

**CDM-EB86-AA-A13**

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# Draft clarifications on the CDM accreditation standard

Version 01.0

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**United Nations**  
Framework Convention on  
Climate Change

## COVER NOTE

### 1. Procedural background

1. At its eighty-fifth meeting, the Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board) considered recommendations of the CDM Accreditation Panel (CDM-AP) and the secretariat, and requests of the DOE/AIE Coordination Forum on clarification of the CDM accreditation standard, version 06.0 (hereinafter referred to as the standard).
2. The Board agreed to the recommendations and requested the secretariat to prepare a clarification for its adoption.
3. This work relates to the activity group 'Accreditation system' under objective 1(b): 'Operate an effective regulatory framework' with a resource allocation as referred to in table 3 of the Management plan 2015 (EB 81, annex 1).

### 2. Purpose

4. This package of clarifications is to clarify the requirements in the CDM accreditation standard relating to:
  - (a) Conditions of contracts between a DOE and project participants concerning potential linking of payments for DOE services to final outcomes of its validation or verification/certification activities;
  - (b) Maintenance of the accreditation status by DOEs for infrequently used sectoral scopes;
  - (c) On-the-job performance evaluation of DOE personnel during their first validation or verification.

### 3. Key issues and proposed solutions

5. At its previous meetings, the Board had already considered the key issues and agreed with the directions for clarifications as stated in paragraphs above. Based on this, a draft clarification has been prepared on each issue, as contained in appendices 1–3.

### 4. Impacts

6. The introduction of the proposed clarifications would lead to clearer understanding of the accreditation requirements. The proposed work foresees decrease in the costs to the DOEs in the short and long term. The clarifications will not add any extra costs to Board and its support structure.

### 5. Recommendations to the Board

7. The secretariat recommends that the Board adopt the clarifications as presented.

8. The secretariat also recommends that the Board request the secretariat to introduce these clarifications into the next revision of the standard.

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## **Appendix 1. Clarification: Potential linking of payments to the final outcome of validation or verification/certification activities (version 01.0)**

### **1. Introduction**

1. Paragraph 47(j) of the CDM accreditation standard (version 06.0) states that “the conditions in the designated operational entity’s (DOE’s) contracts with project participants shall not link the DOE’s payments to the final outcome of the validation or verification/certification activities”.
2. The CDM Accreditation Panel (CDM-AP), at its 72<sup>nd</sup> meeting, noted that this paragraph of the CDM accreditation standard provides room for interpretation, as observed by the CDM-AP in several accreditation assessments.
3. Therefore the CDM-AP and the secretariat recommended the Executive Board of the CDM (hereinafter referred to as the Board) to clarify that this paragraph is meant to say that the conditions in the DOE’s contracts with project participants shall not link the payments to the DOE to the final positive outcome of the validation or verification/certification activities.
4. The Board, at its 68<sup>th</sup> meeting, agreed to clarify this paragraph of the CDM accreditation standard.

### **2. Clarification**

5. The Board clarifies that, with regard to paragraph 47(j) of the CDM accreditation standard the conditions in the DOE’s contract with the project participants, may link, in terms of timing, the payments to the DOE at various stages of the validation or verification/certification as long as the nature of the validation or verification opinion is not a condition of the payment. This provision does not prevail over laws relating to contracts in the relevant Party.

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## **Appendix 2. Clarification: Access to technical experts and demonstration of competence (version 01.0)**

### **1. Introduction**

1. Paragraph 57 of the CDM accreditation standard (version 06.0) requires, in each technical area in which an applicant entity (AE) intends to operate or a designated operational entity (DOE) operates, that the AE or DOE has at least one person qualified in the technical area who will participate in the validation or verification/certification team and at least one person qualified in the technical area who will participate in the technical review team.
2. Paragraph 58 of the CDM accreditation standard requires that an AE or DOE to have personnel in accordance with paragraph 57 for at least one technical area within each sectoral scope for which it has applied for accreditation or has been accredited.
3. The CDM Accreditation Panel (CDM-AP), at its 72<sup>nd</sup> meeting, considered a concern raised by the DOE/AIE Coordination Forum. For seldom used sectoral scopes, DOEs were looking for options to reduce their costs regarding requirements for having competent personnel and have questioned how to demonstrate competence in such seldom used sectoral scopes.
4. Therefore the CDM-AP and the secretariat recommended the Executive Board of the CDM (hereinafter referred to as the Board) to clarify that access to technical experts may satisfy the requirement for having personnel. No exception should be made on how to demonstrate competence in such seldom used sectoral scopes.
5. The Board, at its 86<sup>th</sup> meeting, agreed to clarify these paragraphs of the CDM accreditation standard.

### **2. Clarification**

6. The Board clarifies that the requirement to 'have personnel' (paragraphs 57 and 58 of the standard) may be satisfied by access to technical experts provided the following is met:
  - (a) The technical experts are qualified by the DOE, as per, inter alia, paragraph 61 of the standard;
  - (b) The credentials of the technical experts are available (curricula vitae, records, etc.), as per, inter alia, paragraph 95 (c) of the standard;
  - (c) Written consent from the technical experts that they are available whenever there is a specific validation or verification activity;
  - (d) The DOE shall have a contract with the technical experts prior to undertaking a specific validation/verification activity, as per, inter alia, paragraph 60 (a) of the standard;

- (e) The technical experts shall demonstrate competence and be monitored as per section 10.3.1 and 10.3.2, respectively, of the standard;
  - (f) The technical experts comply with all other requirements of the standard;
7. The Board also clarifies that accreditation assessments of compliance with section 10.3.1 of the standard will, inter alia, assess the procedures/systems in place and the personnel evaluation records for demonstration of competence, including for persons who are available on call and are not employees of the organization.

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## **Appendix 3. Clarification: On-the-job performance evaluation of DOE personnel (version 01.0)**

### **1. Introduction**

1. Paragraph 100 of the CDM accreditation standard (version 06.0) allows the DOEs to use real validations and verifications/certifications as a part of examinations to qualify its personnel.
2. Paragraph 104 of the CDM accreditation standard (version 06.0) requires the DOE to include in the performance monitoring process for all of its personnel
  - (a) An on-the-job performance evaluation of the first validation or verification/certification conducted after qualification of the person in order to confirm his/her competence;
  - (b) Subsequent continuous on-the-job performance evaluation.
3. The CDM Accreditation Panel (CDM-AP), at its 72<sup>nd</sup> meeting, considered a concern raised by the DOE/AIE Coordination Forum that for the personnel that were qualified via real validations or verifications, DOEs find the requirement to conduct on-the-job performance evaluation during the first validation or verification onerous
4. Therefore the CDM-AP and the secretariat recommended the Executive Board of the CDM (hereinafter referred to as the Board) to provide an exemption in the specific case outlined above. The clarification below elaborates further on the CDM-AP recommendation in confirming that all subsequent on-the-job evaluation is still applicable.
5. The Board, at its 86<sup>th</sup> meeting, agreed to clarify these paragraphs of the CDM accreditation standard.

### **2. Clarification**

6. Personnel qualified by an examination consisting of real validations and/or verifications/certifications (pursuant to paragraph 100 of the standard) are exempt from the requirement in paragraph 104 (a) of the standard. For all other means that could be used to conduct examinations (e.g. mock validation/verification, etc.), paragraph 104 (a) applies.
7. Subsequent continuous on-the-job performance evaluation (per paragraph 104 (b) of the standard) applies to all personnel, including personnel qualified by real validations and/or verifications/certifications (pursuant to paragraph 100 of the standard).

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