

**CDM-EB74-A02-PROC**

## Procedure

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# Terms of reference of the CDM rosters of experts

Version 01.1



**United Nations**  
Framework Convention on  
Climate Change

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## 1. Introduction

1. These terms of reference cover experts included on all rosters of experts maintained by the secretariat who provide technical input to the Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board) and its support structure.

## 2. Scope, applicability, and entry into force

### 2.1. Scope

2. The objectives of these terms of reference are to:
  - (a) Specify services to be provided by the experts, governance issues that affect them, their modalities of work, as well as the conditions to be met to be included on the relevant roster of experts;
  - (b) Apply, to the extent possible, the code of conduct of the Board to experts included in the rosters of experts and establish mechanisms to ensure the application of the code of conduct applicable to the experts, both when the experts are included in the roster, and when they are selected for a specific assignment.

### 2.2. Applicability

3. These terms of reference are applicable to the following CDM rosters of experts:
  - (a) Experts included in the Registration and Issuance Team (**RIT**), from which experts are drawn to assist the Board in considering requests for registration of proposed project activities and programmes of activities (PoAs) and requests for issuance of certified emissions reductions (CERs) submitted to the Board by designated operational entities (DOEs);
  - (b) Experts included in the roster of experts who provide technical input to the methodological bodies, that is the Methodologies Panel, the Small-Scale Working Group, the Afforestation and Reforestation Working Group and the Carbon Dioxide Capture and Storage Working Group and the secretariat by, inter alia, reviewing proposed new and revised baseline and monitoring methodologies, methodological tools, clarifications and standardized baselines (the Methodologies Roster of Experts or **MRoE**);
  - (c) Experts to be selected for CDM assessment teams (CDM-ATs) to provide services to the CDM Accreditation Panel (CDM-AP) by undertaking assessments of applicant entities (AEs)/DOEs (the Accreditation Roster of Experts or **ARoE**).

(All the experts on the rosters are hereinafter referred to collectively as “the experts”).
4. The relevant panel and working groups and the secretariat will operationalize these terms of reference by, among others, documenting the relevant internal processes.

### **2.3. Entry into force**

5. This document shall enter into force on 1 October 2013.

## **3. Services to be provided by the experts on the rosters of experts**

### **3.1. Registration and Issuance Team**

6. In accordance with the CDM Project Cycle Procedure, the RIT experts shall assist the Board by providing, among others, the following services:
  - (a) Preparation of assessments of submissions received from project participants or coordinating/managing entities and Designated Operational Entities (DOEs) in response to requests for review relating to requests for registration of proposed project activities or Programme of activities (PoAs) or requests for issuance of CERs;
  - (b) Preparation of assessments of submissions received from project participants or coordinating/managing entities and DOEs in response to requests for review relating to requests for renewal of crediting period of registered project activities or PoAs) as to whether the relevant requirements are met and/or appropriately dealt with by DOEs;
  - (c) Preparation of assessments of requests submitted to the Board under any other procedure established by the Board requiring input from the RIT;
  - (d) Preparation of short slide presentations summarizing the findings of the assessments referred to in paragraph 6 (a) – 6 (b) above;
  - (e) Including in the above assessments any policy issues of significant importance raised by the request for registration or issuance, for consideration by the Board.

### **3.2. Methodologies Roster of Experts**

7. In accordance with the “Procedure for the development, revision and clarification of baseline and monitoring methodologies and methodological tools”, the “Procedure for submission and consideration of standardized baselines” and the “Procedure of submission and consideration of microscale renewable energy technologies for automatic additionality”, the experts on the MRoE shall provide technical input, among others, in the following tasks:
  - (a) Drafting of a recommendation on a proposed new or revised methodology or methodological tool or drafting of a proposed new or revised methodology or methodological tool;
  - (b) Drafting of a recommendation of a clarification on a methodology or methodological tool;
  - (c) Drafting of a recommendation on specific renewable technologies/measures as conferring additionality on microscale CDM project activities proposed by a designated national authority (DNA) for its country;

- (d) Drafting a recommendation on a proposed standardized baseline.

### **3.3. Accreditation Roster of Experts**

8. Experts on the ARoE<sup>1</sup> are categorized in two groups: CDM Technical experts and CDM assessors. Once included in the roster as a CDM assessor, an expert may become CDM Lead assessor.
9. Experts on the ARoE shall, when called upon, carry out the tasks corresponding to each specific category of experts, in, among others, the following:
  - (a) Initial accreditation assessments;
  - (b) Performance assessments;
  - (c) Regular on site surveillance assessments;
  - (d) Reaccreditation assessments;
  - (e) Spot checks;
  - (f) Assessments corresponding to entities under observation or suspension;
  - (g) Assessments relevant in transfers of accreditation or notifications of changes submitted by DOEs.

## **4. Membership**

### **4.1. Code of conduct**

10. Experts on the CDM rosters of experts shall abide, mutatis mutandis, by the Code of Conduct of the Board.
11. Before rendering any specific service to the Board, its support structure, including the secretariat, experts shall sign a statement confirming that they have no conflict of interest with respect to the specific assignment, and shall authorize the secretariat to make it publicly available, if required. As a minimum, these statements shall follow the language provided in Appendix 1 to this procedure.
12. In order to ensure transparency in the selection of experts, experts shall authorize the secretariat to publish a summarized curriculum vitae, if required. The secretariat shall protect any confidentiality requirements.

### **4.2. Competence requirements**

13. This section sets out the common minimum requirements that all experts shall fulfill and the minimum specific requirements that experts in each roster must meet. Calls for experts may specify the competence requirements relevant for each call.

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<sup>1</sup> UNFCCC staff included in the ARoE are 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.

#### **4.2.1. Competence requirements applicable to all experts**

14. All experts shall:
- (a) Be familiar with the CDM modalities and procedures and relevant decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP);
  - (b) Have recognized experience and/or knowledge relevant to the CDM project activity/programme of activities cycle;
  - (c) Be able to communicate effectively in English, both in writing and orally. A working knowledge of other United Nations languages is desirable;
  - (d) Have excellent drafting skills, strong operational and analytical skills, and an ability to work as a member of a team.

#### **4.2.2. Registration and Issuance Team**

15. Experts of the RIT shall:
- (a) Demonstrate relevant working experience of at least four years on methodological issues and/or monitoring and verification related to project-based mechanisms;
  - (b) Demonstrate technical/scientific expertise, inter alia through publications, in at least one of the following areas:
    - (i) Baseline and/or monitoring methodologies;
    - (ii) Project activity or PoA implementation, including monitoring and verification;
  - (c) Have an advanced university degree in economics, energy, social or environmental studies, natural sciences, engineering, development studies, or any other related discipline.

#### **4.2.3. Methodologies roster of experts**

16. The MRoE shall cover all the sectoral scopes<sup>2</sup>. An expert on the MRoE shall:
- (a) Demonstrate relevant working experience on technical and/or methodological issues related to minimum one of the sectoral scopes, and/or cross-cutting issues as specified in the call;
  - (b) Have demonstrated technical/scientific experience related to baseline and/or monitoring methodologies or specific technologies and/or sectors as required, inter alia, through publications;
  - (c) Have an advanced university degree in economics, energy, social, or environmental studies, natural sciences, engineering, geology, forestry development studies, or any related discipline.

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<sup>2</sup> The MRoE covers all sectoral scopes as defined in the “CDM accreditation standard for operational entities”, including carbon capture and storage and afforestation and reforestation.

#### **4.2.4. Accreditation roster of experts**

17. Experts of the ARoE shall fulfil the following minimum requirements and detailed criteria as elaborated.
  - (a) A CDM technical expert shall:
    - (i) Demonstrate work experience in the relevant industry, methodological work in project-based mechanisms, CDM project management, CDM project assessment or consultancy;
    - (ii) Have knowledge of CDM accreditation standard, CDM methodologies, applicable legal regulations, sampling/statistics, investment analysis, and Board's decisions
    - (iii) Have a bachelor degree or equivalent education in a scientific or technological discipline, economics, finance or related discipline or have related formal education for the sectoral scopes for which he/she is included as expert. This may be one or a combination of advanced diplomas, bachelor's, master's and higher degrees or equivalent.
  - (b) A CDM assessor shall:
    - (i) Demonstrate work experience in accreditation assessments or conformity assessment audits;
    - (ii) Have knowledge of CDM accreditation requirement, CDM accreditation procedure, management systems, auditing techniques, methods to mitigate conflict of interest, sampling and statistics
    - (iii) Have successfully completed an auditor training course based on ISO 19011 or equivalent;
    - (iv) Have a bachelor degree degree or equivalent education in a scientific or technological discipline, economics, finance or related discipline.
  - (c) A CDM lead assessor shall fulfil the requirements of a CDM assessor plus relevant additional competence requirements.

#### **4.3. Selection process**

18. The secretariat shall launch calls of experts on the UNFCCC CDM website every two years for all rosters of experts. Applications shall include, in addition to the United Nations Personal History Form (P.11), detailed working and/or scientific and technical experience. Calls may specify if experts in the rosters may answer to the call by confirming their intention to remain as experts to the relevant roster. Experts may be added between the calls in the event that the appropriate expertise is not available.
19. The RIT shall be composed of not less than 20 experts. Experts of the RIT shall be selected by the Board. The secretariat shall compile a list of applications and a shortlist of applicants for the RIT, including, if required, from the other CDM rosters of experts, on the basis of which the Board shall select experts, taking into account regional balance and gender balance, as appropriate.



20. The size and composition of the MRoE and ARoE shall be sufficient to cover the relevant needs. The selection of experts for the MRoE shall be made by the secretariat in consultation with the chair of the relevant methodologies body. The selection of experts for the ARoE shall be made by the CDM-AP. Selection shall be made taking into account regional balance and gender balance, as appropriate.
21. Once experts have been selected the secretariat shall maintain a database in the form of a roster of experts containing personal and contact details and records on educational and professional qualifications. Secretariat shall make the names of the experts in the roster publicly available.

#### **4.3.1. Term of service**

22. The term of experts in the rosters shall be for a minimum period of two years, which can be renewed.
23. Experts of the MRoE and ARoE shall be kept on the roster until experts are selected in the next call. If an expert is selected to be a member of the panels or working groups of the support structure relevant to the roster he/she is expert to, he/she shall be placed "on hold" on the relevant roster until his/her membership in the panel or working group expires. Afterwards, the secretariat shall confirm his/her intention to remain an expert on the roster.

#### **4.3.2. Performance monitoring**

24. The secretariat shall monitor the performance of the experts. The performance evaluation outcomes of the services provided by the experts shall be taken into account to decide on the continuation or discontinuation of their provision of services.

#### **4.3.3. Suspension**

25. An expert may be suspended from a roster for the following reasons:
  - (a) He or she has failed to deliver work of the required level of quality and within the expected time frames;
  - (b) He or she has been found to be in breach of the applicable provisions of the code of conduct as per section 4.1 above, including, the applicable provisions relating to conflict of interest;
  - (c) He or she has been found to be in breach of the confidentiality requirements.
26. Suspension shall be decided by those responsible for the inclusion of an expert in the relevant roster.

## **5. Modalities of work**

### **5.1. General modalities**

27. Services provided by the experts shall be governed by the applicable version of the relevant procedure and related documents.

28. In providing services, the experts shall operate under the guidance of the Board, or the relevant panel and working group and the secretariat and shall:
- (a) Ensure that the services are rendered to the requisite level of quality with all due care, skill and diligence within the time frame specified in the relevant procedure. The work shall be prepared using the applicable version of the template relevant to the procedure, if applicable;
  - (b) Treat with strict confidentiality any non-public information that they receive in the course of providing services;
  - (c) Where applicable, use electronic means of communication in carrying out their assessments (including participation in electronic discussions via e-mail and/or telephone).
29. Within the time frame specified by the secretariat and prior to commencing the provision of services, he or she will provide a declaration of the absence of conflict of interest in accordance with section 4.1 above.

## **5.2. Selection of experts for specific assignments**

### **5.2.1. Registration and Issuance Team**

30. The secretariat shall initiate the provision of services by an expert of the RIT by identifying an RIT expert (taking into consideration the sectoral scope(s) of the project activity or PoA to be assessed) and sending a notification of appointment to the identified RIT expert.
31. If an RIT comprises more than one expert, and one expert is appointed as the team lead, the following shall apply:
- (a) The lead shall be responsible for leading the substantive drafting of the RIT Team assessment, undertaking all communications with the secretariat relating to the assessment and ensuring its submission, including the short slide presentation referred to in paragraph 6 (d) above, to the Board via the secretariat within the deadlines set by the procedure;
  - (b) The team member(s) shall be responsible for assisting the team lead by providing substantive inputs to the drafting of the assessment.

### **5.2.2. Methodologies Roster of Experts**

32. The secretariat shall select an expert from the MRoE for a specific assignment, taking into consideration the technical competencies and experience required for the specific service, and send a notification of appointment to the identified expert.

### **5.2.3. Accreditation Roster of Experts**

33. The CDM Assessment Teams (CDM-AT) shall be a team chosen in accordance with the "Procedure for accrediting operational entities by the Executive Board of the Clean Development Mechanism".

## **6. Remuneration**

34. In accordance with United Nations rules and regulations and subject to the fulfilment of any conditions in the written agreement to be signed with the secretariat, experts on the CDM rosters of experts shall be remunerated for services provided on time and to the requisite level of quality with a daily fee.
35. Where the Chair of the Board, a methodological body or the CDM-AP determines that an expert has failed to provide a service within the time frame specified in the relevant procedure or where the service fails to meet the requisite level of quality, no fee shall be paid for the relevant service. In that this case, the expert may be suspended from the relevant roster.

## Appendix 1. Statement of conflict of interest

### 1. Statement of conflict of interest

1. I hereby declare that I do not have a professional, financial or other interest which could:
- (a) Significantly impair my objectivity in carrying out my duties and responsibilities and/or
  - (b) Create an unfair advantage for any person or organization.

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#### Document information

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01.1	31 July 2013	Editorial revision to correct a paragraph number.
01.0	26 July 2013	EB 74, Annex 2 Initial adoption. This document replaces: <ul style="list-style-type: none"><li>• Terms of reference for the registration and issuance team (EB 67, annex 2, version 08.0)</li><li>• Terms of reference for the CDM Assessment Team (EB 37, paragraph 17, version 03.0)</li></ul>

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