

CDM-EB79-AA-A07

Draft Procedure

Selection and performance evaluation of experts on the CDM accreditation roster of experts

Version 01.0

DRAFT



United Nations
Framework Convention on
Climate Change

COVER NOTE

1. Procedural background

1. The Executive Board of the clean development mechanism (the Board) established the CDM Accreditation Roster of Experts (ARoE) to draw experts for the relevant assessments of applicant entities (AEs) and designated operational entities (DOEs) in the process of their accreditation, reaccreditation and other assessment activities in accordance with the CDM accreditation procedure.
2. At its seventy-fourth meeting, the Board adopted the “Terms of reference of the CDM rosters of experts”, covering all accreditation and methodological rosters as well as the Registration and Issuance Team, superseding the “Terms of reference for the CDM Assessment Team” and the “Terms of reference of the Registration and Issuance Team”.
3. At the same meeting, the Board requested the secretariat, in consultation with the CDM Accreditation Panel (CDM-AP), to elaborate detailed criteria to operationalize the competence requirements for the ARoE in order to align them with the CDM accreditation procedure and the above-mentioned newly adopted terms of reference.
4. At the same meeting, the Board also requested the secretariat to further review the system for appraising the performance of members of panels, working groups and experts included on CDM rosters of experts, and for evaluating applicant members and experts, and to prepare a proposal for the consideration of the Board prior to the implementation of a revised system in 2014. The Board specified that the review should include the criteria to be applied and consider options for ensuring the independence and integrity of the system.
5. Furthermore, at its seventy-sixth meeting, the Board requested the secretariat, in its preparation of criteria to operationalize the competence requirements for the ARoE and in the review of the system for appraising the performance of experts, to assess the need, if any, to gather feedback from DOEs on the performance of assessment teams.
6. The secretariat, after consultation with the CDM-AP, noted that the DOEs may provide feedback to the Board and the CDM-AP at any time as an unsolicited submission.
7. The secretariat prepared the attached draft taking into account inputs provided by the CDM-AP.

2. Purpose

8. The objectives of this procedure are to elaborate detailed criteria and processes for the ARoE to be undertaken to ensure transparency and standardization in:
 - (a) Selection and appointment of experts in line with paragraph 20 of the “Terms of Reference of the CDM rosters of experts” (hereinafter referred to as the ToR);

- (b) Performance evaluation of experts on the ARoE in line with paragraph 24 of the ToR.

3. Impacts

- 9. The approval of this procedure will further increase the consistency of regulations on the CDM rosters of experts and improve transparency.

4. Recommendations to the Board

- 10. The secretariat recommends that the Board adopt this procedure.

5. References

- 11. This procedure complements and should be read in conjunction with:
 - (a) The “Terms of reference of the support structure of the CDM Executive Board”;
 - (b) The “Terms of reference of the CDM rosters of experts”.
- 12. This procedure will supersede the following documents:
 - (a) The “Criteria for selection and use of members of the Accreditation Roster of Experts”, agreed by the CDM-AP at its 60th meeting.

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1. Introduction

1.1. Background

1. The Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board) established the CDM Accreditation Roster of Experts (ARoE) to draw experts for the assessments of applicant entities and designated operational entities within the process of accreditation, reaccreditation and other activities in accordance with the CDM accreditation procedure.

1.2. Objectives

2. The objectives of this procedure are to elaborate detailed criteria and processes for the ARoE to be undertaken to ensure transparency and standardization in:
 - (a) Selection and appointment of experts in line with paragraph 20 of the “Terms of Reference of the CDM rosters of experts” (hereinafter referred to as the ToR);
 - (b) Performance evaluation of experts on the ARoE system in line with paragraph 24 of the ToR.

2. Scope, applicability, and entry into force

2.1. Scope

3. This procedure contains the series of rules and actions that shall be followed and undertaken by the applicants for and experts on the ARoE, as well as the CDM Accreditation Panel (CDM-AP) and the secretariat to qualify experts for inclusion on the ARoE, to select and appoint experts on the ARoE for specific accreditation assessments and to evaluate performance of all experts on the ARoE.

2.2. Applicability

4. This procedure is applicable to the applicants for and experts on the ARoE. It is not applicable to the applicants for and experts on the other CDM rosters of experts – Registration and Issuance Team, and Methodological Roster of Experts.
5. The UNFCCC staff included in the ARoE is governed by the United Nations Staff Rules and Regulations. These terms of reference shall apply to UNFCCC staff to the extent that they are not inconsistent with the United Nations Staff Rules and Regulations.

2.3. Entry into force

6. The date of entry into force of the procedure is the date of publication of the EB 79 meeting report on 1 June 2014..

3. Normative references

7. This procedure should be read in conjunction with the following documents:
 - (a) “Terms of reference of the support structure of the CDM Executive Board”;

- (b) “Terms of reference of the CDM rosters of experts”.

4. Definitions

8. The definitions contained in the “Glossary of CDM terms” shall apply.

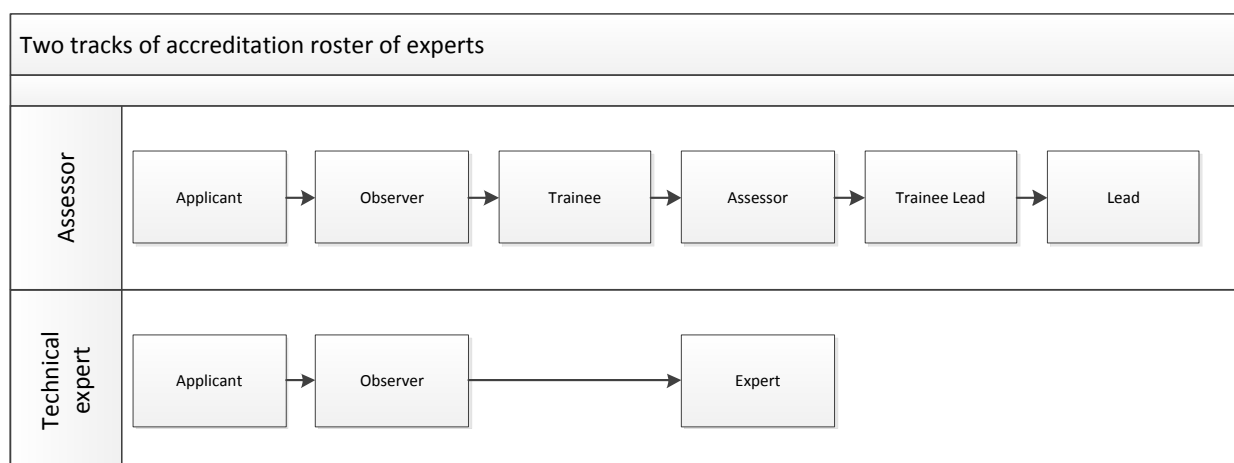
5. Membership

5.1. Status of experts on the roster

9. The experts included on the ARoE, based on their initial qualification and subsequent requalifications, shall be classified according to one of the following statuses:

- (a) Assessor track:
- (i) Applicant assessor;
 - (ii) Observer;
 - (iii) Trainee CDM assessor;
 - (iv) CDM assessor;
 - (v) Trainee lead CDM assessor;
 - (vi) Lead CDM assessor;
- (b) Technical expert track:
- (i) Applicant technical expert;
 - (ii) Observer;
 - (iii) CDM technical expert.

Table 1. Two tracks of accreditation roster of experts.



10. Experts on the ARoE should maintain their knowledge and skills through on-going awareness of developments in the CDM rules and regulations including the CDM

modalities and procedures, Board decisions, CDM methodologies, the accreditation standard, accreditation procedure, validation and verification standard, project standard and project cycle procedure.

11. Experts on the ARoE should undergo a programme of continuing professional development, including participation in relevant workshops organized by the secretariat and in technical courses or training programmes appropriate to technical areas or sectoral scopes every two years, or acquisition of related work experience or equivalent.

5.2. Code of conduct

12. In addition to abiding by the Code of Conduct of the Board, applicable mutatis mutandis to the experts on the rosters, experts on the ARoE shall be free from any interest that may cause them to act in any way other than an impartial manner. In this context the following mitigation measures shall apply:
 - (a) A person currently working for, with, or in an AE/DOE shall not be included on the ARoE;
 - (b) A person having any professional relationships with any AE/DOE within the last two years, other than a third party conformity assessment, shall not be included on the ARoE;
 - (c) Experts on the ARoE working with project developers, consultants, financing firms or project participants shall not be appointed for an assessment of a specific DOE that provides validation or verification services regarding the project activities or programme of activities (PoA) that involve those project developers or project participants;
 - (d) All experts on the ARoE shall declare their impartiality at least once a year;
 - (e) All experts on the ARoE shall declare any potential conflict of interest before undertaking an assessment of a specific AE/DOE.
13. Each member of a CDM assessment team (CDM-AT) for an assessment regarding a specific AE/DOE shall:
 - (a) Declare that he/she has not been employed by, or involved in consultancy activities for the AE/DOE for a period of not less than two years prior to the start of the assessment;
 - (b) Declare that he/she and the organization he/she is employed in are not and have not been involved in the development, consultancy or financing of a CDM project activity or PoA validated or verified by the AE/DOE being assessed;
 - (c) Declare that he/she is not and has not been involved, in any capacity, in the registration or issuance process of the project activity or PoA for which the CDM-AT is conducting a performance assessment;
 - (d) Declare any vested interest (especially any professional, financial or work-related interest) that he/she has or had with the AE/DOE that could cause him/her to act in any manner other than impartially;

- (e) Not provide, while conducting the assessment and during any other steps of the accreditation process for the AE/DOE, any advice, consultancy or recommendation to the AE/DOE on how to address deficiencies identified in the assessment process;
 - (f) Acknowledge that all information received from the assessment is to be held in strict confidence and that such information will only be directed to the Board, the CDM-AP and the secretariat through the specific channels established by the Board.
14. Experts on the ARoE shall report to the secretariat any other development that adversely affects their impartiality in conducting accreditation assessments in general or for a specific AE/DOE, or performance assessment for a specific project or PoA.
 15. The secretariat shall conduct an impartiality analysis on an annual basis encompassing all experts on the ARoE. The secretariat shall use the outcomes of the analysis to establish measures to mitigate the risk of experts on the ARoE not acting impartially in accreditation assessments.
 16. The secretariat shall notify the CDM-AP on the mitigation measures established.

5.3. Qualification criteria

17. The experts on the ARoE shall fulfil the minimum requirements specified in the ToR and the detailed criteria for each of the categories of status, as elaborated in the appendix to this procedure.

5.4. Selection process

18. In accordance with the ToR, the CDM-AP shall select experts to be included on the ARoE. The selection process shall be open to both external experts and secretariat staff.
19. The CDM-AP shall appoint two evaluators from among its own members. The evaluators shall evaluate applicants for the ARoE and prepare a recommendation to the CDM-AP, with support from the secretariat.
20. The secretariat shall analyse the information provided in the application documents submitted by an applicant for the ARoE. If the secretariat considers that a candidate possibly fulfils the initial qualification requirements, the secretariat shall request the applicant to submit supporting evidence, analyse it and submit a summary to the evaluators, with a proposal for whether to include the applicant on the ARoE or reject the application.
21. The two evaluators shall concurrently and independently review the summary of the information and inform the secretariat on their conclusion on acceptance or rejection of the proposal from the secretariat. If the two evaluators submit different conclusions, the secretariat will notify them of the different conclusions. In this case, the evaluators shall discuss the recommendation further between themselves in an effort to reach a unanimous conclusion. The CDM-AP evaluators may request the secretariat to send any evidence received or to seek further information to demonstrate that the candidate meets the qualification requirements.

22. The CDM-AP, at its next meeting, shall consider the final conclusion of the evaluators and decide whether to include the applicant on the ARoE or reject the application.
23. Experts on the ARoE shall be subject to regular reassessment of their competence and requalification through evaluation of the following elements:
 - (a) Evidence of educational development;
 - (b) Evidence of training activities engaged in;
 - (c) Evidence of work experience relevant to the specific technical areas within sectoral scopes;
 - (d) Results of the performance monitoring process contained in this procedure.

5.4.1. Performance monitoring

24. The CDM-AP shall monitor the performance of all experts on the ARoE, with the support of the secretariat.
25. Information obtained during the performance evaluation and its results shall be treated as confidential.
26. The performance monitoring will be undertaken by either a senior representative of the secretariat or another expert to be selected by the secretariat. The selected expert shall be qualified as a lead CDM assessor and have at least two years of CDM lead assessor experience.
27. The following schedule of performance monitoring is established:
 - (a) Upon the completion of the expert's first participation as a team member;
 - (b) For a trainee CDM assessor: before being approved as a CDM assessor;
 - (c) For a CDM assessor or technical expert: one on-site observation every two years, conducted by another assessor on the CDM-AT, qualified as a lead CDM assessor;
 - (d) For a trainee lead CDM assessor: before being approved as a lead CDM assessor;
 - (e) For a lead CDM assessor: one on-site observation every three years or at the request of the CDM-AP, conducted by either a senior representative of the secretariat or another expert to be selected by the secretariat. The selected expert shall be qualified as a lead CDM assessor and have at least two years of CDM lead assessor experience;
 - (f) For all assessors: review of contribution to at least one in every four assessment reports, if not covered in items (a)–(d) above.
28. The secretariat shall share the findings from the performance report with the expert.
29. Where a performance evaluation identifies a need for improvement, the evaluated expert shall submit a proposal on how he/she intends to address all identified issues. The expert shall endeavor to implement the proposed measures and, upon completion of the

measures submit to the secretariat relevant evidence. The secretariat shall re-evaluate the expert based on the evidence provided or through additional monitoring, depending on the type and significance of the issues identified, as decided by the secretariat.

30. Where a performance evaluation identifies an unsatisfactory level of performance, the secretariat shall seek a second opinion, if possible, in the same assessment process or in another assessment process to confirm the evaluation. If the negative evaluation is confirmed, the secretariat shall inform the evaluated expert. The expert shall have seven days to respond in writing describing his/her views on the evaluation.
31. The CDM-AP, at its next meeting, shall consider the results of the monitoring process, relevant evidence and responses, as applicable, and decide on one of the following options:
 - (a) Maintain the expert on the ARoE;
 - (b) Withdraw the expert from the ARoE.
32. If an expert was not assigned to any accreditation assessment for more than 30 months or had been previously removed from the ARoE, the expert will be subject to the performance monitoring on his/her first assignment.

5.4.2. Suspension of membership

33. If an expert on the ARoE is appointed as a member of the Board or the CDM-AP, the secretariat will place his/her membership on the ARoE "on hold" for the duration of his/her term of service on that body. On completion of that membership term the secretariat will reinstate him/her on the ARoE after the corresponding evaluation by the CDM-AP evaluators.
34. The secretariat shall undertake measures to safeguard the impartiality of member during these transitions.

6. Modalities of work

6.1. Appointment of experts for specific assignments

35. The secretariat shall appoint a CDM-AT for an assessment, selecting its members from the ARoE in accordance with the CDM accreditation procedure.
36. When appointing a CDM-AT, the secretariat shall take into account the following principles:
 - (a) Competence of the team: members of the CDM-AT shall collectively possess the necessary competence based on the characteristics of the AE/DOE, the sectoral scopes for which the AE/DOE is applying or is accredited, the project activity or PoA associated with the assessment;
 - (b) Regional balance: to the extent possible, the CDM-AT should include experts from different regions in order to maintain regional balance and allow capacity-building in all regions;

- (c) Use of resources: to the extent possible, all experts on the ARoE should be utilized in assessments, according to their expertise, while ensuring that a balance between external resources and secretariat staff is maintained;
 - (d) Language: to the extent possible, the CDM-AT should include an expert who has knowledge of the local language relating to the accreditation assessment.
37. The secretariat may attach an observer or a trainee CDM assessor to the CDM-AT. The cost of his/her participation in the accreditation assessment shall be borne by the secretariat. The rules pertaining to conflict of interest, impartiality and confidentiality for CDM assessors, contained in this procedure, shall apply to observers and trainee CDM assessors.

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Appendix. Qualification criteria

1. The clean development mechanism Accreditation Panel (CDM-AP) and the secretariat shall use the following qualification criteria for inclusion of applicants as experts and promotion of experts on the accreditation roster of experts (ARoE) under the assessor track:
 - (a) Initial placement on the roster:
 - (i) Education: bachelor degree or equivalent education in a science, engineering, forestry, agriculture, economics, finance or related discipline;
 - (ii) Experience:
 - a. Four years of relevant experience, of which at least two years in accreditation assessments or conformity assessment audits (at least 10 assessments/audits conducted); or
 - b. Two years as a technical expert in clean development mechanism (CDM)/joint implementation (JI) accreditation entity assessments (at least three CDM/JI on-site accreditation assessments conducted); or
 - c. Two years as a CDM/JI validator or verifier (at least 10 audits conducted);
 - (iii) Communication skills: ability to communicate fluently, both in writing and orally, in English;
 - (iv) Training: successful completion of an auditor training course based on ISO 19011 or equivalent;
 - (b) Observer: in addition to the requirements for initial placement:
 - (i) Training: successful completion of the UNFCCC online course “SDM ARoE” or a training workshop organized by the secretariat on assessment skills and relevant CDM standards and procedures;
 - (c) Trainee CDM assessor: in addition to the requirements for observers:
 - (i) Experience: having participated in at least one CDM on-site accreditation assessment as an observer;
 - (d) CDM assessor: in addition to the requirements for trainee CDM assessor qualification:
 - (i) Knowledge: having demonstrated knowledge of the Kyoto Protocol and its mechanisms, in particular the relevant CDM rules and regulations;
 - (ii) Experience: having participated in at least two CDM on-site accreditation assessment as a trainee CDM assessor and received positive evaluations thereof;

- (iii) Personal attributes: ethical, open-minded, diplomatic, observant, perceptive, versatile, tenacious, decisive, self-reliant, acting with fortitude, open to improvement, culturally sensitive and collaborative;
 - (iv) Management skills: ability to independently execute different assessment stages;
 - (e) Trainee lead CDM assessor: in addition to the requirements for CDM assessor qualification:
 - (i) Knowledge: having demonstrated advanced knowledge of the Kyoto Protocol and its mechanisms, in particular the relevant CDM rules and regulations;
 - (ii) Experience: having participated as a CDM assessor in at least four CDM on-site accreditation assessments of central offices and received positive evaluations thereof;
 - (iii) Management skills: ability to lead different assessment stages;
 - (f) Lead CDM assessor: in addition to the requirements for trainee lead CDM assessor qualification:
 - (i) Experience: having worked as a trainee CDM lead assessor under the supervision of a qualified CDM lead assessor for at least two on-site assessments and received positive evaluations thereof; experience as a team leader of an accreditation body or accreditation body for quality management systems or environmental management systems may be considered as having participated as a trainee lead CDM assessor in one CDM on-site accreditation assessment.
- 2. The CDM-AP and the secretariat shall use the following qualification criteria for inclusion of applicants as experts and promotion of experts on the ARoE under the technical expert track in particular sectoral scopes (SS) and technical areas (TA):
 - (a) Initial placement on the roster:
 - (i) Education: bachelor degree in science, engineering, forestry, agriculture, economics or equivalent in the related SS and TA, specifically:
 - a. SS 6 (construction): civil or construction-related education or equivalent;
 - b. SS 7 (transport): transport-related education or equivalent;
 - c. SS 14 (afforestation and reforestation): forestry-related education or equivalent;
 - d. SS 15 (agriculture): agriculture-related education or equivalent;
 - e. SS 16 (carbon dioxide capture and storage in geological formations): carbon dioxide capture and storage-related education or equivalent;

- (ii) Experience: experience in methodological work in project-based mechanisms to mitigate climate change in the particular sectoral scope, and three years of direct work experience in the field for which he/she is to be qualified. Direct work experience shall have been gained through:
 - a. Engagement with industries;
 - b. Consultancy experience related to process improvement;
 - c. CDM/JI project assessment experience;
 - d. Engagement in CDM project development;
 - e. Engagement in the processes of specific facilities within the identified technical areas;
 - f. Direct research experience leading to the gaining of specific knowledge in the technical area.

Such engagement or direct research experience shall involve activities that allow knowledge of the processes, their interaction and different operating parameters in relation to the final output of the facilities;

- (b) Observer: in addition to the requirements for initial placement:

- (i) Training: successful completion of the UNFCCC online course “SDM ARoE”, one training event on basic knowledge of quality or environmental management systems, and one training event on processes related to the given technical area, as well as instrumentation and metrological and calibration expertise;

- (c) CDM technical expert: in addition to the requirements for an observer:

- (i) Experience: having participated as an observer in at least one CDM on-site accreditation assessment or a performance assessment;
- (ii) Personal attributes: ethical, open-minded, diplomatic, observant, perceptive, versatile, tenacious, decisive, self-reliant, acting with fortitude, open to improvement, culturally sensitive and collaborative.

- 3. A CDM technical expert may gain qualification in an additional technical area through participating in performance assessments of DOEs by means of training and successful monitoring in the technical area as follows:

- (a) Participation in two performance assessments as an observer, accompanied by a lead CDM assessor also qualified as a technical expert for the technical area; followed by a successful performance in one validation and one verification performance assessment monitored by a lead CDM assessor or a technical expert already qualified in the technical area; or
- (b) Successful completion of a technical course and/or training programme appropriate to the technical area.

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Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
01.0	14 May 2014	Initial adoption as an annex to the annotated agenda of EB79.
Decision Class: Operational, Regulatory		
Document Type: Procedure		
Business Function: Governance		
Keywords: appointment of members, code of conduct, establishing assessment teams, performance evaluation, roster of experts, terms of reference		

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