



**Report form – desk review
(Version 03.0)**

Applicant entity or Designated Operational Entity (AE/DOE): Name and address:	
UNFCCC ref. no.:	
Sectoral Scopes applied for:	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 16. Carbon capture and storage of CO ₂ in geological formations <i>(delete/strike through which are not applicable)</i>
CDM-AT leader's name:	
Names of members of the CDM-AT:	

1. CDM-AT must substantiate how the AE/DOE's documented system is complying/not complying with the CDM requirements in the column of comments.
2. The desk review is to verify the adequacy of the documented system to address the requirements of accreditation.
3. 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.
4. 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's documentation complies to the accreditation requirement and 'No' if it does not comply.
5. The CDM-AT should follow "Guideline for Drafting CDM Accreditation Assessment Reports" for writing this report.
6. The numbers at the end of the requirement indicate the corresponding paragraph numbers of the CDM Accreditation Standard.

CDM Accreditation Standard section reference [Appendix A M&P reference]	Criteria Requirement	Initial Desk Review		Final Desk Review	
		Complies (Yes/No)	COMMENTS (substantiate the compliance or non-compliance)	Complies (Yes/No)	COMMENTS (substantiate the compliance or non-compliance)
III [1(a)]	Legal issues				
1	Describe the supportive documents provided by the entity to establish its legal status.(e.g. Registration documents, Memorandum and articles of association, etc.) (Para 25)				
2	Do the provided documents establish the legal status of the entity? Does it provide for establishing contracts, independent decision making and to be sued? (Para 25)				
3	Is the site accredited/seeking accreditation also the legal office for the AE/DOE (e.g. registered office etc.)? (Para 264)				
4	Define the address of the site accredited/ seeking accreditation. Define the processes of CDM validation and/or verification/certification activity that are controlled and managed from this site. (Para 29)				

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5	If some functions are allocated to sites other than its central office, does allocation of functions to other sites meet requirements specified in the Annex A of the CDM Accreditation Standard? (Para 30 & Annex A)				
6	Do other sites meet categories of the paragraph 30 (a) and (b)? (Para 30)				
7	Does the central office of the AE/DOE establish the contractual arrangements with the other sites described in paragraph 30(b) of the CDM Accreditation Standard? (Para 31)				
IV [1(b), 1(f) & 1(g)v]	Human resources and competence				
1	Do the documents of the AE/DOE refer to any system to determine necessary and sufficient resources related to type, range and volume of estimated/planned workload for each TA in which the AE/DOE intends to operate, within all CDM sectoral scopes in which the AE/DOE has applied for accreditation or has been accredited? (Para 33-34)				

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		Complies (Yes/No)	COMMENTS (substantiate the compliance or non-compliance)	Complies (Yes/No)	COMMENTS (substantiate the compliance or non-compliance)
2	Does the AE/DOE have sufficient internal resources to perform functions defined in the paragraph 105? (Para 35)				
3	Describe how the AE/DOE is accessing the resources through internal resources and/or allocating functions to other sites and/or using external individuals and/or subcontracting. (Para 36) Does AE/DOE have any system to evaluate the sufficiency of competent resource availability at least annually? (Para 37)				
4	Are the personnel carrying out validation and/or verification/certification functions, including full-time/part-time/internal/external resources, under the supervision of a responsible senior executive of an AE/DOE? (Para 38)				
	Do the documented procedures of the entity address the following:				

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5	<ul style="list-style-type: none"> - Defining and documenting competence and periodically evaluating adequacy of the same (in the form of understanding and knowledge) required for personnel performing the management functions. - Carrying out and documenting initial competence analysis based on the defined competence required. <p>(Para 48-52, 53)</p>				
6	<ul style="list-style-type: none"> - Defining and documenting competence and periodically evaluating adequacy of the same (in the form of understanding and knowledge) required for individual team member (and expert), team leader and validation/ verification team. - Carrying out and documenting initial competence analysis based on the defined competence required. <p>(Para 48-52, 54-56)</p>				

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7	<ul style="list-style-type: none"> - Defining and documenting competence and periodically evaluating adequacy of the same (in the form of understanding and knowledge) required for the personnel performing technical review and making decision on the validation and verification activity. - Carrying out and documenting initial competence analysis based on the defined competence required. <p>(Para 48-52, 60)</p>				
8	<ul style="list-style-type: none"> - Recruitment/deployment and Training to ensure initial competence for all necessary functions <p>(Para 39)</p>				
9	<ul style="list-style-type: none"> - Evaluating and recording documented approval (based on qualification, experience and personal attributes) of the understanding and knowledge related to CDM of the personnel/validation/ verification team against the required defined competence. <p>(Para 58-59, 87-88)</p>				

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10	<ul style="list-style-type: none"> - Qualifying & allocating technical areas of sectoral scopes to validators/verifiers and/or technical experts based on the competence requirements specified in the Annex D and the means to achieve that competence. - At least one validator/verifier or technical expert is qualified for each technical area in which the AE/DOE intends to operate or operates, within all CDM sectoral scopes in which the AE/DOE has applied for accreditation or has been accredited - (Para 65 & Annex D) 				
11	<ul style="list-style-type: none"> - Ensuring that the external individuals or subcontracted entities, comply with AE/DOE's policies and procedures (if applicable and procedure are in place for appointing them). (Para 41-43, 44-47) 				

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12	<ul style="list-style-type: none"> - Identifying training needs on regular basis to confirm, maintain and update competencies of the personnel to keep current with CDM, technical and regulatory requirements and verifying the effectiveness of such trainings. (Para 66, 70-71) 				
13	<ul style="list-style-type: none"> - Evaluating and monitoring performance of it's personnel including review of validation /verification reports and stake holder feedback. (are the frequencies and methods used appropriate to the nature of the work carried out by individual?) - The procedure shall ensure maintenance and update of competence to keep current with new requirements, and shall take into account technological changes and changes in CDM requirements. (Para 67-69) 				

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V [1(c), 1(d)]	Liability and finance				
1	Does the AE/DOE have a documented procedure to continuously monitor its income and expenditure to determine its financial stability and requirement of financial resources for its operation of the CDM related activities? (Para 75)				
2	Has the entity provided documentation demonstrating its financial stability? (Para 73-74)				
3	Has the AE/DOE provided a documented analysis of potential liabilities arising out of its CDM activities of validation, verification & certification? Does the documented analysis cover all potential financial risks? (Para 76)				
4	Does the entity have a system to ensure that potential liabilities are assessed and adequate arrangements to cover the same are provided? (Para 77)				

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VI [1(e)]	Process requirements				
1	Has an AE/DOE demonstrated its commitment to the implementation of the CDM validation/verification/certification functions? (Para78)				
	Do the documented procedures of AE/DOE address the following:				
2	- Contract soliciting, review and approval. (Para 80-85)				
3	- Allocation of resources for specific validation/verification functions including team selection. (Para 86-93)				
4	- Planning and preparation of validation/ verification. (Para 94-96)				
5	- Performance of independent technical review of the draft validation/ verification reports and decision making. (Para 97)				
6	- Proposing new methodologies, requests for clarifications, requests for deviations and request for revision of the monitoring plan.				

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7	- Responding to the request for reviews from EB.				
8	- Submission of requests for registration and issuance.				
9	- Documented procedures of AE/DOE established for carrying out its validation and/or verification/certification functions are in line with the requirements specified in the CDM M&P, the latest version of the CDM VVM ¹ and relevant decisions of the COP/MOP and the Board? (Para 79)				
10	Does the AE/DOE define clear responsibilities for the different activities in the above procedures?				
VII [1(e), 27 (f),(g)&(h)]	Information management				
	Does the documented procedure for management of information cover:				

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

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1	- Making the documents public in accordance with the CDM accreditation standard for Operational Entities? (Para 98, 99)				
2	- Making information available to EB and UNFCCC secretariat referring to CDM Accreditation Standard? (Para 100-101, 104)				
VIII [1(g)]	AE's /DOE's organization				
1	Has the AE/DOE enclosed a documented organisation structure/chart of the AE/DOE indicating the relationship of the AE/DOE function with other functions and with other group companies or related entities.(if any?) (Para 102)				
2	Are the duties, responsibilities and authorities for the overall performance of AE/DOE and the performance of other important activities defined in the documentation (e.g. Responsibility for decision making, selection and approval of validation/ verification personnel, team nomination, contract approval etc.)? (Para 103)				

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3	Does the organizational structure and lines of authority show which senior executive is responsible for the overall management of the AE/DOE? (Para 105)				
4	Is there a documented procedure to cover appointment, terms of reference and operation of any committees that involve in CDM policy making and operational functions? (Para 106)				
IX [1(g)]	Quality management system				
1	Does the AE/DOE have a documented quality management system, policies and objectives? Do the documents of AE/DOE specify who is responsible to establish the above? Has the AE/DOE put the measures in place to ensure that the policies and objectives are understood, implemented and maintained? (Para 107-110)				
2	Is there a person designated as CDM quality manager with direct access to top management of the AE/DOE, for example chief executive, board members, etc.? (Para 111)				

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3	Is there a documented procedure for control of documents which sufficiently cover the controls for documents as per the CDM accreditation Standard for operational entities? (Para 112-113)				
4	Is there a documented procedure for defining the controls needed for its records and maintenance & management of records including records pertaining to its validation and/or verification/certification functions? (Para 114-119)				
5	Does the AE/DOE address the internal audits as part of their documented procedures? (Para 120)				
6	Are the defined intervals to conduct internal audits adequate? (Para 120)				
7	Do the internal audit procedure cover CDM accreditation requirements and AE/DOE's quality system? (Para 121-122)				

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8	Does the AE/DOE address the management reviews as part of the documented procedures? (Para 129)				
9	Are the defined intervals to conduct management reviews adequate? (Para 130)				
10	Do the Management reviews cover the requirements of the accreditation standard? (Para 129-131)				
11	Whether procedures require that, the decisions taken in the management reviews are recorded and followed up for sustained improvement? (Para 130-132)				
12	Does the documented procedure to manage non-conformities (external and internal) sufficiently address, identifying process non-conformities from internal audits, work carried out by AE/DOE and feedback from stake holder? Does it provide for detailed analysis of root cause(s), identification of corrective and preventive actions and checking the effectiveness of the corrective actions? (Para 123-128)				

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X [1(g)]	Handling complaints, disputes and appeals				
1	Is the documented procedure for handling of complaints disputes and appeals, adequate to effectively address complaints, disputes and appeals? Are the personnel involved in investigating the complaint/ disputes/ appeals independent of the personnel involved in the CDM validation/ verification certification activities? (Para 133-141)				
2	Does the documented procedure call for making the complaints procedure/process available to public? (Para 133)				
XI [1(h)]	Pending judicial processes				
1	Is the undertaking related to any pending judicial process or judicial cases held in the past, against the AE/DOE included in the documents submitted? (Para 142-143)				
XII [2 (a)]	Safeguarding impartiality				
1	Has AE/DOE established a policy on safeguarding impartiality and a system of ensuring that this policy is understood at all levels? (Para 150-151)				

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2	Has AE/DOE enclosed a statement that describes its understanding of the necessity of impartiality in validation and/or verification/certification functions, how it manages conflict of interest and how it ensures the objectivity of validation and/or verification/certification functions. (Para 152(b))				
3	Has the AE/DOE established an Impartiality Committee independent of the operational structure that safeguards the impartial functioning of the AE/DOE at the highest level? Are the documented terms and reference, criteria of membership and organisational protocol defined for this documented impartiality committee structure? (Para 154-155)				
4	Has AE/DOE established a documented procedure for analysing potential threats against impartiality and its regular review at least annually? (Para 158-159)				
5	Has AE/DOE enclosed a documented analysis of all potential conflicts of interests? (Para 160-162)				

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6	Has AE/DOE established a documented procedure for the mitigation of threats against its impartiality? (Para 164-166)				
7	Does the AE's/DOE's system include an annual analysis and review of all data relevant to impartiality? (Para 168-170)				
XIII [2(b)]	Confidentiality management				
1	Does the AE/DOE have documented policies and procedures with regard to who has access to the information, in accordance with applicable provisions, obtained from CDM project participants? (Para 171-173)				
2	Does the AE/DOE procedure require it to obtain written consent of the project participants for any information which may be made public prior to any such information being disclosed? (Para 171-173)				

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3	Has the AE/DOE in its subcontracting policies and procedures, included necessary provisions ensuring the confidentiality of information in accordance with the applicable provisions? (Para 171-173)				

RECOMMENDATION OF THE CDM-AT AFTER INITIAL DESK REVIEW		
	Yes/No	Comments
<p>The CDM-AT recommendations:</p> <p>The documentation is complete and adequate</p> <p>Any additional information required at on-site assessment (if not referred to under comments)</p> <p>The AT recommends to proceed with the on-site assessment</p>		
<p>General Comments:</p>		
<p>Team Leader <i>(signature)</i></p>	<p>Date:</p>	

RECOMMENDATION OF THE CDM-AT AFTER FINAL DESK REVIEW		
	Yes/No	Comments
<p>The CDM-AT recommendations:</p> <p>The documentation is complete and adequate</p> <p>Any additional information required at on-site assessment (if not referred to under comments)</p> <p>The AT recommends to proceed with the on-site assessment</p>		
<p>Any other comments:</p>		
<p>Date:</p>		
<p>Team Leader: <i>(Name and signature)</i></p>		

History of the document

Version	Date	Nature of revision(s)
03.0	16 July 2012	Changes made in the version 03.0 were updating of references to be in line with the CDM Accreditation Standard for Operational Entities (Version 04)
02.1	9 May 2012	Editorial changes to include new logo and other improvements.
02.0	20 January 2011	Changes made in the version 02 were updating of references to be in line with the CDM Accreditation Standard for Operational Entities (EB56, Annex 01, version 02.0).
01.1	21 July 2009	Changes made in the version 01.1 were updating of references to be in line with the CDM Accreditation Standard for Operational Entities (version 01.1)
01	15 July 2009	Initial publication.
Decision Class: Regulatory Document Type: Form Business Function: Accreditation		