



ON-SITE ASSESSMENT REPORT FORM

Entity Name and Address of site(s) assessed	
UNFCCC ref no.:	
Witnessing activities identified	(Yes/no) <i>If yes, is the on-site assessment combined with one witnessing activity?(Yes/no)</i>
CDM-AT leader:	

Names of members of the CDM -AT

Opening Meeting	
Date and Time:	
Members of entity's management present:	
Name	Functional title

Evaluation		
<i>(key: AB = Above Average, SAT = Satisfactory, UA = Unacceptable, N/A = Not Observed)</i>		
Criteria (The reference to the respective accreditation standard identified Appendix A of the Modalities and Procedures of the CDM is indicated in parenthesis)..	Key	Comments
(1 (a)) What is the legal status of the entity? - Is it a domestic legal entity(government body/private entity)? - Is it an international organization with defined locations? - Supportive legal registration documentation submitted - Registration number provided		
(1 (b)) Does the organization employ sufficient and competent staff to perform functions as applied and with respect to type, scope and volume of work? Does the entity have procedures and defined criteria to ensure the competency of the personnel involved in validation, verification and certification functions?		

F-CDM-OR

Do the organizational chart and lines of authority show which senior executive is responsible for the overall management of the entity?		
(1(c)) Do the financial resources demonstrated ensure financial stability of the entity? Does the organization have externally audited financial figures on an annual basis?		
(1(d)) Do the insurance coverage and other means sufficiently cover legal and financial liabilities potentially arising from its activities? Has the applicant entity assessed its potential liabilities? Is the coverage sufficient to cover assessed liabilities?		
(1(e)) Does the entity have structure and a documented policy that addresses; - Procedures for allocation of authority within the organization? - Procedures for handling complaints and disputes? - Procedures for making information publicly available?		
(1(f)) In case of assessors (full, part time and/or subcontracted personnel), are the issues of confidentiality, impartiality and conflict of interest dealt with in an adequate manner (e.g. self declaration by staff employed)? Are personnel competent for validation or verification and certification of CDM projects and adequately qualified, trained and familiar with the modalities and procedures of the CDM and relevant decisions by the COP/MOP?		
(1 (f) (i) to (vi)) Does the operational entity have procedures and systems for the competency analysis that demonstrates that responsible personnel: - Are competent and have knowledge of the modalities and procedures and guidelines for the operation of CDM and relevant decisions of the COP/MOP and of the executive board? - Have an understanding and knowledge of issues, in particular environmental, relevant to validation or verification and certification of CDM project activities? - Have knowledge of the technical aspects of the CDM project activities relevant to environmental issues, including expertise in the setting of baselines and monitoring of emissions? - Are aware of relevant environmental requirements and methodologies and recent developments in the scope of this application? - Have understanding of methodologies for accounting of anthropogenic emissions by sources? - Are knowledgeable about the regional and sectoral aspects of CDM project activities? - Have language capacity to communicate with local stakeholders in their local languages and in the working language of the executive board of the CDM and the UNFCCC secretariat (English)?		
(1(g)) Does the applicant entity have a documented quality policy statement and quality manual, which includes; - Objectives for quality? - Commitment to documented quality? - How is the commitment demonstrated? How does the management structure ensure that the quality system is understood, implemented and maintained at all levels of the organization?		

F-CDM-OR

<p>What are the defined intervals to conduct internal audits and management reviews to verify that quality system is operational?</p> <p>Are the records of these reviews maintained?</p> <p>Is there a person designated as quality manager with a direct access to senior management personnel, such as the senior executive, board members, senior officers?</p> <p>Does the documented quality system address all relevant functions of the entity?</p>		
<p>(1(g)(i)-(vi)) Does the organizational quality manual address and refer to:</p> <ul style="list-style-type: none"> - The names, qualifications, experience and terms of reference of senior management personnel, such as the senior executive, board members, senior officers and relevant personnel? - An organizational chart showing lines of authority, responsibility and allocation of functions stemming from senior management? - Documented policy and procedures for quality assurance? - A description of administrative policies and procedures? - Documented policies and procedures for document control? - A documented policy and procedure for the recruitment and training of staff responsible for validation or verification and certification functions? - Record of qualifications, training and experiences? - Record of how frequently these records are updated? - A policy and procedures for monitoring the performance of the relevant staff? - Its policy and procedures for handling complaints appeals and disputes? - Is there a record/register of all complaints, appeals and disputes? - Is there a record of actions taken in each case, as well as corrective and preventive measures implemented? - Are corrective actions assessed to determine their effectiveness? 		
<p>(1(h)) Does the entity maintain the record of any judicial actions?</p> <p>Is there any pending judicial process for malpractice, fraud and/or other activity?</p> <p>If there is any pending judicial process against the entity, is it incompatible with the functions as a accredited/designated operational entity?</p>		
<p>(2 (a)-(b)) Does the applicant operational entity have documented policies and procedures to meet its potential operational requirements, in particular</p> <ul style="list-style-type: none"> - The applicant entity demonstrates and ensures its operations to be: <ul style="list-style-type: none"> - Independent - Non-discriminatory and transparent - The documented structure of the entity safeguards its impartiality by identifying any potential sources of conflict of interests? 		

F-CDM-OR

<ul style="list-style-type: none"> - Does the applicant entity have any committees or structures which protect and ensures its impartiality? <ul style="list-style-type: none"> - Have terms and membership criteria been defined for any such committees or structures. - Is the applicant operational entity a single entity with defined operations, scopes and locations? - Is the applicant operational entity part of a larger organization involved in several activities and services? <ul style="list-style-type: none"> - If part of such a larger organization, where parts of that organization are, or may become involved in the identification, development or financing of any CDM project activity, does the entity: <ul style="list-style-type: none"> - Make a declaration of all the organization's actual and planned involvement in the CDM project activities? - Provide evidence how the organization's planned involvement in the CDM activities is compatible with the operational requirements as applied by the entity? - Clearly indicate which part of the organization is involved and in which particular CDM project activities? - Clearly define the links and management structures which separates the functions of the entity as an operational entity and any other areas of work? - Describe how the entity deals with the potential sources of conflict both at strategy and policy level and at decision-making level for validation and/or verification and certification of CDM projects? - Demonstrate how its validation, verification and certification business is managed and any other business in which the entity is involved with, or with other related organizations? - Demonstrate its functional or structural link (Common ownership, contractual arrangement, informal contract ...) with other related bodies? - Recognize all potential sources of conflict of interests between itself and/or among its related bodies? - Identify measures and means and implement these in order to minimize any risks to impartiality? - Have documented policies and arrangements to prove its independence in its operations? - Have procedures and records to demonstrate that its assessment personnel, staff and senior management are not involved in any commercial, financial or other processes which might influence their judgment? - Have arrangements for the identification of such situations and measures to address them in a timely and responsible manner? 		
<p>(2 (b)) Does the applicant operational entity have documented policies and procedures and arrangements with regard to who has access to the information, in accordance with applicable provisions, obtained from CDM project participants?</p> <p>Does the applicant entity have arrangements to obtain written consent of the organization for any information which may be made public prior to any such information being disclosed?</p>		

F-CDM-OR

Has the applicant entity in its subcontracting policies and procedures, included necessary provisions ensuring the confidentiality of information in accordance with the applicable provisions?		
Requirements related to particular scope of accreditation:		
General comments:		
Closing meeting:		
Date and time:		
Results and recommendations:		
CDM-AT leader (Signature)		Date: