



## On-site assessment report (Version 05.0)

<b>Entity name and address</b>	
<b>UNFCCC entity ref. no.</b>	
<b>Sectoral scopes applied for</b>	<input type="checkbox"/> 1. Energy industries (renewable - / non-renewable sources) <input type="checkbox"/> 2. Energy distribution <input type="checkbox"/> 3. Energy demand <input type="checkbox"/> 4. Manufacturing industries <input type="checkbox"/> 5. Chemical industry <input type="checkbox"/> 6. Construction <input type="checkbox"/> 7. Transport <input type="checkbox"/> 8. Mining/Mineral production <input type="checkbox"/> 9. Metal production <input type="checkbox"/> 10. Fugitive emissions from fuels (solid, oil and gas) <input type="checkbox"/> 11. Fugitive emissions from production and consumption of halocarbons and sulphur hexafluoride <input type="checkbox"/> 12. Solvents use <input type="checkbox"/> 13. Waste handling and disposal <input type="checkbox"/> 14. Afforestation and reforestation <input type="checkbox"/> 15. Agriculture <input type="checkbox"/> 16. Carbon dioxide capture and storage in geological formations
<b>CDM-AT leader's name</b>	
<b>CDM-AT members' names</b>	

**NOTE:**

1. This form is relevant to the latest version of the CDM accreditation standard and the accreditation procedure published on the UNFCCC CDM rules and reference website <<https://cdm.unfccc.int/Reference/index.html>>.
2. The following tables are only checklists, refer to the CDM accreditation standard for the detailed requirements.
3. Substantiate and explain, in the comments column, compliance (or lack thereof) with each of the requirements.
4. A Non-Conformity (NC) report (CDM-NC-FORM) must be raised for each failure to comply with a requirement. One NC report may cover one or more compliance failures as long as they all relate to the same accreditation requirement.
5. For some of the requirements below the "Comments" column provides guidance to ensure that the minimum reporting details are recorded. Overwrite this further guidance.
6. The paragraph numbers at the end of each requirement indicate the corresponding paragraph of the CDM accreditation standard.

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
<b>6. Legal status and matters</b>			
1	<p>Describe how the legal status of the entity has been established so that it can function legally, enter into contracts, make decisions independently and may be sued in its own name.</p> <p>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 entity compatible with the registration document and objectives of the organisation?</p> <p>(Para 10)</p>		
3	<p>Is there any pending judicial process against the entity? If yes, is it for malpractice, fraud and/or other function incompatible with its functions as an entity? If yes, has it been communicated to the secretariat?</p> <p>Does the entity maintain records of all the judicial processes pending against it as well as information of any judicial cases held in the past or have provision for recording judicial processes that it is involved in?</p> <p>(Paras 11-13)</p>		
<b>7. Liability and finance</b>			
1	<p>Is the entity financially stable to take on operations of CDM related activities?</p>		

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
	(Para 14)		
2	Has the entity implemented the process to regularly monitor its income and expenditure? (Para 15)		(Include details of how the entity monitors its income and expenditure and when and who did the external audit of its financial statement.)
3	Does the entity's liability analysis cover all potential liabilities? (Para 16)		
4	How has the entity demonstrated that sufficient arrangements are in place to cover the identified potential liabilities? (Para 17)		
<b>8. Entity's management</b>			
1	Is the entity part of a larger organization? Does the entity have related bodies that might affect its CDM operations? (Paras 28-29) Does the documented entity organisational structure reflect the duties, responsibilities and authorities of personnel and committees? Note: Evaluate that the documented structure facilitates operating in an independent, non-discriminatory, impartial & transparent manner complying with national law. (Paras 18-19)		(Ensure all related bodies are included in its impartiality analysis.)  (Describe the documented organisation structure of the entity indicating the relationship of the entity function with other functions (if any) and the organisation structure/chart within the entity function.)  (Report on whether the responsibilities for the overall performance of the entity 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).)

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
	Has the entity made its documented procedure for allocation of responsibilities publically available? (Para 21)		
3	Are management and top management activities carried out by the internal resources who have been made responsible as per the documented organisational structure of the entity? (Paras 20, 22-23 and 53)		(Check the compliance of execution against documentation for para 20) entity
4	Has the entity implemented its documented procedure for the appointments, terms of reference and operation of committees involved in CDM policy making or operational functions? (Para 24)		
<b>9. Safeguarding impartiality</b>			
1	Does the implementation of the procedures and systems of the entity ensure its integrity at all times, and there are no constraints that might influence its judgement or endanger its independence of judgement? (Paras 25-30)		
2	How does the entity ensure that its policy on safeguarding impartiality is understood and implemented at all levels of the organization?  Is the impartiality policy publicly available on its website?		

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
	(Paras 31-34)		
3	<p>Has the entity established a committee to safeguard its impartiality? How does its Impartiality Committee operate to safeguard impartiality at the organization level?</p> <p>(Paras 35-39)</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 the entity implemented its procedures and carried out the conflict of interest analysis to determine the potential threats to its impartiality?</p> <p>Is the conflict of interest analysis reviewed at regular intervals (at least annually/significant changes)?</p> <p>(Paras 40-44)</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 the entity implemented the documented procedure for the mitigation of threats against its impartiality?</p> <p>(Paras 45-47)</p>		
6	<p>Has the entity analysed and reviewed the effectiveness of its process to safeguard impartiality?</p> <p>(Paras 48-50)</p>		
<b>10. Human resources and competence</b>			
1	<p>Does the entity have a system to determine the necessary resources and has it deployed sufficient resources for its validation and verification/certification (VVC) functions?</p>		<p>(Describe how the system determines and ensures necessary resources for each TA in which the entity intends to operate, within all CDM sectoral scopes in which the entity has applied for accreditation or has been accredited, including internal, external, board and/or committee, relating to its workload.)</p>

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
	<p>(Paras 51-52)</p> <p>Does the entity periodically (at least annually) evaluate the sufficiency and accessibility of identified competent personnel?</p> <p>(Para 55)</p>		<p>(Describe how and when the last evaluation was done and its outcome.)</p>
2	<p>Are the personnel carrying out VVC functions under the supervision of entity management?</p> <p>(Paras 54, 56)</p>		<p>(Describe how the entity fulfils its sufficient resources by using internal resources, allocating functions to other sites, using external individuals and/or subcontracting.)</p> <p>(Describe who is responsible for the supervision and management of the human resources.)</p>
3	<p>Does the entity have at least one person qualified in the technical area to participate in the VVC and one person qualified to participate in technical review, in at least one technical area for each sectoral scope it intends to become accredited in and for each technical area it intends to operate in?</p> <p>(Paras 57-58)</p>		
4	<p>Has the entity implemented its documented procedure to use external resources, if applicable? e.g. (i) establish contract with external individual or its company, as applicable; (ii) contract with external individual to comply with entity's policies and procedures, including confidentiality and impartiality/independence; (iii) contract with external individual to notify entity any actual/potential impartiality issues.</p> <p>(Paras 59-61)</p>		

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
5	<p>Has the entity implemented its documented procedure for recruitment of personnel? (Para 62)</p>		<p>(Report the recruitment system of the entity.)  (Describe how the system ensures that recruited personnel are inline with the initial documented competences for that level.)  (Report on how the recruitment records indicate identification of any training needs to comply with documented initial competencies.)</p>
6	<p>Has the entity implemented its documented procedure to outsource functions, if applicable?  e.g. (i) Outsourcing to legal entities only (ii) Outsourced functions are in accordance with Appendix-1 (iii) The outsourced functions are not further outsourced (iv) Taking full responsibility of all activities outsourced (v) Having contractual agreement with outsourced body to (a) perform VVC in accordance with CDM rules and requirements (b) comply with applicable requirements of the CDM accreditation standard, entity's policies/procedures including provision related to confidentiality and impartiality. (Paras 63-67)</p>		
7	<p>Are the conducted and documented initial competence analysis and competence criteria in compliance with CDM accreditation standard requirements? (Paras 69-72 and appendixes 2 and 3)  (i) management functions (Paras 74-75)  (ii) VVC team (Paras 76-80)  (iii) validation team (Paras 81-84)</p>		

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
	(iv) verification team (Paras 85-88) (v) validator/verifier (Paras 89) (vi) team leader (Paras 90) (vii) technical expert (Paras 91) (viii) technical review team (Paras 92-93)		
8	Has the entity implemented its procedure to evaluate adequacy of its competence criteria taking into account performance of VVC functions, at least once in every two years? (Para 73)		
9	Has the evaluation, demonstration and qualification of personnel been done as per the established criteria for management functions? (Paras 94-102)		
10	Has the evaluation, demonstration and qualification of personnel been done as per the established criteria for (i) validator/verifier (ii) team leader? (Paras 94-102)		
11	Has the evaluation, demonstration and qualification of personnel been done as per the established criteria for (vii) technical expert (viii) technical reviewer? (Paras 94-102)		
12	Has the entity implemented its procedure		(Report on whether the entity has the same system for internal and external resources,



Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
	for performance monitoring e.g. on-the-job performance evaluation, subsequent continuous monitoring, monitoring process and monitoring method, ensure maintenance and update of competence of its personnel?  (Paras 103-104 and 106-107)		whether monitoring was carried out for external resources if used, the criteria/indicators and frequency of monitoring is adequate
13	Has the entity ensured the maintenance and update of competence of its validation and verification personnel to keep up with newly introduced requirements taking into account technological changes and changes in CDM requirements?  (Para 105)		
14	Has the entity implement its procedure for both qualified personnel and to-be qualified personnel to (i) identify training needs (ii) providing training and its evaluation of effectiveness (iii) record keeping?  (Paras 108-109)		
15	Does the entity maintain up-to-date personnel (internal and external) records with appropriate evidences? (e.g. qualifications, training, experience, affiliations, professional status, consultancy services.)  (Para 110)		
<b>11. Information management</b>			
1	Has a list of all CDM project activities and PoAs been made publicly available ?		

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	(Para 111)		
2	Has the entity implemented the confidentiality policy and mechanism to safeguard the confidentiality of information obtained from CDM project participants? (Para 112)		
3	Are entity personnel (internal and external) bound by the confidentiality requirements and must personnel obtain written consent of the project participants for any information which may be made public prior to any such information being disclosed, except for information which is required to be made publically available by the CMP? (Paras 113-114)		
<b>12. Validation and verification/certification process</b>			
1	Are the documented procedures implemented and maintained for proposal submission and contract review? (Paras 115-120, 68)		<p>(Report the process followed by the entity to enter into a contract for VVC services.) (CDM-AT should describe on whether information collected is sufficient to ensure that:</p> <ul style="list-style-type: none"> <li>- There are no impartiality issues that contravene CDM accreditation requirements;</li> <li>- Project falls into technical area within accredited sectoral scopes;</li> <li>- Necessary human resources and competence and other capabilities are available.</li> <li>- Other considerations)</li> </ul> <p>If the contract review is carried out by an outsourced entity, report that DOE ensured that outsourced entity has access to information of DOE and its related bodies</p> <p>Report whether contract review was conducted before submission of proposal/quotation to the PP</p>

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2	<p>Are the contracts signed between the PP and the entity (accredited legal entity) and by authorised persons on behalf of the both parties in accordance with the entity's documented procedure? (Paras 118-119)</p>		<p>(Describe the nature of contractual arrangements and who are the authorization signatories.) describe whether contract review was approved by the authorised person in the entity before entering into the contract</p>
3	<p>Are the documented procedures implemented and maintained for the selection of the VVC team? (Paras 121-126 and 77-80)</p>		<p>(Report on how the system of the entity addresses the following:                      – The entity 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.) (Describe how the entity obtains confirmation from the PP on its VVC team.)</p>
4	<p>Are the documented procedures implemented and maintained for the planning and performing of VVC functions? (Paras 127-128)</p>		<p>(Report on how roles are allocated amongst members of the VVC team and communicated to the PP.) (Describe how team changes are being addressed.)  (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>Are the documented procedures implemented and maintained for performing VVC functions in line with requirements in CMP decisions, the VVS, the PCP and other Board decisions? (Paras 127-128)</p>		<p>(Describe the sample size and whether the review of the project records give confidence that the VVC team of the entity has made in depth investigation of the claims made by the PP in the PDD.) (Describe how the VVC team of the entity remains competent throughout the VVC process.) (For an entity with no projects, review the validation and verification protocols/checklists to establish the adequacy of these documents to cover the VVS requirements.)</p>

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
6	<p>Are the documented procedures implemented and maintained for independent technical review of draft VVC reports? (Paras 129-130)</p>		<p>(Describe how the technical review is implemented during the VVC process.) (Describe whether technical reviewer(s) appointed are competent in technical area of the project.) (Describe whether the reviewer(s)/decision maker(s) are independent of the VVC team.) (Out of projects sampled, describe whether the technical reviewer(s) are as knowledgeable as the VVC team members.) (Describe how the technical review process is capable of capturing those requirements of the CDM M&amp;P, VVM, COP/MOP and EB decisions that might have been overlooked by the VVC team.)</p>
7	<p>Are the documented procedures implemented and maintained for Issuance of final VVC opinions and reports? (Paras 131-133)</p>		<p>(List processes and steps to arrive at the final decision and authorised signatory for the final decision of validation and verification opinion.) (Describe whether the final decision is being made by authorised management/top management of the entity) (Verify this while assessing decision making process of sampled projects.)</p>
8	<p>Are the documented procedures implemented and maintained for the submission of request for registration and issuance of validation and verification reports, publication of PDDs and monitoring reports, requests for deviations from the methodology, post registration changes, requests for clarifications, and submission of new methodologies? (Paras 127-128)</p>		<p>(Report on whether these tasks are performed by internal resources of the accredited legal entity.)  (Report on whether the implementation of the entity's procedure is in compliance with the corresponding EB procedure.)</p>
9	<p>Are the documented procedures implemented and maintained for responding to requests for reviews from the EB?</p>		<p>(Assess the implementation of the entity's procedure to address request for review raised by the EB.) (Describe how request for review cases have been handled by the entity.) (Report on how the entity's procedure ensures that effectiveness implementation of the</p>

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
	(Paras 127-128)		corrective actions have been followed for these cases.)
<b>13. Quality management system</b>			
1	<p>Does the entity establish a QMS and periodically update its QMS?</p> <p>Does the entity top management demonstrate commitment to the development and implementation of QMS and ensure that the CDM policies and quality management system are understood, implemented and maintained at all levels of the organisation?</p> <p>(Paras134-137)</p>		(Describe how the requirements is met)
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 top management on the performance of the quality management system?</p> <p>(Para 138)</p>		
3	<p>Are all documents (internally generated or from external sources) controlled as per the documented procedure of the entity? Where relevant, has the documentation been periodically updated?</p> <p>(Paras 139-140)</p>		

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
4	Is the record management and control system implemented in accordance with the requirement of CDM accreditation standard and documented procedure of the entity? (Paras 141-146,61,120)		
5	Has the entity conducted internal audits (at least annually) to verify, that the CDM quality management system is operational in accordance with the defined procedure and intervals? (Paras 147-149)		(Report on when the previous internal audits were performed.) (Report on whether the internal audit was performed by an independent and competent internal auditor qualified according to a pre-defined criteria established by the entity.) (Describe whether the scope of internal audits covered all the CDM accreditation requirements and the quality management system of the entity.)
6	Do the records indicate the effectiveness of the corrective actions initiated in response to the internal audit reports? (Para 149)		
7	From the internal audits, can it be concluded that it is effective in verifying the QMS and its compliance to CDM requirements? (Para 147)		
8	Has the entity established, documented, implemented and maintained a procedure for the identification and management of non-conformities (applicable to the entity and any outsourced entity)? (Para 150)		(Report on how issues identified from EB reviews and internal reviews considered as non-conformities have been addressed by the non-conformity procedure.)
9	Is the procedure for identifying and managing corrective and preventive actions implemented?		(Report on whether the procedure addresses how to identify root causes and criteria to choose corrective actions, etc.)

Section ref.	Criteria Requirements	Complies (Y/N)	Comments from on-site assessment (Substantiate the compliance or non-compliance)
	(Paras 151-155)		(Report on whether corrective actions taken are effective in improving the operations.)
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 entity's QMS continues to comply with CDM requirements?</p> <p>(Paras 156-159)</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>
<b>14. Complaint, dispute and appeal processes</b>			
1	<p>Has the documented procedure been implemented for investigation and taking appropriate correction and corrective action with respect to complaints/ disputes/ appeals? Was the complainant/appellant informed of the outcome?</p> <p>Has the entity made the documented procedure for handling complaints and appeals publicly available?</p> <p>Has the DOE make the documented procedure for handling disputes available to its clients upon request or if a dispute occurs?</p> <p>(Paras 160-169)</p>		(Describe whether complaints, appeals and disputes have been defined as per CDM accreditation standard.)



**On-site assessment report summary form**

<b>Entity name and address of site(s) assessed</b>	
<b>UNFCCC entity ref. no.</b>	
<b>Meeting start (date and time)</b>	
<b>Meeting close (date and time)</b>	
<b>Entity's personnel and management present (name and functional title)</b>	
<b>List of documents and reports prepared as part of this assessment</b>	
<b>Comments and recommendations</b>	
<p><input type="checkbox"/> This case is to be presented to the CDM-AP since there is evidence that the entity intentionally provided false information, intentionally omitted to provide information that should have been provided, or deliberately violated an accreditation requirement.</p> <p>If the checkbox above is ticked, the CDM-AT shall substantiate issues in this section:</p>	
<b>CDM-AT leader signature:</b>	<p><b>Date:</b></p>

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## Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
05.0	1 October 2018	Revision to align with version 14.0 of the CDM accreditation procedure (CDM-EB05-A02-PROC) and version 7.0 of the CDM accreditation standard (CDM-EB46-A02-STAN).
04.0	2 December 2014	Revision to: <ul style="list-style-type: none"> <li>Align with version 11.0 of the CDM accreditation procedure (CDM-EB05-A02-PROC) and version 6.0 of the CDM accreditation standard (CDM-EB46-A02-STAN);</li> <li>Change the symbol from F-CDM-OR to CDM-OAR-FORM.</li> </ul>
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	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 publication.

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