

# **REPORT OF THE CDM ACCREDITATION PANEL (CDM-AP)**

## **Fifty-fifth meeting of the CDM-AP**

**20 - 23 June 2011**

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## **I. Introduction**

1. This report of the CDM Accreditation Panel (CDM-AP) covers the period from 7 May 2011 to 23 June 2011, including its fifty-fifth meeting (20-23 June 2011).

## **II. Status of applications**

2. The total number of entities currently under consideration by the CDM-AP is forty three (43), including thirty eight (38) designated operational entities (DOEs)<sup>1</sup> and five (5) applicant entities (AEs). So far, a total of eleven (11) entities have withdrawn their applications or accreditation, accreditation of one (1) entity has expired and three (3) applications have been rejected by the Executive Board of the Clean Development Mechanism (Board).

3. In terms of geographical distribution, out of the forty three (43) entities currently under consideration, the highest number of entities, twenty six (26), are from the Asia and Pacific region, followed by fourteen (13) from the Western Europe and Other regions. One (1) entity is from Africa and two (2) from the Latin America and Caribbean region.

4. A total of eighteen (18) entities are from non-Annex I Parties, including fifteen (15) entities from the Asia and Pacific region, one (1) from Africa and two (2) from the Latin America and Caribbean region. With respect to individual countries, five (5) are from the Republic of Korea, five (5) entities are from China, three (3) from India, one (1) from Thailand, one (1) from Brazil, one (1) from Colombia, one (1) from Malaysia and one (1) from South Africa.

## **III. Case specific issues**

5. The CDM-AP considered one (1) initial accreditation assessment case. No recommendation will be submitted for consideration by the Board at this time.

6. The CDM-AP also considered the final reports on six (6) regular on-site surveillances of central offices and non-central sites. Notifications on four (4) cases will be submitted for consideration by the Board under confidentiality. In two (2) cases the entities were requested to implement further corrective actions.

7. The CDM-AP further considered the final reports on nine (9) performance assessments. Notifications on four (4) cases will be submitted for consideration by the Board under confidentiality. In five (5) cases the entities were requested to implement further corrective actions.

8. The CDM-AP considered three (3) notifications on changes and one (1) notification of withdrawal of accreditation. The notification on the withdrawal of accreditation will be submitted to the Board under confidentiality.

9. Finally, the CDM-AP considered complaints submitted by project participants and stakeholders against DOEs.

## **IV. Update on work of the CDM-AP**

10. In accordance with its work plan for 2011, the CDM-AP has established a guidance document to support its decision-making and recording of decisions on assessment cases. The CDM-AP will use the

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<sup>1</sup> Includes entities accredited and provisionally designated by the Board.

guidance document, on a provisional basis, in consideration of all assessment cases, in view of achieving greater consistency in the decision-making. The CDM-AP will revise the document based on actual cases considered and provide the guidance document to the CDM-ATs, the DOEs and the public once its specific provisions are fully reviewed.

11. The CDM-AP considered the on-going development by the secretariat of a procedure for addressing the excess issuance of CERs. The CDM-AP provided its initial input and agreed to provide further inputs electronically.

12. The CDM-AP considered a number of requests for clarifications submitted by a DOE and other stakeholders on the accreditation standard. The responses to the individual requests are contained in annex 1 to this report, in accordance with the decision of the Board at its fifty-ninth meeting.

13. The CDM-AP continued its work on possible options to address the concern raised by the DOE/AIE Coordination Forum on the scarcity of personnel available to DOEs to work on projects in complex technical areas. The CDM-AP agreed to recommend to the Board to adopt an interim measure for initial qualification of validation/verification team members for complex technical areas within CDM sectoral scopes. The proposal is contained in annex 2 to this report.

14. The CDM-AP considered the DOE performance reports, related to the monitoring periods from 1 January to 30 June 2010 and from 1 July to 31 December 2010. In accordance with the procedure on performance monitoring of designated operational entities, the CDM-AP reviewed the number and nature of performance assessments, the number of non-central sites to be assessed and the areas to be assessed during regular on-site surveillance assessments of the central offices and non-central sites.

15. The CDM-AP reviewed and agreed on a revised plan for assessment of entities for the second half of 2011, taking into account declarations submitted by the AEs/DOEs on allocation of functions to the non-central sites, the DOE performance reports and the progress made to date.

16. The CDM-AP agreed to request the AEs/DOEs and the assessment teams to further improve the root-cause analysis for identified non-conformities, as the basis for the proposal of appropriate and complete corrective actions.

## **V. Expert Resources**

17. The CDM-AP considered a regular report by the secretariat on the status and performance of internal and external assessment resources.

18. The CDM-AP approved the results of the qualification of the experts on the roster, according to the revised criteria for selection and use of the accreditation roster of experts, agreed by the CDM-AP at the last meeting.

19. The CDM-AP also agreed on forms to be used to monitor performance of the assessors.

20. The CDM-AP requested the secretariat to organize two additional training workshops in the second half of 2011 for the experts on the roster.

## **VI. Further schedule of the CDM-AP**

21. The Board may wish to note that the fifty-sixth meeting of the CDM-AP is scheduled for 23 - 26 August 2011.

## **ANNEX 1**

### **Responses to requests for clarification**



**Response form for requests for clarification on accreditation-related documents**

<b>F-CDM-Acc_CLA number:</b>	F-CDM-Acc_CLA_19
<i>Document and version against which clarification is sought:</i>	CDM Accreditation Standard v2.0
<b><i>Text of the query:</i></b>	
In order to verify (the DOE's) internal procedure and relative compliance with the UNFCCC requirement (Accreditation standard, par. 81-86), (the DOE) would like to verify if is acceptable for UNFCCC that the contracts are now only stipulated in the name of (the DOE), while the relative contact invoicing activities and relative revenues assignment is basically done by a subsidiary company based in the country involved in the CDM review.	
<b><i>Answer from CDM-AP to authors of request for clarification:</i></b>	
In accordance with paragraph 86 of the "CDM accreditation standard for operational entities" (ver. 02) (Standard), it is acceptable to have two contracts with the project participant(s) of a CDM project activity, one contract by an accredited legal entity (DOE) that specifies validation and/or verification activities to be provided by the DOE and the other contract by a site office of the DOE for the commercial transaction related to the same validation and/or verification activities, provided that both contracts give reference to each other and the arrangements are not in contravention with applicable regulations and the Standard.	
<b><i>Recommendation by the CDM-AP to the Board:</i></b>	
N/A	
Name of the authors of the query:	(a DOE)
Date when the request for clarification was received at UNFCCC secretariat:	19 May 2011
Date and meeting number of consideration by the CDM-AP:	CDM-AP 55, 20-23 June 2011

## ANNEX 2

### **Draft proposal for an interim measure for initial qualification of validation/verification team members for complex technical areas within CDM sectoral scope**

1. This proposal aims to provide an interim measure for a period of one year from the Board approval to the mandatory requirement of direct work experience for persons initially qualified in the complex technical areas, to paragraphs 4 (a) and 5 of Annex D of the CDM accreditation standard for operational entities, version 2.0, as follows:

Validation/verification team members of a DOE previously qualified in a specific technical area that is now a complex technical area can be considered to comply with the initial qualification requirements in the same specific technical area if his/her qualification is in accordance with the following:

- (a) That person previously worked as a technical expert / validator / verifier in the specific technical areas, including site visit, in a team on at least 3 validations or verifications of projects in the past 3 years, and
- (b) These projects were registered/issued before 17 March 2011.

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