualified expert;
- (b) Include timely corrective actions to ensure compliance with the CDM accreditation requirements if audit findings cast doubt on the effectiveness of the operations or on the correctness of the CDM validation, verification and certification activities;
- (c) Ensure adequate recording of the function audited, the audit findings and corrective actions taken;
- (d) Verification and recording of the implementation and effectiveness of the corrective actions taken through follow-up audit activities; and
- (e) Address all elaborated requirements in the present documents.

F. Managing non-conformities in operation

123. The AE/DOE shall establish a procedure to identify non-conformities and undertake corrective and preventive actions in response to the internal audits, work carried out by the DOE and feedback from stakeholders.



124. The documented procedure to identify and manage the non-conformities shall ensure the following:

- (a) Designating the responsibilities and authorities for management follow-up;
- (b) Evaluation of the significance of the nonconforming work;
- (c) Appropriate actions to ensure compliance with the CDM accreditation requirements, including, if necessary, withholding of validation, verification reports and certification;
- (d) Allocating responsibility for authorizing the resumption of work;
- (e) Initiating corrective actions; and
- (f) Record the implementation of corrective actions and verify their effectiveness.

G. Corrective and preventive actions

1. Corrective actions

125. An AE/DOE shall establish a documented procedure and shall designate appropriate personnel for implementing corrective action when nonconformities or departures from the defined policies and procedures in line with the CDM accreditation requirements are identified.

126. The documented procedure shall address the following:

- (a) A procedure for implementing corrective action starting with an investigation to determine the root cause(s) of the problem;
- (b) The identification of corrective actions appropriate to the magnitude and the risk of the problem;
- (c) The implementation of corrective actions in a timely manner;
- (d) Maintenance of records corrective actions implemented, the results of documentation and implementation of any required changes in their internal systems resulting from corrective action investigations;
- (e) Monitoring to ensure that the corrective actions taken have been effective; and
- (f) Where the identification of non-conformities or departures casts doubts on the DOEs' compliance with its own policies and procedures, or on its compliance with the CDM accreditation requirements, an increase in the internal audit frequency.



2. Preventive Actions

127. In addition to the above, an AE/DOE should have a documented procedure for proactively identifying potential sources of non-conformities and areas for improvement and for implementing preventive actions to prevent the occurrence of non-conformities or improve the effectiveness of its **V&V validation and verification**/certification functions.

128. Documented procedures for preventive actions should include the initiation of such measures to ensure their effectiveness. Preventive actions taken should be appropriate to the probable impact of the potential problems. All records for preventive actions should be maintained.

H. Management review

129. The DOE shall conduct periodic management reviews of its CDM activities to ensure continuing suitability and effectiveness of the DOE's quality management system, consistency and implementation of its policy and procedures and its continual compliance with competencies to meet the CDM accreditation requirements.

130. The review output should also be utilised to introduce necessary changes and make improvements. This review should be carried out with a predetermined schedule and procedure but shall be conducted at least once a year.

131. The review should consider:

- (a) Follow-up actions from previous management reviews;
- (b) The suitability of policies and procedures;
- (c) Results of internal and external audits;
- (d) Feedback from stakeholders related to the fulfilment of the CDM accreditation requirements;
- (e) The status of corrective and preventive actions;
- (f) Results and status of quality assurance measures undertaken;
- (g) The fulfilment of quality objectives;
- (h) Status of complaints, disputes and appeals;
- (i) Recommendations for improvement;
- (j) Projects rejected or placed under review by the **Board CDM EB**; and
- (k) Other relevant issues such as changes in the volume and scope of work, resources, competences and personnel training, etc.

132. Findings from management reviews and the actions that arise from them shall be recorded. The typical outputs of the review should be actions for improvements in the working of the DOE aimed at better fulfilment of CDM related objectives and these should be indicated as measurable objectives.



X. Handling complaints, disputes and appeals

Appendix A to the CDM M&P:

1. An operational entity shall:
 - (g) Have a management structure that has overall responsibility for performance and implementation of the entity's functions, including quality assurance procedures, and all relevant decisions relating to validation, verification and certification. The applicant operational entity shall make available:
 - (vi) Its procedures for handling complaints, appeals and disputes;

AND

Please also see 1. (e)

A. Complaints

133. An AE/DOE shall establish a documented procedure to receive, evaluate, manage, take necessary corrective action and make decisions on complaints, and the documented procedure shall be made available to the UNFCCC CDM secretariat and the public.

134. The AE/DOE should have a system for investigating and taking appropriate correction and corrective actions in respect of complaints relating to ~~PP~~ project participant received by the DOE and related the validation, verification/certification activities of the DOE.

135. The DOE shall be responsible for all decisions at all levels of the complaints handling process. The personnel responsible for handling of complaints shall be identified.

136. The complaints-handling procedure should include the following:

- (a) The procedure for receiving the complaint, gathering and verifying all necessary information for evaluating the validity of the complaint, investigating the complaint and for deciding what actions are to be taken in response to it;
- (b) The criteria for determining the validity of complaints;
- (c) Tracking and recording complaints, including actions undertaken in response to them;
- (d) Ensuring that appropriate correction and corrective action are taken;
- (e) Safeguard the confidentiality of the complainant and subject of the complaint. This process should be subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint;
- (f) Ensuring that the persons engaged in the complaints handling processes are different from those who carried out the validation or verification and certification activities;
- (g) Acknowledging receipt of the complaint, providing the complainant a progress report where feasible;



- (h) Informing the complainant of the outcome of the investigation and the final notice of the end of the complaints handling process; and
- (i) Maintenance of record of complaints.

B. Disputes

137. An AE/DOE shall have a documented procedure for handling disputes which shall be made available to the UNFCCC CDM secretariat.

138. Disputes handling procedure should include the following:

- (a) The procedure for receiving the disputes, gathering and verifying all necessary information for evaluating the validity of the disputes, investigating the disputes and for deciding what actions are to be taken in response to it;
- (b) The criteria for determining the validity of disputes;
- (c) Tracking and recording disputes, including actions undertaken in response to them;
- (d) Ensuring that appropriate correction and corrective action are taken;
- (e) Safeguard the confidentiality of the disputes and subject of the disputes. This process should be subject to requirements for confidentiality, as it relates to the disputes and to the subject of the disputes;
- (f) Ensuring that the persons engaged in the disputes handling processes are different from those who carried out the validation or verification and certification activities;
- (g) Acknowledging receipt of the disputes, providing the disputant a progress report where feasible;
- (h) Informing the disputant of the outcome of the investigation and the final notice of the end of the disputes handling process; and
- (i) Maintenance of record of disputes.

C. Appeals

139. The AE/DOE shall establish, maintain and implement documented procedure for appeals which shall be made available to the UNFCCC CDM secretariat and the PP project participants.

140. Appeals process shall include:

- (a) An independent appeal panel responsible for the appeals process;
- (b) The provisions to ensure that the persons engaged in the appeals process differ from those who carried out the validation, verification or certification activities, and/or involved in independent technical review functions and made decisions regarding the CDM project function;
- (c) The submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant;



- (d) An outline of the process for receiving, acknowledging and investigating the appeal after ascertaining its validity, ensuring that decision take into account all the relevant information available and gathered as part of investigation;
- (e) Tracking and recording appeals, including actions undertaken to resolve them;
- (f) Ensuring that, if the investigation points towards a non-conformance, then appropriate correction and corrective action are taken to eliminate the gaps in the system, especially if investigation points towards any gaps in the system;
- (g) Safeguarding the confidentiality of appellants and the subjects of the appeal. This process shall be subject to requirements for confidentiality;
- (h) Providing the progress on appeal investigation and handling to the appellant and providing information/notice on final decision; and
- (i) Ensuring that the final decision shall be made by the independent appeal panel.

141. The DOE shall inform the appellant in case it is not satisfied with the decision of the appeal panel, and it has an option of complaining to the ~~Board~~ CDM-EB.



XI. Pending judicial processes

Appendix A to the CDM M&P:

1. An operational entity shall:
 - (h) Not have pending any judicial process for malpractice, fraud and/or other function incompatible with its functions as a designated operational entity.

142. An AE/DOE shall maintain a record of all the judicial processes pending against it as well as information of any judicial cases held in the past. If the subject matter of the cases is such that it is incompatible with its functions as a DOE, then the same shall be duly reported to its management and the UNFCCC CDM secretariat.

143. It is an AE's responsibility to inform the UNFCCC CDM secretariat of any such case pending at the time of application and therefore at any time during its accreditation cycle if any such case is instituted against it. Also, it is a DOE's responsibility to inform the UNFCCC CDM secretariat of the case at any time during its accreditation cycle if any such case is instituted against it.



XII. Safeguarding impartiality

Appendix A to the CDM M&P:

2. An applicant operational entity shall meet the following operational requirements:
- (a) Work in a credible, independent, non-discriminatory and transparent manner, complying with applicable national law and meeting, in particular, the following requirements:
- (i) An applicant operational entity shall have a documented structure, which safeguards impartiality, including provisions to ensure impartiality of its operations;
- (ii) If it is part of a larger organization, and where parts of that organization are, or may become, involved in the identification, development or financing of any CDM project function, the applicant operational entity shall:
- Make a declaration of all the organization's actual and planned involvement in CDM project functions, if any, indicating which part of the organization is involved and in which particular CDM project functions;
 - Clearly define the links with other parts of the organization, demonstrating that no conflicts of interest exist;
 - Demonstrate that no conflict of interest exists between its functions as an operational entity and any other functions that it may have, and demonstrate how business is managed to minimize any identified risk to impartiality. The demonstration shall cover all sources of conflict of interest, whether they arise from within the applicant operational entity or from the functions of related bodies;
 - Demonstrate that it, together with its senior management and staff, is not involved in any commercial, financial or other processes which might influence its judgement or endanger trust in its independence of judgement and integrity in relation to its functions, and that it complies with any rules applicable in this respect;

AND

Section E "Designated operational entities" of the CDM M&P 27.(d): Demonstrate that it, and its subcontractors, have no real or potential conflict of interest with the participants in the CDM project functions for which it has been selected to carry out validation or verification and certification functions;



A. General

144. The AE/DOE shall ensure its integrity at all times in its CDM V&V validation and verification/certification activities.

145. The AE/DOE shall act impartially and avoid any conflict of interest that may compromise its ability to make impartial decisions.

146. The AE/DOE shall ensure that there are no constraints that might influence its judgement or endanger its independence of judgement in relation to its validation and/or verification/certification activities, inter alia, by having sufficient resources either through internal or external resources.

147. The AE/DOE, if it is part of a larger organization, shall ensure that no conflict of interest exists between its functions as an AE/DOE and those of other parts of the organization.

148. The AE/DOE, if it has related bodies, shall ensure that no conflict of interest exists between its functions as an AE/DOE and those of the related bodies.

149. The AE/DOE shall ensure that it and its personnel have no relationship⁸ that creates threats to its impartiality.

B. Safeguarding impartiality at the policy level

150. The AE/DOE shall establish and implement a policy on safeguarding impartiality, demonstrating its understanding of the possible influence that can be exerted on it as an organization and/or on its personnel when validating and/or verifying/certifying CDM PA project activities, and stressing its commitment to fully address that issue.

151. The AE/DOE shall ensure that its policy on safeguarding impartiality is understood and implemented at all levels of the organization.

152. The AE/DOE shall ensure its impartiality at the policy level, inter alia, by:

- (a) Having the top management's commitment to safeguarding impartiality in the AE/DOE's validation and/or verification/certification functions as evidenced through defined institutional structure and impartiality policy and procedures, appropriate implementation of these policy and procedures and operation and conduct of its activities;
- (b) Having 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;
- (c) Taking action to respond to any threats to its impartiality arising from the actions of other parts of the organization, persons outside of the organization, subcontractors, related bodies or other bodies or organizations; and

⁸ A relationship that threatens the impartiality of the AE/DOE can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission or other inducement for the referral of new clients, etc.



- (d) Maintaining a professional environment and culture in the organization that supports a behaviour of all personnel that is consistent with impartiality.

153. The AE/DOE shall make publicly available its policy for safeguarding impartiality. The AE/DOE should put this policy on its website.

C. Safeguarding impartiality at the organization level

154. The AE/DOE shall have a committee that safeguards the AE/DOE's impartiality in its validation and/or verification/certification functions and ensures that the policy on safeguarding impartiality and related procedures and other systems are effectively implemented (Impartiality Committee).

155. The Impartiality Committee shall:

- (a) Be separated from the management of the AE/DOE operations and established at the highest level within the organization, independent of its day-to-day operations. The AE/DOE shall ensure, in the composition of this committee, participation of key interested parties⁹ with a balanced representation of each of them;
- (b) Have its chairman who shall be a person independent from and external to the AE/DOE;
- (c) Have documented terms of reference. This committee shall meet regularly, at least once a year, and a complete record of the proceedings of this committee shall be maintained;
- (d) Approve the conflict of interest analysis and the mitigation measures described in section D below as well as monitor and review the implementation of the systems to safeguard the AE/DOE's impartiality (conflict of interest analysis, procedures and mitigation strategies and actions);
- (e) Have access to all validation and/or verification/certification files or records and be able to review them, if needed. This committee needs not to intervene in or review each validation or verification/certification activity, but may need to review them in order to fulfil its mandate;
- (f) Prepare an annual synthesis report of its activities, which shall be included in the DOE's annual report to the Board CDM-EB as referred to in paragraph 100 above.

156. In cases where the Impartiality Committee identifies issues through the monitoring or review of the implementation of the AE/DOE's systems to safeguard impartiality, it shall report the instance to the AE/DOE's top management. If the top management does not follow the advices of the Impartiality Committee, this committee shall have the right to report the instance to the Board CDM-EB through the UNFCCC CDM secretariat.

157. Impartiality Committee's meetings may be observed by the CDM ATs as part of the AE/DOE's accreditation process.

⁹ Participation of key interested parties to an independent committee may include representatives from academic organizations, civil society, industry associations, and local/provincial/national government entities.



D. Safeguarding impartiality at the operational level

1. Analysis of threats against impartiality

158. The AE/DOE shall establish and implement a documented procedure for analysing potential threats against impartiality.

159. The AE/DOE's impartiality procedure shall ensure that a conflict of interest analysis is carried out at least once annually and whenever a significant change occurs in the AE/DOE activities, such as changes in the organizational structure or of the legal status and mergers with or acquisitions of other organizations.

160. While carrying out the conflict of interest analysis the following risks,¹⁰ but not limited to them, shall be included:

- (a) Source of revenue: risks from a client paying for the validation or verification/certification work. This risk is significant when the AE/DOE has numerous contracts with the same client;
- (b) Self-interest: risks from a person or an organization acting in its own interest, for example financial self-interest;
- (c) Self-review: risks from a person or an organization reviewing its own work; assessing the CDM validation or verification/certification activities of a client to whom the AE/DOE or its related bodies provided consultancy would be a self-review risk;
- (d) Familiarity (or trust): risks from a person or an organization being too familiar or trusting of another person instead of seeking validation or verification/certification evidence is a familiarity risk; and
- (e) Intimidation: risks from a person or an organization having a perception of being coerced openly or secretly, such as a risk to be replaced or reported to a supervisor.

161. While carrying out the conflict of interest analysis, the following activities of the AE/DOE or its related bodies, but not limited to, shall be considered as threats to impartiality:

- (a) Identification, development and/or financing of CDM PAproject activities;
- (b) Consultancy related to CDM PAproject activities;
- (c) Providing of training on CDM PAproject activities and other related topics;
- (d) Marketing and tie-up promotion with CDM consultancy/financing organizations;
- (e) Offering/payment of commissions or other inducements for promotion or new business;
- (f) Validation and/or verification/certification activities performed by a part of a larger organization whereas another part of the same organization is involved in activities such as CDM consultancy, CDM financing, laboratory testing and calibration which may provide CDM services and PDD development;

¹⁰ Drawn from Annex B to ISO 14065:2007(E).



- (g) Use of personnel for validation and/or verification/certification of a CDM project activity who were previously associated with the CDM PPs in their personal capacity or otherwise for any activity such as development, consultancy, training, etc.; and
- (h) Other organizational considerations such as performance targets in financial terms or in terms of a specific number of CDM PA project activities to be validated and/or verified/certified during a period of time.

162. While carrying out the conflict of interest analysis, the AE/DOE shall:

- (a) Evaluate sources of income and assess whether financial or other commercial factors do not compromise impartiality;
- (b) Identify and document its actual/proposed involvement in CDM activities other than validation and/or verification/certification and carry out and document analysis of actual and potential risk to impartiality;
- (c) Identify and document all related bodies and identify actual/potential risks to impartiality, including potential conflicts arising from any such relationships;
- (d) Disclose and document, in a transparent and comprehensive manner the following information, as a minimum: the types of activities carried out by the AE/DOE, its parent organization, entities belonging to the same group, related bodies, personnel and subcontractors in general and in particular regarding the CDM PA project activities, including development, financing, consultation and training; and
- (e) Clearly define the functions of its related bodies and their relationships with the AE/DOE when describing its organizational structure. This should cover all relationships, such as:
 - (i) Relationships based on common ownership and governance, personnel;
 - (ii) Shared resources, finances, and contracts; and
 - (iii) Marketing and payment of commission or other inducement for bringing in business or the referral of new clients, etc.

163. The conflict of interest analysis, among other relevant data, shall be an input for the Impartiality Committee.

2. Mitigation of threats against impartiality

164. The AE/DOE shall establish and implement a documented procedure for the mitigation of threats against its impartiality. This procedure shall describe which mitigation strategies and actions are to be taken and how they will be implemented. The mitigation actions may be through, inter alia:

- (a) Prohibitions – Certain defined activities should not be carried out;
- (b) Restrictions – Certain defined activities should be carried out in a restricted manner with clearly defined control points to ensure mitigation; and
- (c) Disclosures.



165. This procedure shall ensure the review of the mitigation strategies and actions whenever a change in the conflict of interest analysis has occurred.

166. This procedure shall ensure the following, at a minimum:

- (a) The DOE shall not have any direct relationship with its client other than validation and/or verification/certification work and third party conformity assessment;
- (b) The DOE shall not undertake validation and/or verification/certification of a CDM project activity if the DOE or another part of the same legal entity, a parent organization, an entity belonging to the same group or a related body has been engaged in any function that has been identified as a threat to impartiality, such as those listed in paragraph 161 above, relating to the CDM project activity;
- (c) The DOE shall not subcontract validation and/or verification/certification work to a legal entity that is engaged in the development, consultancy or financing of CDM PA project activities;
- (d) The DOE shall not use external validators, verifiers or technical experts in a CDM project activity if they, or the organization that employs them, have been engaged in the development, consultancy or financing of this CDM project activity;
- (e) The DOE's activities shall not be marketed or offered as linked with the activities of an organization that provides services in respect of development, financial assistance and consultancy for CDM PA project activities. The DOE shall not state or imply that validation and/or verification/certification regarding a CDM project activity would be simpler, easier, faster or less expensive if a specified consultancy/financing organization is used;
- (f) The DOE shall not use personnel who have been involved in, or have had relationships with the CDM PPs of, a CDM project activity under validation and/or verification/certification in any way within the last two years, to take part in validation and/or verification/certification work for the CDM project activity. If the person in question was involved in the development of a CDM project activity under validation and/or verification/certification, then the DOE shall not use such person at all;
- (g) The DOE shall require its personnel, internal and external, to reveal any potential conflict of interest known to them. The DOE shall use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them, and shall not use such personnel, internal or external, unless any potential conflict of interests has been addressed and the measures taken to address these potential conflicts have been documented and implemented. If during the course of validation and/or verification/certification, such instances are known, the concerned personnel shall be removed from those functions immediately;
- (h) The DOE shall require its personnel, internal and external, to report any situation of influence or pressure from CDM PPs that may threaten their independence in the course of validation and/or verification/certification of CDM PA project activities. Based on such report, the DOE shall take appropriate actions to ensure its independence in its validation and/or verification/certification work;



- (i) The conditions in the DOE's contracts with CDM PPs shall not link the DOE's payments to the final outcome of the validation or verification/certification activities;
- (j) The DOE's personnel involved in validation and/or verification/certification activities shall be bound by the DOE's impartiality policy and act impartially in their work through contractual or employment conditions and assignment conditions for each validation and/or verification/certification activity; and
- (k) The DOE's personnel involved in validation and/or verification/certification activities shall not provide, while making validation or verification/certification regarding a CDM project activity, any advice, consultancy or recommendation to CDM PPs on how to address any deficiencies that may be identified in the validation or verification/certification.

167. The mitigation strategies and actions, among other relevant data, shall be an input for the Impartiality Committee.

E. Review of effectiveness

168. The AE/DOE shall analyse and review, at least once a year, all data and information relevant to impartiality, such as the conflict of interest analysis, the mitigation strategies and actions undertaken, any non-conformities (NCs) raised with regard to impartiality and the corrective actions implemented to correct the NCs.

169. Based on the data/information referred to above, the AE/DOE shall carry out, once a year, an analysis of the process to safeguard impartiality and a review of its effectiveness.

170. The recommendations of actions resulting from the review of the process of safeguarding impartiality shall be reported to the AE/DOE's top management. The AE/DOE shall keep record of this review.



XIII. Confidentiality management

Appendix A to the CDM M&P:

- (2) (b) Have adequate arrangements to safeguard confidentiality of the information obtained from CDM project participants in accordance with provisions contained in the present annex.

171. An AE/DOE shall have a documented policy and mechanism to safeguard the confidentiality of information obtained or created during the course of validation and/or verification/certification functions, except where, Decision 3/CMP.1 or any other subsequent COP/MOP decision requires them to be made publicly available.

172. The personnel engaged by an AE/DOE shall also be bound by these confidentiality requirements. There should be a mechanism such as obtaining signed confidentiality agreements, etc, for ensuring the same.

173. An AE/DOE shall not disclose information about a contracted client (PP) that is not required to be made publicly available to a third party without the client's prior written consent. Further, it should inform the client before releasing confidential information to a third party, if required by law.

**Annex A: Allocation of functions to other sites**

1. The table below contains the accreditation requirements contained in this document and provides the rules for the functions that may be allocated to other sites as defined in paragraph 28 above of the CDM accreditation standard.

2. In the last column of the table, “YES” indicates that the function corresponding to the requirement may be allocated to other sites, and “NO” indicates that the function shall not be allocated to any other site than the central office of the AE/DOE. “N/A” indicates that the allocation of function is not applicable (e.g. the requirement is not a function). In cases where a requirement is for the AE/DOE to have a documented procedure, the corresponding function that can be allocated to other sites (if a “YES” is indicated) is that these sites shall implement the DOE’s procedure.

Chapter	Requirement	Function	Paragraphs	Other sites		
III	Legal issue		23-30	N/A		
IV	Human resources and competence	Sufficiency of resources	Determination of sufficiency	31-35	NO	
				36-37(a),(b)	YES	
				37(c)	NO	
	Competence		General competence functions		38-41	NO
			Competence for management functions		42-43	NO
			Competence for validation/verification team		44-46	NO
			Competence for independent technical review		47	NO
			Initial competence analysis		48-49	NO
			Ensuring competence of personnel		50-52	NO
			Confirmation, maintenance and improvement of competence		53-58	NO
	Management of human resource and competence		Competence requirements for composition of verification/validation team		59-62	NO
			Qualification of the validation/verification team members for technical areas within CDM sectoral scope		63-64	YES
			Use of external validators, verifiers and technical experts		65-67	YES
Recruitment				68-69	YES	
Subcontracting				70-73	NO	
Personnel records				74	YES	



Chapter	Requirement	Function	Paragraphs	Other sites	
V	Liability and finance	Financial stability	75-77	NO	
		Liability	78-79	NO	
VI	Process requirements	General requirements	80	NO	
		Contract review	Request for validation and/or verification/certification application	81-82	YES
			Request for application review	83-84	YES
			Validation/verification contract review	85 86	YES NO
		Selection of the team for validation/verification functions		87-91	YES
		Allocation for human resources for a specific validation/verification function		92-93	YES
		Planning and performing validation/verification functions		94-97	YES
VII	Information management	General	98	NO	
		Information to be made available in public domain	99	NO	
		Information to be made available to the Board/CDM-EB	100-101	NO	
VIII	AE/DOE organization	General	102	NO	
		Organizational structure	103-104	NO	
		AE's/DOE's management	105-106	NO	
IX	QMS	General	107-108	NO	
		Responsibilities of top management	109-110	NO	
		CDM quality manager	111	NO	
		Document and record management system	Control of documents	112-113	YES
			Control of records	114-117	YES
			Records pertaining to validation and/or verification/certification functions	118-119	YES
		Internal audits		120-122	NO
		Managing non-conformities in operation		123-124	NO
Corrective and preventive actions		125-128	NO		



Chapter	Requirement	Function	Paragraphs	Other sites
	Management review		129-132	NO
X	Handling complaints, disputes and appeals	Complaints	133-136	YES
		Disputes	137-138	NO
		Appeals	139-141	NO
XI	Pending judicial processes		142-143	NO
XII	Safeguarding impartiality	General	144-149	N/A
		Safeguarding impartiality at the policy level	150-153	NO
		Safeguarding impartiality at the organization level	154-157	NO
		Safeguarding impartiality at the operational level	158-167	YES
		Review of effectiveness	168-170	NO
XIII	Confidentiality management		171-173	YES

**Annex B: List of sectoral scope**

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.

In accordance with the procedural guidelines, the **CDM accreditation panel (CDM AP)** adopted this list of sectoral scopes which is based on the list of sectors and sources contained in Annex A of the Kyoto Protocol. Scopes 1 to 9 are industrial sectors and 10 to 13 are sectors based on sources of GHG emissions. For some of these scopes there might be partial overlap in terms of knowledge and skills. This list may be further modified in accordance with the procedural guidelines.



Annex C: Requirements for the preparation of the annual activity report by a DOE to the Board CDM-EB

1. In accordance with paragraph 27 (g) of the CDM M&P, DOEs are required to submit an annual activity report to the Board CDM-EB.
2. The requirements contained in this annex are to ensure consistency and completeness of reporting with respect to the key CDM activities of a DOE.
3. The annual activity report by a DOE shall have the following structure and content:
 1. **Introduction**
 - (a) Period covered by report;
 - (b) Purpose of report.
 2. **Accreditation status**
 - (a) Scope(s) accredited for and date of accreditation;
 - (b) Scope(s) applied for and status of application.
 3. **Organization**
 - (a) Major changes in organizational structure and personnel;
 - (b) List of sites, other than the DOE's central office, having carried out validation and/or verification/certification work;
 - (c) Use of external personnel;
 - (d) Use of subcontractors;
 - (e) Management systems;
 - (i) Internal audit(s) carried out;
 - (ii) Management review(s) carried out;
 - (iii) Complaints, disputes and appeals on CDM-related activities.
 - (f) CDM-related training undertaken.
 4. **Activities relating to the consideration of project activities**
 - (a) List of project activities;
 - (b) Status of project activities;
 - (c) Regional distribution of project activities;
 - (d) Sectoral scopes distribution of project activities;
 - (e) List of project activities declined, if any, including the reasons for doing so;



- (f) List of the projects activities undertaken in countries having less than 10 registered projects activities;
- (g) Number of projects activities under validation or verification per qualified auditor;
- (h) Average timeframes for the V&V validation and verification of project activities (from the signing of contract to submission of the request to the CDM-EB Board), divided by region;
- (i) Average fees for the V&V validation and verification of CDM projects activities, divided by region.

5. Impartiality

- (a) Report of the Impartiality Committee;
- (b) Other impartiality issues.

6. Interactions with interested parties

- (a) Interactions with the Board CDM-EB;
- (b) Interactions with other designated operational and/or applicant entities;
- (c) Interactions with other interested parties.

7. Financial statement

- (a) Annual income and expenditure relating to CDM related activities.

8. Challenges and lessons learnt

4. The annual activity report shall cover the period from 1 July of the preceding year to 30 June of the current year.

5. The DOE shall submit its annual activity report to the Board CDM-EB not later than 30 September.

6. The length of the annual activity report should not exceed five pages. All pertinent information shall be contained within the five pages. Supplementary information may be provided in annexes to the report.

7. The annual activity report shall be treated as confidential.

8. The annual activity report shall be signed by the Chief Executive Officer of the DOE.



Annex D: Technical Areas and initial qualifications for validations and verifications

1. This annex describes technical areas within the CDM sectoral scopes mentioned in paragraph 48 and paragraph 64 above of the CDM accreditation standard, and identifies and establishes the requirements for the initial qualification of personnel in each technical area to ensure that members of a validation/verification team, including where applicable a technical expert, collectively have the necessary competence.

A. Knowledge

(1) Educational background

2. Analysing the fifteen CDM sectoral scopes (SSs) and the methodologies linking these sectoral scopes, the following sector specific educational background is relevant for CDM sectoral scopes:

- (a) SS 6 (Construction): knowledge that might be obtained through civil or construction related education or equivalent;
- (b) SS 7 (Transport): knowledge that might be obtained through transportation related education or equivalent;
- (c) SS 14 (Afforestation and reforestation): knowledge that might be obtained through forestry related education or equivalent;
- (d) SS 15 (Agriculture): knowledge that might be obtained through agriculture related education or equivalent;
- (e) All other sectoral scopes: knowledge that might be obtained through disciplines in sciences, engineering, economics or equivalent.

3. Related formal education could be one or a combination of Advance Diplomas, Bachelor, Master and higher or equivalent.

(2) Work experience

4. Depending on the complexity of the technical area, experience shall be demonstrated through one or a combination of the following requirements:

- (a) Direct work experience in the field (with a minimum of one year in a technical area and three years in a complex technical area) for technical areas within the sectoral scopes; and/or
- (b) Related work experience project management or consultancy; and/or
- (c) Qualification¹¹ through validation/verification activities by means of under-training and successful under-observation assessments in a technical area within a sectoral scope.

5. Direct work experience in the field is mandatory for complex technical areas, which is gained through engagement¹² with industries and involvement in the processes of specific facilities within these identified complex technical areas.

6. The fulfilment of requirements for work experience relates to initial qualification of the AE/DOE personnel. The AE/DOE is responsible for establishing a system for continual monitoring the knowledge of its personnel qualified to the technical areas within sectoral scopes.

7. Complex technical areas are:

- (a) SS 1, TA 1.1: thermal energy generation from fossil fuel and biomass including thermal electricity from solar;
- (b) SS 4, TA 4.1 to TA 4.*n*: i.e. technical areas of cement, aluminium, iron and steel, refinery etc.;
- (c) SS 5, TA 5.1 and SS 11, TA 11.1 and SS 12, TA 12.1: chemical process industries;
- (d) SS 8, TA 8.2 and SS 10, TA 10.2: oil and gas industry, coal mine methane recovery and use.

(3) Training

8. Successful completion of a technical course and/or training programme appropriate to a technical area/sectoral scope.

¹¹ For initial qualification based on the number of validation and verification experience the following is required:

- (a) Two numbers of validation/verification activities as Assessor Under-Training, accompanying a validator/verifier already qualified for the technical area within the sectoral scope in question;
- (b) Followed by a successful performance of two numbers of validation/verification activities under observation of a qualified validator/verifier/technical expert in the technical area within the sectoral scope in question.

¹² Engagement through activities that allow knowledge of the processes, their interaction and different operating parameters in relation to final output of facility(ies).



B. Sectoral scope, technical areas and required technical competencies for personnel

9. The minimum number of technical areas that an AE/DOE needs to include in their system for the CDM sectoral scopes they have applied to or accredited for, are given below.

10. Further division of complex technical areas shall be considered as a complex technical area.

C. Function - Validation

SS 1: Energy industries (renewable/non-renewable sources)

- TA 1.1: Thermal energy generation from fossil fuels and biomass including thermal electricity from solar (COMPLEX);
- TA 1.2: Energy generation from renewable energy sources.

SS 2: Energy distribution

- TA 2.1: Electricity distribution;
- TA 2.2: Heat distribution.

SS 3: Energy demand

- TA 3.1: Energy demand.

SS 4: Manufacturing industries

- TA 4.1: Cement sector (COMPLEX);
- TA 4.2: Aluminum (COMPLEX);
- TA 4.3: Iron and steel (COMPLEX);
- TA 4.4: Refinery (COMPLEX);

SS 5: Chemical industry

- TA 5.1: Chemical process industries (COMPLEX).

SS 6: Construction

- TA 6.1: Construction.

**SS 7: Transport**

- TA 7.1: Transport.

SS 8: Mining/mineral production

- TA 8.1: Mining and mineral processes, excluding those included in TA 8.2 below;
- TA 8.2: Oil and gas industry, coal mine methane recovery and use (COMPLEX).

SS 9: Metal production

- TA 9.1: Metal production.

SS 10: Fugitive emissions from fuels (solid, oil and gas)

- TA 10.1: Mining and mineral processes, excluding those included in TA 10.2 below;
- TA 10.2: Oil and gas industry, coal mine methane recovery and use (COMPLEX).

SS 11: Fugitive emissions from production and consumption of halocarbons and sulphur hexafluoride

- TA 11.1: Chemical process industries (COMPLEX);
- TA 11.2: GHG capture and destruction.

SS 12: Solvents use

- TA 12.1: Chemical process industries (COMPLEX).

SS 13: Waste handling and disposal

- TA 13.1: Waste handling and disposal;
- TA 13.2: Animal waste management.

SS 14: Afforestation and reforestation

- TA 14.1: Forestry.

SS 15: Agriculture

- TA 15.1: Agriculture;
- TA 15.2: Animal waste management.



(1) Competence Requirement

11. For complex technical areas:

- Section A(1)¹³ and Section A(2).4.(a).¹⁴

12. For technical areas:

- Section A(1) and Section A(2).4.(a) or Section A.(1) and Section A(2).4.(b) and A(3)¹⁵ or Section A(1) and Section A(2).4.(c) and A(3).

13. Qualification will be granted to all technical areas with the same nomenclature.

- Example: competence in the technical area TA 13.42 in “Animal waste management waste handling and disposal” will also grant competence in TA 15.2.

D. Function - Verification

14. Fulfilment of qualification for validation function in each of the sectoral scopes and associated technical areas also addresses requirements for qualifications for verification function. However, the following knowledge or prior professional qualification should be additionally considered to qualify personnel for verification function:

- (a) Instrumentation and metrological/calibration expertise; or
- (b) Management system (e.g. ISO 9001 or ISO 14001 or ISO 17025 or equivalent).

15. It needs to be assessed if above requirement is fulfilled by any of the verification team members for the sectoral scope/technical area under verification to qualify the verification team.

¹³ Educational background as defined in section A(1) above of this Annex D.

¹⁴ Work experience as defined in section A(2) above of this Annex D.

¹⁵ Training as defined in section A(3) above of this Annex D.

**Matrix: Technical areas and related initial qualification criteria**

Sectoral Scope (SS)	Educational Background Section A(1)	Work Experience			Training Section A(3)
		Direct Work Experience Section A(2).4.(a)	Related work experience Section A(2).4.(b)	Assessments under Observation Section A(2).4.(c)	
Technical Area (TA)					
SS 1					
TA 1.1	X	X			
TA 1.2	X	X			
	X		X		X
	X			X	X
SS 2					
TA 2.1	X	X			
	X		X		X
	X			X	X
TA 2.2	X	X			
	X		X		X
	X			X	X
SS 3					
TA 3.1	X	X			
	X		X		X
	X			X	X
SS 4					
TA 4.1→ 4.4	X	X			
SS 5					
TA 5.1	X	X			
SS 6					
TA 6.1	X	X			
	X		X		X
	X			X	X
SS 7					
TA 7.1	X	X			
	X		X		X
	X			X	X
SS 8					
TA 8.1	X	X			
	X		X		X
	X			X	X
TA 8.2	X	X			
SS 9					
TA 9.1	X	X			
	X		X		X
	X			X	X



Sectoral Scope (SS)	Educational Background Section A(1)	Work Experience			Training Section A(3)
		Direct Work Experience Section A(2).4.(a)	Related work experience Section A(2).4.(b)	Assessments under Observation Section A(2).4.(c)	
Technical Area (TA)					
SS 10					
TA 10.1	X	X			
	X		X		X
	X			X	X
TA 10.2	X	X			
SS 11					
TA 11.1	X	X			
TA 11.2	X	X			
	X		X		X
	X			X	X
SS 12					
TA 12.1	X	X			
SS 13					
TA 13.1	X	X			
	X		X		X
	X			X	X
TA 13.2	X	X			
	X		X		X
	X			X	X
TA 14.1					
TA 14.1	X	X			
	X		X		X
	X			X	X
SS 15					
TA 15.1	X	X			
	X		X		X
	X			X	X
TA 15.2	X	X			
	X		X		X
	X			X	X



History of the document

Version	Date	Nature of revision
02	EB 56, Annex 1 17 September 2010	<ul style="list-style-type: none">• Strengthening of impartiality requirements (Section XII);• Clarification of requirements relating to allocation of functions to other sites (Annex A);• Incorporates the <i>Guidelines for the preparation of the annual activity report by a DOE to the CDM Executive Board</i> (version 02, EB 53 Meeting report, Annex 04). The guidelines are replaced by this standard (Annex C). Includes a definition of technical areas and a strengthening of related competence requirements (Annex D).
01.1	EB 48, Annex 2 17 July 2009	Changes made in version 1.1 were of editorial nature. Introduction; Terms and definitions; Legal issues; Annex A
01	EB 46, Annex 2 25 March 2009	Initial adoption.
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