

**CDM-EB81-AA-A04**

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## Work undertaken by the task force on examinations to qualify DOE personnel

Version 01.0



**United Nations**  
Framework Convention on  
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## COVER NOTE

### 1. Procedural background

1. The Executive Board (hereinafter referred to as the Board) of the clean development mechanism (CDM) at its seventy-sixth meeting considered a recommendation from the DOE/AIE Coordination Forum and requested the secretariat to work with designated operational entities (DOEs) and consult with the CDM Accreditation Panel (CDM-AP) to identify practical means for DOEs to conduct the examination to qualify DOE personnel, as required by the CDM accreditation standard version 05.1.
2. At its seventy-ninth meeting, the Board requested the “task force on examinations to qualify DOE personnel” to continue supporting the DOEs in developing a guidance document for their voluntary use. The guidance should provide practical means to conduct examinations in accordance with the revised CDM accreditation standard and shall be based on the clarifications provided by the CDM-AP at its 68<sup>th</sup> meeting as provided in Appendix 1 of this information note. The Board also requested that the CDM-AP Chair appoints two members of the CDM-AP to take part in the task force to share their expertise.
3. The Board requested the secretariat to report on the outcome of the work of the task force no later than at its eighty-first meeting.
4. This note is the final report for the activities undertaken by the task force.

### 2. Purpose

5. The purpose of this document is to provide a report on the outcome of the work of the task force on examinations to qualify DOE personnel in accordance with the revised CDM accreditation standard.

### 3. Key issues and proposed solutions

6. The Board considered a recommendation from the DOE/AIE Coordination Forum to identify practical means for DOEs to conduct the examination to qualify DOE personnel, as required by the revised CDM accreditation standard. Consequently, a “task force on examinations to qualify DOE personnel” was established composed of representatives of two DOEs, the DOE/AIE Forum Chair and the secretariat. Two appointed CDM-AP members also took part in the taskforce after the seventy-ninth meeting of the Board.
7. The DOEs were invited to provide inputs and request further clarification from the “task force on examinations to qualify DOE personnel” on the implementation of the requirement in paragraph 100 of the CDM accreditation standard version 6.0. Nine DOEs submitted inputs to obtain more clarity from the taskforce.
8. The taskforce met via teleconference on 7 August 2014 and decided on the following:
  - (a) The taskforce agreed that no further work on the draft proposals to guide DOEs on practical means for conducting examinations was required. The taskforce

provided the proposals to the DOE/AIE Coordination Forum for its further use, development or dissemination;

- (b) The taskforce should review the requests made by the nine DOEs that submitted queries and provide consolidated responses to the DOEs;
  - (c) The task force also agreed to organize a webex meeting with all DOEs and provide an opportunity for interaction on the responses to inputs and queries from all nine DOEs.
- 9. The CDM-AP at its 69<sup>th</sup> meeting took note of the progress made by the taskforce and requested that the clarification issued at its 68<sup>th</sup> meeting be provided together with the responses by the taskforce to all nine DOEs queries.
  - 10. A summary of the responses to the queries from the nine DOEs and containing the clarification issued at the 68<sup>th</sup> meeting of the CDM-AP, was submitted to all DOEs on 10 October 2014.
  - 11. The secretariat held a webex session for the task force and DOEs on 28 October 2014. This session was an informational session on the progress by the taskforce as well as to follow-up on any other queries DOEs may have. At this session, a number of DOE representatives, the chair of the DOE/AIE Coordination Forum and task force members expressed appreciation for the useful outcomes and collaborative work undertaken by the task force.
  - 12. The task force on examinations to qualify DOE personnel has supported the DOEs by addressing enquiries received from DOEs and provided sufficient and adequate information on the basis of the clarifications provided by the CDM-AP at its 68<sup>th</sup> meeting.
  - 13. The task force therefore concluded that sufficient guidance has been provided for DOEs to implement practical means to conduct examinations in accordance with the revised CDM accreditation standard version 6.0.

#### **4. Impacts**

- 14. The outcomes of the work of the task force on examinations, including the clarifications on examinations provided by the CDM-AP at its 68<sup>th</sup> meeting, will enable an effective implementation process of the related requirements in the revised CDM accreditation standard.

#### **5. Subsequent work and timelines**

- 15. The CDM-AP clarifications on examinations provided at its 68<sup>th</sup> meeting will be made available to stakeholders through the Board external report.

#### **6. Recommendations to the Board**

- 16. The secretariat recommends that the Board take note of this report and provide comments, as appropriate.

## **Appendix 1. The clarifications on examinations provided by the CDM-AP at its sixty-eighth meeting (May 2014)**

### **1. Introduction**

#### **1.1. The clarifications on examinations**

1. As requested by the Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board) at its seventy-sixth meeting, the CDM Accreditation Panel (CDM-AP) considered the work of the joint secretariat and designated operational entity (DOE) task force set up to identify practical means to conduct examinations to qualify DOE personnel. The CDM-AP provided the following recommendations:
  - (a) In accordance with paragraph 96 of the revised CDM accreditation standard, the DOE shall evaluate and demonstrate competence of its personnel through: (a) a review of personnel records, mentoring or training; and (b) an examination;
  - (b) In addition, the revised CDM accreditation standard requires that examinations shall consist of real or mock validations and/or verifications/certifications and any other examination necessary to demonstrate competence in a technical area or in a function as defined in the relevant section of the standard (see paragraphs 101 and 102 and appendix 2 of the CDM accreditation standard version 5.2);
  - (c) The CDM-AP considers that the requirement in paragraph 96(b) of the CDM accreditation standard version 5.2 provides the DOEs with the opportunity to use a variety of evaluation methods as deemed appropriate by the DOE for application to contexts in which the DOE operates to demonstrate competence of personnel for CDM functions and technical areas. The requirement is not considered to be restricted to written examinations as is obvious from paragraph 100 (the term "examination" seems to have given the impression that a written examination is a must). In fact, the term "evaluation" would have been a better term to use in the CDM accreditation standard;
  - (d) The "examination" may include a range of evaluation methods, such as conducting interviews against determined competence criteria, evaluating past performance in validation/verification or certification activities against determined competence criteria, on-the-job observation of performance against determined competence criteria and written examinations against determined competence criteria. Some general guidance on evaluation methods is available in *ISO 17021-2011 Annex B* and *ISO 14066-2011 Annex B* which may be referred to by DOEs, if needed;
  - (e) As per paragraph 100, the term "examination" includes real or mock validations/verifications and any other examination necessary. This implies that if someone is evaluated in a real or mock validation/verification, no other examination may be necessary;

- (f) The CDM-AP also considers that any evaluation method would require the generation of records to demonstrate objectively how competence was evaluated;
- (g) Given the above interpretation by the CDM-AP, the transition should require only a limited effort in qualifying personnel since DOEs may continue to evaluate personnel based on past performance;
- (h) The CDM-AP considered the document prepared by the task force and, in the light of the clarification above, felt that the exercise does not need to continue further;
- (i) The above may also be provided to the DOE/AIE Coordination Forum.

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#### Document information

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