

**HANDBOOK
OF ACCREDITATION OF OPERATIONAL ENTITIES
BY
THE EXECUTIVE BOARD OF THE CDM**

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PART I

INTRODUCTION

1. This handbook is a compilation of all documents related with CDM accreditation including requirements for CDM operational entities as well as procedures for accreditation and their clarifications. The Executive Board of the CDM, due to “Doing by Learning” nature of the practice of the CDM, issues clarifications on requirements and procedures for accreditation from time to time as deemed necessary. This handbook has been prepared to provide the Executive Board, Accreditation Panel, Assessment Teams, Potential Applicant Entities, Applicant Entities, Designated Operational Entities and other interested parties, who are involved in, will be involved in or more broadly are/will be interested in accreditation of operational entities with a handy set of latest and relevant documents. This handbook neither replaces nor adds/deletes any parts of these requirements and procedures for accreditation, which are approved by COP/MOP or the Executive Board. It had been published for convenience of users only. In case of dispute, the CDM M&P and other documents approved by COP/MOP or the Executive Board should be referred to.
2. The handbook contains only the links to the relevant documents already available on the UNFCCC/CDM web site. Under a situation “internet on-line” where the internet connection is established, you can download the latest documents through the links in this handbook, and save those documents in the hard disk of your PC, as necessary. Thus, you can refer to these documents under a situation “internet off-line”¹. Alternatively you can save also automatically using an “off-line” function of internet software.

PART II

REQUIREMENTS FOR OPERATIONAL ENTITIES²

a. Standards for the accreditation of operational entities

3. Appendix A of the modalities and procedures for a CDM (<http://cdm.unfccc.int/DOE/rules/modproced.html#APPENDIXA>) contains “Standards for the accreditation of operational entities”.

b. Competence criteria for operational entities

4. Appendix A of LIST OF SECTORAL SCOPES, Version 3, CDM-ACCR06 (<http://cdm.unfccc.int/DOE/scopelst.pdf>) contains “Competence criteria for operational entities”.

¹ In case the user of the handbook is using the documents under the “off-line” mode, it would be the responsibility of the user to ensure that the saved documents are updated.

² Some additional requirements are included in the CDM Forms, which are contained in PART III of this handbook. For details, refer to the section forms and footnote 12 of the document “Procedure for accrediting operational entities by the Executive Board of the CDM”, contained in PART III.

c. Duties of designated operational entities

5. Section E “Designated operational entities” of the modalities and procedures for a CDM (<http://cdm.unfccc.int/DOE/rules/modproced.html#EDOE>) specifies duties of designated operational entities.

d. Process of validation and registration

6. Section G “Validation and registration” of the modalities and procedures for a CDM (<http://cdm.unfccc.int/DOE/rules/modproced.html#GVALREG>) specifies the process of validation to be followed by designated operational entities.

e. Process of verification and certification

7. Section I “Verification and certification” of the modalities and procedures for a CDM (<http://cdm.unfccc.int/DOE/rules/modproced.html#IVERCER>) specifies the process of verification and certification to be followed by designated operational entities.

f. Requirements included in the Procedures for various CDM activities

A. Simplified modalities and procedures for small-scale CDM project activities

8. Section II of Annex II to Conference of the Parties, Eighth session, New Delhi, 23 October – 1 November 2002, First Report of the Executive Board of the Clean Development Mechanism (2001–2002). (<http://cdm.unfccc.int/Reference/Documents/AnnexII/English/annexII.pdf>) contains “Simplified modalities and procedures for small-scale CDM project activities”.

B. Amended Procedures on public availability of the CDM Project Design Document and for receiving comments as referred to in paragraphs 40 (b) and (c) of the CDM Modalities and Procedures

9. Annex 7 to the report from the 9th meeting of the Executive Board of the CDM (<http://cdm.unfccc.int/EB/Meetings/009/eb09repa7.pdf>) contains “Amended Procedures on public availability of the CDM Project Design Document and for receiving comments as referred to in paragraphs 40 (b) and (c) of the CDM Modalities and Procedures.

PART III

ACCREDITATION PROCEDURES INCLUDING APPLICABLE FORMS

a. Procedure for accrediting operational entities by the Executive Board of the clean development mechanism (CDM)

Annex 2 of the report of the seventh meeting of the Executive Board (<http://cdm.unfccc.int/Reference/Procedures/eb07ra02.pdf>) contains Revised Procedure for accrediting operational entities by the Executive Board of the clean development mechanism (CDM), Version 03.

b. Sectoral scopes

10. List of sectoral scopes, version 01 (<http://cdm.unfccc.int/DOE/scopelst.pdf>) contains “sectoral scopes” that are referred to by paragraph 9 of “Procedures for accrediting operational entities by the Executive board of the clean development mechanism (CDM)”.

c. Graphical presentation of accreditation processes

11. “Graph of the Procedure” in CDM web-site [<http://cdm.unfccc.int/DOE/AccPro/index.html>], (<http://cdm.unfccc.int/DOE/AccPro/graph02.html>) and (<http://cdm.unfccc.int/DOE/AccPro/graph03.html>)] contains graphical presentation of accreditation procedure for easy understanding of accreditation procedure.

d. Forms to be used during the accreditation procedure

12. One of the following Forms shall be used for a relevant process of the accreditation procedure:

Application for Accreditation

- [F-CDM-A = Application for accreditation](#)

Desktop review

- Desk review and on-site report form (F-CDM-DOR)

On-site assessment of the applicant entity

- [Desk review and on-site report form \(F-CDM-DOR\)](#)
- [F-CDM-NC = Non conformity, corrective action and clearance form](#)
- [F-CDM-MA = Standard agenda for opening and closing meeting](#)
- [F-CDM-MAR = Attendance register for meetings](#)

Witnessing of activities performed by the applicant entity

- [F-CDM-WR = witnessing report form](#)

- [F-CDM-WOI = Form for identifying Witnessing](#)
- [F-CDM-NC = Non conformity, corrective action and clearance form](#)
- [F-CDM-MA = Standard agenda for opening and closing meeting](#)
- [F-CDM-MAR = Attendance register for meetings](#)

Spot-check/Unscheduled surveillance

- Spot-check/unscheduled surveillance report (under preparation)
- [F-CDM-MA = Standard agenda for opening and closing meeting](#)
- [F-CDM-MAR = Attendance register for meetings](#)

Other

- [F-CDM-CA = Confidentiality and non-disclosure agreement for personnel taking part in an assessment \(CDM-AP members, CDM-AT member\)](#)
- [F-CDM-FPM = Fee agreement for panel members](#)
- [F-CDM-EVAt = CDM Assessment Team Evaluation Report](#)

Preliminary report

- [F-CDM-PR = Preliminary report \(includes, as attachments, forms used in the preceding steps\)](#)

Final report

- [F-CDM-FR = Final report \(includes, as attachment, F-CDM-PR\)](#)

PART IV

CLARIFICATIONS ISSUED BY CDM EXECUTIVE BOARD

13. The Conference of the Parties decided that the Executive Board shall supervise the CDM, under the authority and guidance of the COP/MOP, and be fully accountable to the COP/MOP. In this context, the Executive Board shall, among others, be responsible for accreditation of operational entities, in accordance with accreditation standards contained in Appendix A of Modalities and procedures for a clean development mechanism (Decision 17/CP.7). This responsibility includes not only decision on re-accreditation, suspension and withdrawal of accreditation but also operationalization of accreditation procedures and standards. As a part of the operationalization of accreditation procedures and standards, the Executive Board (including accreditation panel as a subordinate to the Executive Board) has issued following clarifications:

a. Accreditation related guidance / clarifications

- [Compilation of list of clarifications/guidance related to operational entities by the EB of the CDM](#)
- [Cost implications of changes to an application made by an applicant entity](#) (EB11, Annex 1)
- [Clarification regarding witnessing opportunities in the context of the accreditation procedure and its relationship to the registration of a CDM project activity](#) (EB11, Annex 2)

b. Methodology related guidance / clarifications

- [Further clarifications on methodological issues](#) (EB10, Annex 1)
- [Further clarifications on methodological issues](#) (EB09, Annex 3)
- [Clarifications on issues relating to baseline and monitoring methodologies](#) (EB08, Annex 1)
- [Guidance by the Executive Board to the panel on guidelines for methodologies for baselines and monitoring plans \(Meth panel\)](#) (EB05, Annex 3)
- [Clarifications on the treatment of national and/or sectoral policies and regulations \(paragraph 45 \(e\) of the CDM Modalities and Procedures\) in determining a baseline scenario](#) (EB 16, Annex 3)

c. Validation related guidance / clarifications

- [Additional clarifications to the validation requirements to be checked by a designated operational entity](#) (EB11, Annex 6)
- [Clarifications on validation requirements to be checked by a designated operational entity](#) (EB08, Annex 3)
- [Annex 6 - Clarification on elements of a written approval](#) (EB16)
- [Annex 5 - Clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 41 of the CDM modalities and procedures](#) (EB 16)

d. Small-scale related guidance / clarifications

- [Further clarifications on definition of eligible activities \(extract of decision 21/CP.8\)](#)
