



Report form – On-site assessment (Version 2.1)

Applicant Entity (AE/DOE) Name and Address:	
UNFCCC ref. no.:	
Sectoral Scopes applied for:	<ol style="list-style-type: none"> 1. Energy industries (renewable - / non-renewable sources) 2. Energy distribution 3. Energy demand 4. Manufacturing industries 5. Chemical industry 6. Construction 7. Transport 8. Mining/Mineral production 9. Metal production 10. Fugitive emissions from fuels (solid, oil and gas) 11. Fugitive emissions from production and consumption of halocarbons and sulphur hexafluoride 12. Solvents use 13. Waste handling and disposal 14. Afforestation and reforestation 15. Agriculture <p><i>(delete/strike through which are not applicable)</i></p>
CDM-AT leader's name:	
Names of members of the CDM-AT	

1. CDM-AT must substantiate how the AE/DOE is complying/not complying with the CDM requirements in the column of comments.
2. On-site assessment is to evaluate the implementation of the system, including the competencies and operational capability of the AE/DOE to comply with the CDM accreditation requirements (CDM-AT may also come to conclusion that the documented procedure as written and as implemented are not adequate).
3. Some of the requirements are indicated in the form of a question. CDM-AT should not fill 'Yes' or 'No' as an answer to the question in the column "Complies" but should use 'Yes' if the AE/DOE complies to the accreditation requirement and 'No' if it does not comply.
4. Each "No" in the column "Complies" has to be supported by a Non Conformity (NC) report form. One NC report form can be used for one or more than one "No" in the column "Complies" as some of the requirements are related to each other.

5. The CDM-AT should refer to “CDM Accreditation Standard for Operational Entities (CDM Accreditation Standard)” for the detailed requirement as the description of the requirements in the formats is only a checklist.
6. The CDM-AT should follow “Guideline for Drafting CDM Accreditation Assessment Reports” for writing this report.
7. The numbers at the end of the requirement indicate the corresponding paragraph numbers of the CDM Accreditation Standard.
8. The F-CDM-OR is designed as guidance to prompt detailed recording of the assessment observations, the CDM-AT must follow the CDM Accreditation Standard for the detailed requirements.

CDM Accreditation Standard no. [Appendix A M&P no.]	Criteria Requirements	On-site Assessment	
		Complies (Yes/No)	Comments (Substantiate the compliance or non-compliance)
III [1(a)]	Legal issues		
1	Describe how the legal status of the AE/DOE has been established. (Para 23)		
2	Describe the supportive documents reviewed that establish the legal status (e.g. original/copies of registration documents, memorandum and articles of association, etc.). Is the activity as CDM-DOE compatible with the registration document and objectives of the organisation? (Para 23)		
3	Is the AE/DOE allocating functions to sites? Is the AE/DOE following provision in the Annex A? Is the central office assuming full responsibility for decision-making regarding validation, verification and certification, quality assurance and control functions? (Para 27-28)		(Confirm the information received from the secretariat about allocation of functions to sites and include details if you find allocation of functions that are not allowed.) (Confirm that the functions allocated to other sites have not been subsequently transferred onto other branch offices of the other sites.)
4	Describe which functions (refer Annex A) have been delegated by the central office/site to other sites. Are these functions consistent with the contractual arrangements? (Para 27, 28-30)		
IV [1(b), 1(f) & 1(g)v]	Human resources and competence		
1	Does the AE/DOE have a system to determine necessary resources and have deployed sufficient resources for validation/verification function. (Para 31-32)		(Describe how the system determines and ensures necessary resources, including internal, external, board and/or committee, relating to its present and future workload.)

2	<p>Does the AE/DOE have sufficient internal resources to carry out core functions defined in paragraph 105 of the CDM Accreditation Standard?</p> <p>(Para 33)</p>		
3	<p>Does the AE/DOE periodically (at least annually) evaluate the sufficiency and accessibility of identified competent personnel?</p> <p>Are the personnel carrying out validation/verification/certification functions under the supervision of senior executive of the AE/DOE?</p> <p>(Para 34-37)</p>		<p>(Describe how and when the last evaluation was done and its outcome.)</p> <p>(Describe how the AE/DOE fulfils its sufficient resources by using internal resources, employing individuals and/or subcontracting.)</p> <p>(Describe who is responsible for the supervision and management of the human resources.)</p>
	<p>Review and describe the status and effectiveness of implementation of the documented procedures of AE/DOE for:</p>		
4	<p>– Periodically(at least annually) evaluating and ensuring that the defined competence is adequately meeting the requirement based on the performance of validation and verification.</p> <p>(Para 38-41)</p>		<p>(Describe whether the AE/DOE has documented procedure to determine competence for CDM functions(management and validation/verifications team (team members, team leaders, technical experts).)</p> <p>(Describe the AE's/DOE's system for evaluation of adequacy of defined competences for CDM functions.)</p> <p>(Describe when the AE/DOE carried out evaluation of the adequacy previously.)</p>
5	<p>– Ensuring that the personnel performing management functions have the required competence as defined by the AE/DOE</p> <p>(Para 42-43)</p>		
6	<p>– Ensuring that the validation/ verification team has collectively the required competencies in technical, methodological and sectoral aspects of specific CDM project activities.</p> <p>(Para 44, 59-62)</p>		<p>(Describe the team nomination procedure/process and report on its effectiveness of getting competence of team in compliance with accreditation standard.)</p>

7	<p>– Ensuring that the personnel qualified as team member, expert, team leader have as a minimum the defined competence.</p> <p>(Para 45-46, 50-52)</p>		
8	<p>– Ensuring that the personnel performing independent technical review have the defined competence for the technical area and the project activity.</p> <p>(Para 47)</p>		
9	<p>– Has the AE/DOE conducted and documented the analysis of the initial competence required for technical areas within the sectoral scopes it has applied/ is accredited for?</p> <p>(Para 48-49 & Annex D)</p>		<p>(Assess and report the compliance of initial competence analysis with the CDM Accreditation Standard.)</p>
10	<p>– Documented evaluation and approval of qualification of technical areas within sectoral scopes to validators/verifiers or a technical expert.</p> <p>(Para 63-64 & Annex D)</p>		
11	<p>– Recruitment/deployment and training of personnel to ensure initial competence for all necessary functions.</p> <p>(Para 68-69)</p>		<p>(Report the recruitment system of the AE/DOE.)</p> <p>(Describe how the system ensures that recruited personnel are inline with the initial documented competences for that level.)</p> <p>(Report on how the recruitment records indicate identification of any training needs to comply with documented initial competencies.)</p>
12	<p>– Ensuring qualification, monitoring and adherence to the AE's/DOE's policies and procedures for external individuals used on contractual basis to meet sufficiency of resources .</p> <p>(Para 65-67)</p>		<p>(Report on whether the AE/DOE has the same system for internal and external resources.)</p> <p>(Report on whether external resources are used.)</p> <p>(If yes, whether external resources were qualified as per the AE/DOE qualification system.)</p> <p>(Report on whether written agreement with external individual complies with the AE/DOE policies/procedures for confidentiality, impartiality and notification of existing or prior association with the PP.)</p>

13	<p>– Confirming competence based on initial on-the-job evaluation and subsequent monitoring and measurement of the performance of the personnel involved in validation and verification activities.</p> <p>(Para 54)</p>		
14	<p>– Appropriateness of monitoring method & frequency to the type, volume, range of work and level of importance of the activities performed by personnel (internal, external and subcontractors) and ensure competence is updated to keep current with new CDM requirements and technological changes.</p> <p>(Para 53, 55-56)</p>		
15	<p>Whether subcontracting to another legal entity comply with CDM accreditation standard requirements? If yes, has the AE/DOE implemented its documented procedure for subcontracting? Has the AE/DOE remained responsibilities for outcomes of the work?</p> <p>(Para 70-73)</p>		
16	<p>Does the AE/DOE maintain up-to-date personnel (internal and external) records with appropriate evidences? (e.g. qualifications, training, experience, affiliations, professional status, consultancy services.)</p> <p>(Para 74)</p>		
V [1(c), 1(d)]	Liability and finance		
1	<p>Is the AE/DOE financially stable to take operations of the CDM related activities?</p> <p>(Para 75-76)</p>		
2	<p>Has the AE/DOE implemented its procedure to monitor its income and expenditure?</p> <p>(Para 77)</p>		<p>(Include details of how the AE/DOE monitors its income and expenditure and when and who did the external audit of its financial statement.)</p>

3	<p>Is the documentary evidence of the analysis of the AE's/DOE's potential liabilities arising out of its CDM activities of validation, verification & certification available?</p> <p>Does the analysis cover all potential liabilities?</p> <p>(Para 78)</p>		
4	<p>How the AE/DOE has demonstrated that sufficient arrangements are in place to cover the identified potential liabilities?</p> <p>(Para 79)</p>		
VI [1(e)]	Process requirements		
	<p>Are the documented procedures implemented and maintained for:</p>		
1	<p>– Application/request for CDM validation/verification services, contract soliciting and contract review.</p> <p>(Para 81-84)</p>		<p>(Report the process followed by the AE/DOE to enter into a contract for validation/verification services.)</p> <p>(CDM-AT should describe on whether information collected is sufficient to ensure that:</p> <ul style="list-style-type: none"> – There are no impartiality issues that contravene CDM accreditation requirements; – Project falls into technical area within accredited sectoral scopes; – Necessary human resources and competence and other capabilities are available.)
2	<p>– Are the contracts signed between PP and the AE/DOE (accredited legal entity) and by authorised persons on behalf of the both parties in accordance with the AE's/DOE's documented procedure?</p> <p>(Para. 85-86)</p>		<p>(Describe the nature of contractual arrangements and who are the authorization signatories.)</p>

3	<p>– Selection of the validation/verification team. (Para 87-91)</p>		<p>(Report on how the system of the AE/DOE addresses the following:</p> <ul style="list-style-type: none"> – The AE/DOE ensures that the necessary team competencies are identified. – Conflict of interest issues at project level are cleared before work is assigned. – Impartiality and independence of the team members are ensured through formal rules and/or contractual conditions.)
4	<p>– Has the entity determined and allocated human resources needed to carry out an effective validation/verification in line with the specific requirements of the project?</p> <p>Planning and performing of validation/verification functions and communication of the team and the plan to the PP. (Para 60, 92-96)</p>		<p>(Report on how roles are allocated amongst members of the validation/verification team and communicated to the PP.)</p> <p>(Describe how the AE/DOE obtains confirmation from the PP on its validation/verification team.)</p> <p>(Describe how team changes are being addressed.)</p> <p>(Report on how the planning ensures that the effectiveness of validations/verifications has been carried out and that the necessary competencies/resources are deployed onsite.)</p>
5	<p>– Establishment, implementation and maintenance of documented procedures to perform validation/verification in line with requirements of the CDM M&P, latest version of VVM,¹ COP/MOP and EB Decisions. (Para 80, 96)</p>		<p>(Describe the sample size and whether the review of the project records give confidence that the validation/verification team of the AE/DOE has made in depth investigation of the claims made by the PP in the PDD.)</p> <p>(Describe the validation/verification team of the AE/DOE remains competent throughout the validation/verification process.)</p> <p>(For AE/DOE with no projects, review the validation and verification protocols/checklists to establish adequacy of these documents to cover the VVM requirements.)</p>

¹ As of 25 November 2011 the document title changed to the Validation and Verification Standard (VVS).

6	<p>– Submission of request for registration and issuance of validation and verification reports, PDDs and monitoring reports.</p> <p>Requests for deviations from the methodology, requests for deviations from the monitoring plan, request for revision of the monitoring plan, changes to the registered PDD, requests for clarifications and submission of new methodologies.</p> <p>(Para 80, 96)</p>		<p>(Report on whether these tasks are performed by internal resources of the accredited legal entity.)</p> <p>(Report on whether the implementation of the AE's/DOE's procedure is in compliance with the corresponding EB procedure.)</p>
7	<p>– Responding to the request for reviews from EB.</p> <p>(Para 80, 96)</p>		<p>(Assess the implementation of the AE's/DOE's procedure to address request for review raised by the EB.)</p> <p>(Describe how request for review cases have been handled by the AE/DOE.)</p> <p>(Report on how the AE's/DOE's procedure ensures that effectiveness implementation of the corrective actions have been followed for these cases.)</p>
8	<p>– Independent technical review of draft validation/verification reports.</p> <p>(Para 97)</p>		<p>(Describe how the technical review is implemented during the validation/verification process.)</p> <p>(Describe whether technical reviewer(s) appointed are competent in technical area of the project.)</p> <p>(Describe whether the reviewer(s)/decision maker(s) are independent of the validation/verification team.)</p> <p>(Out of projects sampled, describe whether the technical reviewer(s) are as knowledgeable as the validation/verification team members.)</p> <p>(Describe how the technical review process is capable of capturing those requirements of the CDM M&P, VVM, COP/MOP and EB decisions that might have been overlooked by the validation/verification team.)</p>
9	<p>– Independent decision on validation and verification opinion.</p> <p>(Para 97)</p>		<p>(List processes and steps to arrive at the final decision and authorised signatory for the final decision of validation and verification opinion.)</p> <p>(Describe whether the final decision is being made by authorised internal resources.)</p> <p>(Verify this while assessing decision making process of sampled projects.)</p>

VII [1(e), 27 (f),(g)&(h)]	Information management		
1	List the documents made available to public in English language and the adequacy of the same in accordance with the CDM accreditation requirements. (Para 99,153)		
2	Has the AE/DOE followed its procedure of making documents available to EB and UNFCCC secretariat e.g. annual reports, making PDD public, submitting registration/ issuance requests? (Para 100-101, 104)		
VIII [1(g)]	AE's/DOE's organization		
1	Is the AE/DOE part of a larger organization? Does the AE/DOE have related bodies that might affect its CDM operations? (Para 24, 26, 148) Does the documented AE/DOE organisation structure reflect the duties, responsibilities and authorities of personnel and committees? Note: Evaluate that the documented structure facilitates operating in independent, non-discriminatory, impartial & transparent manner complying with national law. (Para 102-103)		(Ensure all related bodies are included in its impartiality analysis.) (Describe the documented organisation structure of the AE/DOE indicating the relationship of the AE/DOE function with other functions (if any) and the organisation structure/chart within the AE/DOE function.) (Report on whether the responsibilities for the overall performance of the AE/DOE and the performance of other important activities have been defined in the documentation (e.g. responsibility for decision making, selection and approval of validation/ verification personnel, team nomination, contract approval, complaint handling etc).)
2	Does the AE/DOE have a system to notify planned or unexpected changes in the management, key staff and organization structure as per CDM Accreditation Procedure? (Para 104)		(If yes, report on whether any changes have been communicated to the secretariat.) (If the changes are not reported as per Accreditation Procedure, the CDM-AT needs to assess impacts of changes and whether it undermines system of the AE/DOE.)

3	<p>Has the AE/DOE identified top management having overall authority and responsibility for carrying out the functions as defined in paragraph 105?</p> <p>(Para 105)</p>		(Check the AE/DOE documented system whether the personnel have been identified transparently to carryout core functions clearly.)
4	<p>Has the AE/DOE implemented its documented procedure for the appointments, terms of reference and operation of committees involved in CDM policy making or operational functions?</p> <p>(Para 106)</p>		
IX [1(g)]	Quality management system		
1	<p>How the management of AE/DOE ensures that the CDM policies and quality management system are understood, implemented and maintained at all levels of organisation.</p> <p>(Para 109-110)</p>		
2	<p>Has the top management appointed the CDM quality manager to ensure procedures for complying with CDM accreditation requirements are established, implemented and maintained?</p> <p>Is there evidence that the quality manager reports to the top management on the performance of quality management system?</p> <p>(Para 111)</p>		
3	<p>Are all documents (internally generated or from external sources) controlled as per the documented procedure of the AE/DOE? Where relevant, has the documentation been periodically updated?</p> <p>(Para 108, 112-113)</p>		
4	<p>Is the record management & control system implemented in accordance with the requirement of Accreditation Standard and documented procedure of the AE/DOE?</p> <p>(Para 114-119)</p>		

5	<p>Has the AE/DOE conducted internal audits (at least annually) to verify, that the CDM quality management system is operational in accordance with the defined procedure and intervals ?</p> <p>(Para 120-122)</p>		<p>(Report on when the previous internal audits were performed.)</p> <p>(Report on whether the internal audit were performed by an independent and competent internal auditor qualified according to a pre-defined criteria established by the AE/DOE.)</p> <p>(Describe whether the scope of internal audits covered all the CDM accreditation requirements and the quality management system of the AE/DOE.)</p>
6	<p>Do the records indicate the effectiveness of the corrective actions initiated in response to the internal audit reports?</p> <p>(Para 122)</p>		
7	<p>From the internal audits, can it be concluded that it is effective in verifying the QMS and its compliance to CDM requirements?</p> <p>(Para 120)</p>		
8	<p>How is non-conforming work identified and managed during operation?</p> <p>(Para 123)</p>		<p>(Report on how issues identified from EB reviews and internal reviews considered as non conformities have been addressed by the non conformity procedure.)</p>
9	<p>Is the document procedure for identifying and managing corrective and preventive actions implemented?</p> <p>(Para 124-128)</p>		<p>(Report on whether the procedure addresses how to identify root causes and criteria to choose corrective actions, etc.)</p> <p>(Report on whether corrective actions taken are effective in improving the operations.)</p>
10	<p>Are the management reviews conducted in accordance with the defined intervals (at least once per year) and are they effective to ensure the AE's/DOE's QMS continues to comply with CDM requirements?</p> <p>(Para 129-132)</p>		<p>(Report on whether the management reviews consider the relevant CDM accreditation requirements.)</p> <p>(Describe when the previous management reviews were conducted.)</p> <p>(Describe whether the decisions taken in the management reviews were recorded and were used to make necessary changes for improvements.)</p>

X [1(g)]	Handling complaints, disputes and appeals		
1	<p>Has the documented procedure been implemented for investigation and taking appropriate correction and corrective action with respect to complaints/ disputes/ appeals received? Was the complainant/appellant informed of the outcome?</p> <p>(Para 133 -141)</p>		(Describe whether complaints, appeals and disputes have been defined as per CDM Accreditation Standard.)
XI [1(h)]	Pending judicial processes		
1	<p>Is there any pending judicial process against the AE/DOE? If yes, is it for malpractice, fraud and/or other function incompatible with its functions as an AE/DOE? If yes, is it been communicated to secretariat?</p> <p>Does the AE/DOE maintain or has provision for record of judicial processes that it is involved in?</p> <p>(Para 142-143)</p>		
XII [2(a)]	Safeguarding impartiality		
1	<p>Does the implementation of the procedures and system of AE/DOE ensure its integrity at all times, and there are no constraints that might influence its judgement or endanger its independence of judgement?</p> <p>(Para 144-147, 149)</p>		
2	<p>How AE/DOE ensures that its policy on safeguarding impartiality is understood and implemented at all levels of the organization?</p> <p>Is the impartiality policy available to public on its website?</p> <p>(Para 150-153)</p>		

3	<p>Has AE/DOE established a committee to safeguard its impartiality. How it operates its Impartiality Committee to safeguard impartiality at the organization level?</p> <p>(Para 154-156, 163, 167)</p>		<p>(Describe the Impartiality Committee composition, independence of the committee, ToR, frequency of meetings, approval of the conflict of interest analysis and the mitigation measures, annual synthesis report sent to EB, topics covered and inputs to the Impartiality Committee in the Impartiality Committee meetings.)</p> <p>Describe how Impartiality Committee operates, if observed by the CDM-AT.)</p>
4	<p>Has AE/DOE implemented its procedures and carried out the analysis of the conflict of interest to determine the potential threats to its impartiality?</p> <p>Is the analysis of conflict of interest reviewed at regular intervals (at least annually/significant changes)?</p> <p>(Para 158-162)</p>		<p>(Describe the approach used in carrying out the conflict of interest analysis, the frequency of review, and the suitability of the analysis vis-à-vis its operations.)</p>
5	<p>Has AE/DOE implemented the documented procedure for the mitigation of threats against its impartiality?</p> <p>(Para 164-166)</p>		
6	<p>Has the AE/DOE analysed and reviewed the effectiveness of its process to safeguard impartiality?</p> <p>(Para 168-170)</p>		
XIII [2(b)]	Confidentiality management		
1	<p>Has the AE/DOE implemented its documented policies and procedures and arrangements with regard to confidentiality?</p> <p>(Para 171-172)</p>		
2	<p>Has the AE/DOE obtained written consent of the project participants for any information which was made public prior to any such information being disclosed?</p> <p>(Para 173)</p>		

<p>3</p>	<p>If AE/DOE has subcontracted any work, then how it ensures that the requirements related to confidentiality are being met by the sub-contractor also. (Para 72, 171-173)</p>		
<p>4</p>	<p>In case of AE's assessors (full, part time and/or external individuals), has the issue of confidentiality been dealt with in an adequate manner (e.g. self declaration by staff employed)? (Para 66, 172)</p>		



On-site assessment report summary form

Applicant Entity Name and Address of site(s) assessed:	
UNFCCC ref. no.:	
Opening Meeting:	Date and time:
Closing Meeting:	Date and time:
Members of AE's/DOE's management present	
Name	Functional title
List of documents and reports prepared as part of this assessment:	
Comments and recommendations:	
<input type="checkbox"/> The CDM-AT considers that NC(s) raised above contains issues which undermine the AE/DOE system in accordance with paragraph 100 of the CDM Accreditation Procedure (Version 10.1), so this report shall be considered by the CDM-AP at its next meeting. The CDM-AT shall substantiate issues which undermine the AE/DOE system in this section, if the checkbox above is ticked.	
Date:	
CDM-AT Leader: <i>(Signature)</i>	

History of the document

Version	Date	Nature of revision(s)
02.1	9 May 2012	Editorial changes to include new logo and other improvements.
02	17 March 2011	Change made in the version 02 were updating of references to be in line with the CDM Accreditation Standard for Operational Entities (Version 02).
01.1	21 July 2009	Changes made in the version 01.1 were updating of references to be inline with the CDM Accreditation Standard for Operational Entities (version 01.1).
01	15 July 2009	Initial document.
Decision Class: Regulatory Document Type: Form Business Function: Accreditation		