

## 1. OBJECTIVE

This procedure describes the processes that shall be followed in planning and carrying out the validation/registration, verification/certification and follow up the registration and issuance activities of Clean Development Mechanism (CDM) project activities. It also includes the process for other CDM project activities and, it describes the steps to follow in a performance assessment.

## 2. SCOPE

This procedure applies from the proposal preparation (taking into account the initial information required in IN-P-CV-011-F-001, PDD or MR of the project), the audit team appointment, service planning, service provision and project's submission of documents to UNFCCC and/or the client.

It also describes the procedure related to the development of performance assessment and other accreditation maintenance processes.

## 3. DEFINITIONS

For the purposes of this procedure, the following definitions apply, in addition to those given in the glossary CDM terms (latest version):

- a. Audit is used in general, this refers to validation/registration or verification/certification or both, and
  - b. Nonconformity is used in general, this refers to clarifications, corrective action requests, or forward action requests, or both.
- 3.1. **Validation:** The process of independent evaluation of a CDM project activity or PoA by a DOE against the requirements of the CDM rules and requirements, on the basis of the PDD or PoA-DD and CPA-DDs.
  - 3.2. **Registration:** The formal acceptance by the Board of a CDM project activity or PoA validated by a DOE as a CDM project activity or PoA, as applicable. Registration is the prerequisite for the verification, certification and issuance of CERs, ICERs or tCERs, as applicable, related to that CDM project activity or PoA.
  - 3.3. **Verification:** For a CDM project activity (non-A/R) or PoA (non-A/R), the periodic independent evaluation and ex post determination by a DOE of monitored reductions in anthropogenic emissions by sources of GHG that have occurred as a result of a registered CDM project activity or PoA.
  - 3.4. **A/R:** Afforestation and reforestation
  - 3.5. **SSC:** Small-scale
  - 3.6. **For an A/R or SSC A/R CDM project activity or PoA (A/R),** the periodic independent evaluation and ex post determination by a DOE of the net anthropogenic GHG removals by sinks achieved by the A/R or SSC A/R CDM project activity or PoA.

**3.7. Certification: For a CDM project activity (non-A/R) or PoA (non-A/R),** the written assurance by a DOE that, during a specified time period, a CDM project activity achieved the reductions in anthropogenic GHG emissions by sources, as verified.

**3.8. For an A/R or SSC A/R CDM project activity or PoA (A/R),** the written assurance by a DOE that an A/R CDM project activity or PoA achieved the net anthropogenic GHG removals by sinks since the start of the project, as verified.

**3.9. Corrective action request (CAR):** identification and notification of a noncompliance with project requirements, or the identification of a risk to successful fulfillment of the particular project's objectives. A Corrective Action Request is used within the framework of the validation, when:

- a. Mistakes have been made in assumptions, application of the methodology, or the project documentation, which will have a direct influence on the project results.
- b. The requirements deemed relevant for the validation of a project with certain characteristics have not been met, or
- c. There is a risk that emission reductions would not be able to be verified and certified.

In the framework of the verification a CAR will be issued when:

- a. Nonconformities are found, or sufficient evidence has not been provided ensuring that monitoring and reporting have been conducted in accordance with the monitoring plan and methodology. Mistakes have been made in applying assumptions, data, or calculations of emission reductions, which will have an impact on the estimation of emission reductions.
- b. Issues identified at validation as a Forward Action Request to be verified at the verification have not been resolved by the project participants

**3.10. Clarification Request (CL):** Issued when information is insufficient, unclear or not transparent enough to establish whether a requirement is met.

Note: There are other kinds of clarifications when the project participant requests a deviation from an approved methodology annex 4 of EB 49.

**3.11. Forward Action Request (FAR):** In the context of validation, may be raised where certain issues related to project implementation should be reviewed during the first verification. In the context of verification is issued for actions that do not result in material impact on the estimation of emission reductions and applied for situations where the actual project monitoring and reporting require attention and / or adjustment for the next verification period.

**3.12. Technical reviewers:** An internal professional or team conformed by an internal lead auditor and specialists qualified in the technical area related to the project. These are in charge of providing the final concept on the validation or verification of a specific Greenhouse Gases Project or Report. The final concept is based on a technical

revision of the service and the monitoring of the fulfillment of the related approved procedures.

**3.13. Focal Point:** Any entity, or entities, whether or not registered as a project participant in the corresponding CDM project activity or PoA, nominated through the MoC statement by all project participants to communicate with the Board and the secretariat in relation to some or all of the following scopes of focal point authority

- a. Communicate in relation to requests for forwarding of CERs to individual accounts of project participants
- b. Communicate in relation to requests for addition and/or voluntary withdrawal of project participants and focal points, as well as changes to company names, legal status, contact details and specimen signatures
- c. Communicate on all other project or programmed-related matters not covered by (a) or (b) above.

**3.14. Materiality:** An auditing concept to be applied by DOEs in verifications in order to detect errors, omissions or misstatements in emission reductions or removals by sinks being claimed by project participants in monitoring reports for CDM project activities.

**3.15. UNFCCC Request during Registration or Issuance:** it is a request that raises a concerns or issues whether the proposed project activity complies with the applicable CDM rules and requirements.

This kind of request would imply that the information contained in the request for registration or issuance does not demonstrate that the project activity meets the applicable CDM rules and requirements for registration or issuance, respectively.

#### **4. GENERAL CONDITIONS**

**4.1. AUDIT TEAM (VALIDATION OR VERIFICATION/CERTIFICATION TEAM):** A team could be a lead auditor (validator/verifier) or a team conformed by a lead auditor and other auditor(s). Also, one or several technical specialist(s) in the sector can participate if required.

Members of the validation/verification team shall be independent of the activities they audit. The team member(s) shall be objective, and free from bias and conflict of interest throughout the validation/verification process.

In some cases, other kinds of professionals participate during the service provision. These professionals are:

- a. Trainee or Observer: a professional who is in training to be an Auditor, Lead Auditor or Technical Expert. In some cases an observer could be a professional that is in training for other services and is witnessing the audit process. The observer participates in different stages of the validation/verification process and has access to documents from the PP; however he/she has not responsibilities during the service and does not participate in the final concept regarding the conformity of the project activity.

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- b.** Monitor: a professional in charge of the evaluation of the performance of a member of the audit team during a validation/verification process. This professional has access to documents from the PP; however he/she has not responsibilities during the service and does not participate in the final concept regarding the conformity of the project activity.

The members of the audit team shall:

- a.** Act under the following parameters:
- Ethical conduct: the foundation of professionalism.
  - Fair presentation: the obligation of reporting with truthfulness and accuracy.
  - Due professional care: the practice of diligence and sound judgment when auditing.
  - Impartiality and Independence: the basis for objectivity in the audit conclusions.
  - Evidence-based approach: the use of a rational method to reach reliable and reproducible audit conclusions in a systematic audit process.
  - Diplomacy: tact in working with others.
- b.** Fulfill the responsibilities and activities specified in the procedure.
- c.** In the case of auditors, they shall collaborate with the lead auditor in the development of all audit activities.
- d.** Follow ICONTEC's Code of Ethics
- e.** Observe the following behavior:
- To listen and understand, not to judge the audited.
  - To inspire trust and calm.
  - Not to argue.
  - Not to be aggressive.
  - To adapt his/her language to that of the audited.
  - To be open to considering alternative ideas or points of view.
  - To be an attentive observer, remaining actively conscious about the surrounding activities and physical environment.
  - To adjust quickly to different situations.
  - To be persistent and focused on achieving objectives.
  - To reach timely conclusions based on logical reasoning and analysis.
  - To be self-confident, acting independently while effectively interacting with others.

**The Lead auditor shall:**

- a.** Manage and carry out the audit in accordance with the guidelines set forth in this procedure and other requirements.

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- b. Plan the validation/ verification processes (time, place, criteria for the assessment, etc.).
- c. Be the single point of contact, communicating and clarifying to the audit requirements and methodology.
- d. Plan and carry out the assigned activities effectively and efficiently.
- e. Run meetings.
- f. Communicate the audit results to the audited.
- g. Manage the validation/ verification and make decisions affecting the validation/ verification process.
- h. Verify the suitability of actions proposed by the project participants for all nonconformities and, if applicable, to consent to the necessary adjustments in order to guarantee their appropriateness in eliminating the causes of the discovered nonfulfillment. The lead auditor might consult with other audit team members about the suitability of the request for adjustments to these proposed actions.
- i. Elaborate the audit reports including annexes (validation/verification protocol according to their competence and knowledge).
- j. Define the communication channels with the project participants and the contractual party.
- k. Handle all information and documents consulted during the audit safely, confidentially and discreetly.
- l. Conduct the meetings needed to the provision of the service, allowing the lead auditor to acquire the necessary information to make proper decisions and conclude the audit appropriately.

**The auditors shall:**

- a. Assist the lead auditor when performing those duties listed above.
- b. Be responsible for performing the parts of validation/ verification assigned by the leader auditor.
- c. Be responsible for acquainting themselves with the project documentation and the project context as a part of validation/ verification preparation.

**The specialist shall:**

- a. Assists and provide technical support to the audit team during the planning and execution of the audit according to the applicable approved project methodology so that all project activities are covered. He/she is responsible for providing support to

guarantee that technical aspects of the specific sector are monitored, jointly working with the lead auditor.

- b. Ask questions related to the CDM project activities, in order to verify specific technical aspects, in coordination with the auditor. The review of specific aspects, suggested by the specialist, shall be carried out with the approval of the auditor in charge, after evaluating its feasibility, risks and applicability.
- c. Support the preparation of the validation/verification report, providing feedback on technical issues related to the sectoral scope and support.
- d. Write specific clauses indicated in the designation form or by the lead auditor.
- e. According with the latest version of the CDM Validation and Verification Standard, prepare and deliver the validation/verification report filling in sections listed below:

**General Validation Report for Project Activities (CDM-VAL-FORM) or Programme of Activities (CDM-PoA-VAL-FORM):**

- Section D.7 Description of project activity or Part II. Generic component project activity(ies)
- Section D.8 Application of selected baseline and monitoring and selected standardized baseline or Part II Section B. Application of a baseline and monitoring methodology and standardized baseline.
- Section D.9. Duration and crediting period or Part I section D. Duration of the PoA.
- Section D.10. Environmental impacts or Part I section E. environmental impacts.
- Section D.11. Local stakeholder consultation or Global stakeholder consultation (Part I section H)
- Section F. Validation opinion or SECTION III. Means of validation – Section II. Validation opinion.

**General Verification Report for Project Activities (CDM-VCR-FORM) or Programme of Activities (CDM-PoA-VCR-FORM):**

- Section E. Verification findings or Section G. Verification findings - General
- Section G. Verification opinion or Section E. Verification opinion

**Post Registration Changes Report for Project Activities (CDM-PRCV-FORM) or Programme of Activities (CDM-PoA-VCR-FORM):**

- Section D. Validation findings
- Section F. Validation opinion

**Renewal of Crediting Period for Project Activities (CDM-RCP-FORM) or Programme of Activities (CDM-PoA-REN-FORM):**

- Section D. Validation findings or Section F. Validation findings
- Section F. Validation opinion or Section E. Validation

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The lead auditor should request the support of the specialist for any other section of the reports if necessary.

**The specialist shall not:**

- a. Have the last word on audit results, i.e., not to decide what is considered CL, FAR or CAR, although he/she is responsible for providing his/her technical expert opinion and support. He/she shall also answer enquires from the audit team regarding technical aspects.
- b. Inform the project participant or client of partial or definitive audit results, as this is the duty of the lead auditor.

**4.2. TECHNICAL REVIEWER**

The technical reviewer shall be independent from the activities to be reviewed. The technical reviewer(s) shall be objective, and free from bias and conflict of interest throughout the validation/verification process.

The technical reviewer shall act under the same parameters designated for the audit team and shall also provide final concept of approval or rejection of the report delivered by the audit team. The final audit report can only be submitted to the UNFCCC if the technical reviewer's concept is positive. Otherwise, technical reviewers shall return the report to the audit team for corrections which shall be approved by technical reviewers.

**4.3. AUDIT AND TECHNICAL REVIEW CRITERIA**

Audits shall be carried out based on the following criteria:

- Kyoto Protocol (article 12)
- CDM modalities and procedure (Marrakech Accords)
- Relevant Decisions of the United Nations Conference / Meeting of the Parties of the Framework -Convention on Climate Change and the CDM Executive Board, available at: <http://cdm.unfccc.int/Reference/COPMOP/index.html>
- National CDM requirements that include the priorities of sustainable development and the potential specific requirements contained, for example in the preliminary approvals of the Designated National Authorities or the Agreements between the parties interested in the project.
- CDM Validation and Verification Standard criteria, procedures, guidelines and other reference documents as applicable. Available at: <http://cdm.unfccc.int/Reference/index.html>
- Gold Standard Energy Requirements, mandatory guidelines, legal notices and templates
- Gold Standard A/R Requirements, templates, guidelines, transitional guidelines and clarification request and FAQs

Available at: [www.goldstandard.org](http://www.goldstandard.org)

Note: The project participants are responsible for the fulfillment of legal requirements; therefore, they shall provide evidence of all compliance with legal requirements.

Neither ICONTEC's audit team nor technical reviewer shall carry out audits of compliance with legal aspects. However, their responsibilities include the evaluation of the capacity of the project to identify the legal requirements applicable to the project and guarantee their fulfillment.

The audit and technical review criteria approach is based only on the intrinsic characteristics of the project activity, on the risks associated with the project activity and on the aspects related to the compliance of the CDM provisions affecting the decision on validation/registration or verification/certification.

## **5. ACTIVITIES TO CARRY OUT VALIDATION AND VERIFICATION OF CDM PROJECT ACTIVITIES**

These activities are based on the following documents, as applicable:

- Decision 17 of the seventh Conference of the Parties "CDM Modalities and procedures" defined in article 12 of Kyoto protocol.
- Decision 19 of the ninth Conference of the Parties "Modalities and procedures for a forestation and reforestation projects".
- Decision 21 of the seventh Conference of the Parties "Modalities and procedures for small scale project activities".
- Other decisions adopted by the CDM Executive Board or relevant decisions of the Accreditation Panel or Meth Panel.
- CDM Validation and Verification Standard criteria as applicable.

## **6. APPOINTMENT OF AUDIT TEAM AND TECHNICAL REVIEWERS, APPLICABLE FOR VALIDATION AND VERIFICATION FUNCTIONS**

The selection of the audit team and the technical reviewer(s) is based on the project information given in the format IN-P-CV-011-F-001, PDD, MR, and other documents mentioned in the latest version of the accreditation standard. The Sustainable Development Auxiliary selects a possible audit team and technical reviewer(s) with the subsequent approval from the Sustainable Development Chief and/or the Conformity Assessment Director.

This selection is based on:

- Qualification for climate change services IN-P-GH-14-F-018
- The Service Data Base IN-P-CC-01-F-015
- Auditors and experts Availability
- Auditors and experts non conflict of interest statement
- Risk matrix



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In cases where the assignment requires multiple technical areas, the Auxiliary shall assure that, individually or collectively, this assignment gathered the sufficient competence according to the indications set forth in the internal standard IN-P-GH-14, decision 17 and other documents from UNFCCC, as well as the requirements relevant to the project (technical, environmental, legal, financial requirements of the host country).

In order to determine the Technical expertise in a Technical area and for a specific methodology, the IN-P-CC-01-F-015 shall be used in order to verify experience and competence.

The Auxiliary determines the possible dates to carry out the service as well as the availability of the audit team and technical reviewer(s). Then he/she shall inform the Sustainable Development Chief to make the required arrangements.

The Auxiliary shall take into account considerations and controls set in the risk matrix, especially in cases where the project or programme of activities has been validated/verified previously (a previous validation/verification service in a period of 18 months) to mitigate the familiarity risk within the audit team.

The Conformity Assessment Director and/or the Sustainable Development Chief approve the audit team and the technical reviewer(s) according to the previous selection and the evidence of non-conflict of interest.

In case of modifications to the constitution of the audit team, the Auxiliary shall confirm this modification with the Conformity Assessment Director and/or the Sustainable Development Chief. The assistant will inform to the contracting entity of the modifications for approval prior to the service provision.

## **6.1. VALIDATION OF CDM PROJECT ACTIVITIES**

### **6.1.1. PUBLICATION OF THE PDD**

The Auxiliary is responsible for uploading the PDD on the UNFCCC CDM web site to initiate the stakeholders' consultation process.

### **6.1.2 PLANNING**

The lead auditor should request the following documentation to the contracting entity:

- a.** Updated version of the Project Design Document (PDD).
- b.** Documents of the analysis of environmental impacts of the project activity, including trans-boundary impacts and the Environmental Impact Assessment (in accordance with the procedures of the host country in which the project is developed).
- c.** Letter approving the project, issued by the Designated National Authority.
- d.** Letters confirming the voluntary participation of the parties.

- e. Any recent comments from interest groups and a report addressed to ICONTEC detailing how all concerns have been addressed.
- f. Spreadsheets with baseline and emissions removals calculations, among others
- g. Objective evidence according to the audit criteria

If the letter approving the project has not been issued when planning the service; the reviewing of the letter could be done in a further stage before the request for registration.

### **6.1.3. GLOBAL CONSULTATION PROCESS**

The Lead auditor must confirm with the Auxiliary if the projects design document (PDD) under consideration has been made publicly available for parties, stakeholders and UNFCCC accredited NGOs in order to comment on the validation requirements over a period of 30 to 45 days, according to the CDM Project cycle procedure criteria as applicable.

The Auxiliary shall inform the results of the public consultation to the lead auditor.

Note: When ICONTEC is providing Climate Change Assessment Services (CCAS) out of the UNFCCC, this other GHG programs such as Verified Carbon Standard (VCS) and Gold Standard among others; the public available consultation shall follow the procedures and rules determined in each of them regarding stakeholders' consultation.

### **6.1.4. DESK REVIEW AND INVESTIGATION OF ADDITIONAL INFORMATION SOURCES AND PRELIMINARY VALIDATION FINDINGS**

The audit team shall analyze the information received, covering the aspects indicated in the last version of Validation and Verification Standard criteria as applicable. During this stage, the validation team makes the pertaining annotations in the corresponding form CDM-VAL-FORM or CDM-PoA-VAL-FORM for VVS (available at [https://cdm.unfccc.int/Reference/PDDs\\_Forms/index.html](https://cdm.unfccc.int/Reference/PDDs_Forms/index.html)), sets up the documents and records to be consulted during the audit and defines the validation audit plan for the on-site assessment, which is registered in the IN-P-CC-01-F-001 form. The audit team considers the results of the information reviewed to decide whether to conduct an on-site visit or virtual assessment, according to the following criterion:

- a) The audit team shall conduct an on-site assessment if the estimated annual average emission reductions of the project activity or CPA is more than 100,000 tCO<sub>2</sub>eq or there is a pre-project information that is relevant to the registration requirements of the project activity or the inclusion of the CPA and may not be traceable after the registration or inclusion (professional judgment), otherwise the assessment will be conducted by virtual validation assessment.
- b) For cases that are not referred to in the above paragraph, it is optional for the audit team to conduct an on-site assessment.

If the audit team does not conduct an on-site assessment according to literal b), it shall describe the alternative means used and justify that they are sufficient for the purpose of validation.

The time and resources needed to carry out the validation audit will depend on the specific risks and complexity of the project.

The preliminary validation findings (CLs, CARs or FARs) should be sent to the project owner using the appendix 4 of the CDM-VAL-FORM or CDM-PoA-VAL-FORM. The CARs, FARs or CL shall be reviewed with the project owner in order to ensure that the finding is accurate and the CARs, FARs or CLs are understood. This review shall be executed during the onsite assessment.

In order to guarantee the necessary availability of people and resources, the lead auditor shall send by e-mail the IN-P-CC-01-F-001 form to the company's representative, in advance. The validation audit plan is communicated to the client and to the responsible party and it is reviewed, as necessary, during the course of the validation process.

The on-site visit or the virtual assessment will be conducted according to the plan previously sent to the project owner.

#### **6.1.5. ON-SITE ASSESSMENT**

Commonly the entire audit team participates in the on-site visit. However, in cases where the lead auditor and/or another auditor cover the sectoral scope applicable to the project, it is possible that just part of the audit team perform the specific task.

The on-site visit is finished when the audit plan is properly covered by the audit team.

##### **6.1.5.1. OPENING MEETING**

Before starting the validation activities, the lead auditor shall organize an opening meeting with the project owner. The purpose of this meeting is for the lead auditor to present the following points:

- a.** Introduction of the audit team (lead auditor, auditor and specialist).
- b.** Confirmation of purpose and scope of the validation.
- c.** Introduction of ICONTEC and its services.
- d.** General presentation of the CDM project validation process. Confirmation of the validation plan.
- e.** Commitment of confidentiality by the audit team regarding the information known during the validation and documents analyzed in accordance with CDM procedures.
- f.** Presentation of the availability of the appeal and complaint procedures.
- g.** Session of questions and answers.

In the IN-P-CC-01-F-003 form a record of people attending the opening meeting shall be kept.

#### **6.1.5.2. FOLLOW UP INTERVIEWS**

Follow up interviews with host country project stakeholders may prove useful or even necessary in order to discuss and validate issues related to:

- Project baseline and additionality.
- Technical implementation or financing of the project.
- Sustainable development.

Interviews may be performed face-to-face, via telephone, internet or other techniques when a visit to the host country is not required, and if so, planning must be adjusted to these circumstances and approved by the Lead Auditor.

Interviews for on-site visit or virtual assessment shall include relevant stakeholders in the host country, personnel responsible for project design and implementation, and other stakeholders as applicable. Moreover, the audit team shall to cross checks between information provided by interviewed personnel (i.e. by checking sources or other interviews) to ensure that no relevant information has been omitted

To carry out the interview, the auditor uses the CDM-VAL-FORM or CDM-PoA-VAL-FORM as a guide to obtain information, which should be adapted to the situation of the project.

The follow up interviews shall be used as a means of validation according to the CDM Validation and Verification Standard criteria as applicable.

#### **6.1.5.3. FINDINGS REPORT**

The audit team shall give to the project owners the findings' report with detected CL, CARs or FARs.

The audit team shall report all detected CL, CARs or FAR.

The CARs, FARs or CL shall be reviewed with the project owner in order to obtain the recognition that the finding is exact and that CARs, FARs or CL are understood. The lead auditor shall inform the project owner the time to submit the action plan using the appendix 4 of the CDM-VAL-FORM or CDM-PoA-VAL-FORM.

#### **6.1.5.4. CLOSING MEETING**

At the end of the visit, the audit team should perform a partial closing meeting to confirm commitment to confidentiality, findings and results obtained during the visit, as well as how communication will take place between the parties for the resolution of the CL, CAR and FAR, if applicable.

As in the opening meeting, a record of the attendees to the closing meeting shall be kept (see IN-P-CC-01-F-003 form). The attendees to these meetings shall be all people involved in the validation audit plan.

#### **6.1.6. RESOLUTION OF NONCONFORMITIES**

The requests can be solved by the project proponent through modifying and updating the project documents. If this is not done at the final stages of the validation, it may cause the project not to be recommended for UNFCCC registration, or the expected emission reductions not to be subsequently verified and certified.

It is the responsibility of the project proponent to respond to the CL, CAR or FAR identified by the validation team throughout a descriptive action plan that shall be delivered to the Lead Auditor after the on-site visit according to the time set for the service.

However, as some issues may only be verified during or after project implementation, it shall be clearly documented in the project design document how these requests will be addressed. For this, as well as for all other changes, as a result of the validation, the nature and location of changes shall be clearly identified in the revised project design document.

Once the requested corrective action plan is received, the lead auditor shall verify the appropriateness of the corrective action and write the conclusions on the appendix 4 of the CDM-VAL-FORM or CDM-PoA-VAL-FORM..

The draft of the final report is sent to the project proponent for final comments and could be sent for technical review.

#### **6.1.7. FINAL VALIDATION REPORT AND QUALITY CONTROL**

The validation report shall be prepared according to CDM Validation and Verification Standard criteria as applicable, it shall reflect the results from the dialogue between the validation team and the project owner and any adjustments done to the project documents after the draft PDD was made publicly available to parties for stakeholder consultation.

The validation report shall reflect the responses to nonconformities, discussions and revisions of project documents. It shall also give the final conclusions regarding the project conformance with relevant UNFCCC requirements (especially each requirement of paragraph 37 of the CDM M&P) or the criteria for every scheme and may raise issues that need to be subsequently addressed during the project implementation.

The validation report form CDM-VAL-FORM or CDM-PoA-VAL-FORM shall provide an overview of the validation activities carried out by the validation team in order to achieve the final validation conclusions and opinion. The general discussion of details captured by the appendix 4 of the validation report and conclusions related to project requirements shall be included in the final report.

The validation report shall include a validation opinion, which either, forms the basis for UNFCCC registration of the project or explains the reason for non-acceptance, if the project is judged not to have fulfilled the validation requirements.

The validation opinion shall confirm whether the project meets the stated criteria and that the methods presented in the project design documentation were correctly applied.

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Preliminary quality control of the final draft validation report and its annexes (opening and close meetings minutes, monitoring plan, and spreadsheets) is performed by the Conformity Assessment Director and/or the Climate Change Chief filling out the initial part of the form IN-P-CC-01-F-019 Check List for Technical Review VVS Validation Template or IN-P-CC-01-F-020 Check List for Technical Review VVS GS A/R Projects, according to the information received. This form and the annexes shall then be sent to the Assistant. He/she shall forward the information to the designated technical reviewer.

The technical reviewer is in charge of giving the final opinion on the validation and reviewing if the validation process fulfills the requirements of the UNFCCC and the internal procedures.

If any observations are presented the audit team shall process them.

In cases where the technical reviewer opinion is different from “To approve the concept of the audit team” the report subject of this review shall past through another technical review.

When the auditor and technical reviewer have discrepant opinions, concepts or interpretations of a CDM provision or other technical issues; the case shall be addressed by the Climate Change Committee.

This meeting shall make the final decision taken by majority vote. If this decision leads to a positive final opinion of the service; the report shall past to the Climate Change Technical Committee for its final approval signature.

Once the observations are solved and consensus is reached, the lead auditor shall provide the required documents listed in the latest applicable version of the completeness checklist form IN-P-CC-01-F-008, the validation report and format Technical Review VVS IN-P-CC-01-F-019 of the corresponding project. Once this step is finished, the approval from the Conformity Assessment Director is requested. This will be given only in cases where ICONTEC’s final opinion of the services is positive. Finally, the Assistant shall submit the complete set of documents to the UNFCCC webpage.

The Assistant shall forward the format IN-P-CC-01-F-013 Technical Review VVS of the corresponding project to the Sustainable Development Professional, in order to record the result of the technical review in the IN-P-CG-04-F-003 format.

#### **6.1.8. PROJECT REGISTRATION**

Upon successful completion of the validation and compliance of Registration completeness checklist, the Coordinator shall submit the required documents to request the registration of a proposed CDM project activity using the UNFCCC web site. The procedures for registration are found at <http://cdm.unfccc.int/Reference/Procedures/index.html>

A copy of the UNFCCC notification of the submission will be sent to the project owner and/or the contracting party.

## **6.2. VERIFICATION OF CDM PROJECT ACTIVITIES**

### **6.2.1. PUBLICATION OF THE MONITORING REPORT**

The Assistant is responsible for uploading the Monitoring Report on the UNFCCC CDM web site to initiate the stakeholder's consultation process.

The Assistant is responsible for ensuring the accomplishment in the period of time during the consultation process and shall inform to the Lead Auditor when the time is ended.

The lead auditor must confirm with the Assistant if the Monitoring Report under consideration has been made publicly and available for parties, stakeholders and NGOs in order to comment on the verification requirements over a period of 21 days, according to CDM Validation and Verification Manual or the CDM Validation and Verification Standard criteria as applicable.

### **6.2.2. PLANNING**

The lead auditor of the verification team shall request the following documentation from the contracting entity:

- a. Last review of the Project Document (PDD) and annexed documents, including the latest version of the audit plan.
- b. Reports and records of the monitoring data on the issues defined in the monitoring
- c. Plan for the period in which verification/certification is requested, including reduced/removed emissions (Monitoring report).
- d. Latest version of the validation report.
- e. Latest version of the verification report (if applicable).
- f. Management Manual (if applicable).
- g. Operating licenses by local authorities (if applicable)

Other documents might also be required such as process flow charts, plans, and equipment manuals, among others, as required for the type of project.

### **6.2.3. DESK REVIEW AND INVESTIGATION OF ADDITIONAL INFORMATION SOURCES AND PRELIMINARY VALIDATION FINDINGS**

The audit team shall analyze the information received, covering the aspects indicated in the last version of the CDM Validation and Verification Standard criteria as applicable. During this stage, the verification team makes the pertaining annotations in the corresponding format CDM-VCR-FORM or CDM-PoA-VCR-FORM (available at [https://cdm.unfccc.int/Reference/PDDs\\_Forms/index.html](https://cdm.unfccc.int/Reference/PDDs_Forms/index.html)), sets up the documents and records to be consulted during the audit and defines the verification audit plan for the on-site assessment that is registered in the IN-P-CC-01-F-001 form. The audit team considers the results of the information reviewed to decide whether to conduct an on-site visit or virtual assessment, according to the following criterion:

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- a) The audit team shall conduct an on-site assessment if there is the first verification with regard to the project activity or CPA; if there is more than three years have elapsed since the last on-site assessment conducted for the verification of the project activity or CPA; or the project activity or CPA has achieved more than 300,000 tCO<sub>2</sub> eq of emission reductions since the last verification in which an on-site assessment was conducted. Otherwise the assessment will be conducted by virtual verification assessment.
- b) For cases that are not referred to in the above paragraph, it is optional for the audit team to conduct an on-site assessment.

If the audit team does not conduct an on-site assessment according to literal b), it shall describe the alternative means used and justify that they are sufficient for the purpose of verification.

The time and resources needed to carry out the verification audit will depend on the specific risks and complexity of the project.

The preliminary verification findings should be sent to the project owner in the appendix 4 of CDM-VCR-FORM or CDM-PoA-VCR-FORM. The CARs, FARs or CL shall be reviewed with the project owner in order to ensure that the finding is accurate and the CARs, FARs or CLs are understood. This review shall be executed during the onsite assessment.

In order to guarantee the necessary availability of people and resources, the lead auditor shall send by e-mail the IN-P-CC-01-F-001 form to the company's representative, in advance. The verification plan is communicated to the customer and to the responsible party and it is reviewed, as necessary, in the course of the verification process.

During the documentary review, the verification team should become familiar with the project in order to be able to compare the situation and on sight status with the situation as described in the documentation requested.

The documentary review shall:

- Determine if sent documentation is adequate or if further information must be requested from the contracting entity.
- Determine if documents are in agreement with the requirements of the registered Project Design Document and meet the requirements of Decision 17/PC and relevant decisions of the COP/MOP.
- Identify and document key issues to be verified during the verification / certification process and document them.

During this stage, the Verification team makes the pertaining annotations in the corresponding CDM-VCR-FORM or CDM-PoA-VCR-FORM and sets up the documents and records to be consulted during the on-site assessment.

Once the documentary review is completed, the lead auditor shall send to the project owner appendix 4 of CDM-VCR-FORM or CDM-PoA-VCR-FORM with any found CAR or CL which will be reviewed during the on-site assessment.



#### **6.2.4. ON-SITE ASSESSMENT**

Commonly the entire audit team participates in the on-site visit. However, in cases where the lead auditor and/or auditor cover the sectoral scope applicable to the project is possible that just part of the audit team perform the specific task.

In all cases, the audit team or auditor performing the on-site visit shall use the verification protocol as a check list to conduct the audit properly without missing any essential parts of the audit trail.

The on-site visit is finished when the verification plan is properly completed by the audit team.

##### **6.2.4.1. OPENING MEETING**

At the beginning of the on-site assessment, the lead auditor shall carry out an opening meeting with the relevant people involved in the on-site assessment. The purpose of this meeting is the presentation by the lead auditor of the following aspects:

- a. Introduction of the audit team (lead auditor, auditor and specialist).
- b. Confirmation of purpose and scope of the verification.
- c. Introduction of ICONTEC and its services.
- d. General presentation of the process for CDM project verification process.
- e. Confirmation of the verification plan.
- f. Commitment of confidentiality by the audit team regarding the information known during the verification and documents analyzed in accordance with CDM procedures.
- g. Presentation of the availability of the appeal and complaint procedures.
- h. Confirmation of the date and time for the closing meeting, as well as its participants
- i. Session of questions and answers.

In the IN-P-CC-01-F-003 form a record of people attending the opening meeting shall be kept.

##### **6.2.4.2. COLLECTION AND VERIFICATION STAGE AND FOLLOW UP INTERVIEWS**

During the on-site assessment a set of verification tools shall be used to identify and determine risks related to project implementation and GHG reductions. The CDM Validation and Verification Standard criteria (as applicable) include some means of verification that shall be applied by the verification team.

Interviews may be performed face-to-face, via telephone or other techniques when a visit to the host country is not required, and if so, planning must be adjusted to these circumstances and approved by the Lead Auditor.

Interviews shall include relevant stakeholders in the host country, personnel responsible for project implementation and other stakeholders, as applicable.

To carry out the interview, the auditor uses the CDM-VCR-FORM or CDM-PoA-VCR-FORM, as a guide to obtain information, which should be adapted to the situation of the

project. The assessment questionnaire shall also be used to record the identification of the documents and/or records consulted and the entry of observed evidences.

A CDM-VCR-FORM with special instructions can be found in Nuestra Net (IN-005) with instructions in blue and grey color. Blue color is recommendations to keep in mind and grey color is text that can be used if the conclusions reached through the means of verification is according to VVS requirements.

The follow-up interviews shall be used as verification means according to the CDM Validation and Verification Standard criteria as applicable.

#### **6.2.4.3. FINDINGS REPORT**

The audit team shall give to the project owners the findings' with detected CL, CARs or FARs.

The finding shall be provided to the project proponent with any concerns and conclusions related to the claimed emission reductions. The project proponent will have the possibility to address any concerns and supply relevant additional information before a final verification report is provided.

The finding shall include a general discussion of details captured by the verification checklist and clearly state the conclusions related to each of the general issues required for successful verification. The CDM Validation and Verification Standard criteria as applicable include a complete list of the main issues that shall be reported in the verification report.

The CARs, FARs or CL shall be reviewed with the project owner in order to obtain the recognition that the finding is exact and that CARs, FARs or CL are understood. The lead auditor shall inform the project owner the time to submit the action plan using the appendix 4 in the validation report CDM-VCR-FORM or CDM-PoA-VCR-FORM.

The audit team shall report all detected CL, CARs or FAR.

The CARs, FARs or CL shall be reviewed with the project owner in order to obtain the recognition that the finding is exact and that CARs, and FARs or CL are understood. The lead auditor shall inform the project owner the time for presenting the action plan. The audit team shall report the table of detected CL, CARs or FARs detected.

#### **6.2.4.4. CLOSING MEETING**

Once the on-site audit has concluded, the lead auditor carries out the closing meeting. The following issues shall be addressed during the meeting:

- Thanking the project participants for their collaboration during the audit.
- Presentation of a global vision of the results obtained. This presentation shall be coherent with the findings and conclusions of the audit.
- Confirmation of the commitment to confidentiality.

As in the opening meeting, a record of the attendees to the closing meeting shall be kept (see IN-P-CC-01-F-003 form). The attendees to these meetings shall be all people involved in the verification audit plan.

### **6.2.5. RESOLUTION OF NONCONFORMITIES**

In the event of a CAR, the lead auditor shall request the project participant's representative to send to ICONTEC the proposed action plan and the intended implementation date, using the appendix 4 of the Verification Report CDM-VCR-FORM or CDM-PoA-VCR-FORM. After the nonconformities stated in the finding report are acknowledged by the project proponent, these will have to be resolved.

It is the responsibility of the project proponent to respond to the nonconformities identified by the verification team in a timely manner. Once the solved corrective action requests have been received, the lead auditor shall verify the appropriateness of the corrective action and write the conclusion on the same form.

### **6.2.6. FINAL VERIFICATION REPORT AND QUALITY CONTROL**

Building on the transparency principle, the verification report shall give an overview of the verification process deployed by the verification team in order to achieve the verification conclusions. This report shall be prepared according to the CDM Validation and Verification Standard criteria as applicable and all verification findings shall be clearly identified and justified.

The verification report's final draft must be prepared using CDM-VCR-FORM or CDM-PoA-VCR-FORM for VVS. This report shall:

- Give an overview of the scope of the verification
- Include a general discussion of details captured by the verification protocol.
- Clearly state the conclusions related to the verification and the verified amount of emissions reductions in a verification statement.

The verification report shall include a certification statement that is the basis for the information contained in the section H of the CDM-VCR-FORM or section F of CDM-PoA-VCR-FORM for issuance of the CERs.

The certification statement shall give the final verdict to the project in terms of its completeness, comparability, accuracy and correctness of the reported GHG emission reductions. Therefore, it should include a high level of assurance. For CDM projects, the verification statement will be the basis for the certified emission reductions.

Once the final draft report is finished, the lead auditor shall submit the following information to the Climate Change Chief for quality control purposes:

- Final verification report
- Verification plan
- Opening and closing meeting form

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- PDD final version
- Monitoring report
- Certification Report

Completeness Check is made by the Conformity Assessment Director and/or Climate Change Chief prior technical review using the form IN-P-CC-01-F-013 Technical Review VVS Part A according to the information received. This form and the annexes are sent to the designated technical reviewer(s).

The technical reviewer is in charge of giving the final opinion on the verification and reviewing if the verification process fulfills the requirements of the UNFCCC and the internal procedures. If any observations are presented the audit team shall process them.

In cases where the technical reviewer opinion is different from “To approve the concept of the audit team” the report subject of this review shall past through a second technical review.

When the auditor and technical reviewer have discrepant opinion, concepts or interpretations of a CDM provision or other technical issues after a second technical review; the case shall be addressed on the Climate Change Technical Meeting. During the meeting, the attendees shall take a decision by a majority vote. If this decision leads to a positive final opinion of the service; the report shall past to the Climate Change Technical Committee for its final approval signature.

Once the observations are solved and consensus is reached, the lead auditor shall provide the required documents listed in the completeness checklist form IN-P-CC-01-F009, the verification report and IN-P-CC-01-F-013 Technical Review VVS of the corresponding project. The documents will be presented to the Climate Change Chief for a final quality control which includes: crosschecking the IN-P-CC-01-F-010 Assignment Memorandum or proposal against the audit team and technical reviewers listed in the report; verifying the currency of documents version; and review any grammar, typing or idiomatic errors.

Once this step is finished, the approval from the Conformity Assessment Director is requested. This will be given only in cases where ICONTEC’s final opinion of the services is positive. Finally the Assistant shall submit the complete set of documents to the UNFCCC webpage for EB review.

The Assistant shall forward the format IN-P-CC-01-F-013 Technical Review VVS of the corresponding project to the Professional in order to analyze and record the result of the technical review in the IN-P-CG-04-F-003 format.

### **6.2.7. CERTIFICATION OF EMISSION REDUCTIONS / REMOVALS**

ICONTEC shall certify in writing through the verification report that the project activity has achieved the verified amount of emission reductions that would not have occurred in the absence of the CDM project activity in the specified time.

Upon successful completion of the verification, the Auxiliary shall upload the required documents for request for issuance to the UNFCCC website by using the specific submission tool (DOE-Extranet).

The procedures, roles and responsibilities for issuance are found at <http://cdm.unfccc.int/Reference/Procedures/index.html>.

## **7. RESOLUTION OF REQUESTS OF REVIEW DURING VALIDATION AND VERIFICATION ACTIVITIES**

### **7.1. Request during completeness check or information and reporting check**

If during the completeness check or the information and reporting check review of the Project by the UNFCCC secretary at, issues of an editorial or technical nature are identified, the secretariat shall request the DOE by e-mail to submit the missing or revised documents and/or information.

#### **7.1.1. Internal Communication and analysis of request**

Once the request is sent by the secretariat to the DOE's focal point that is the Assistant, he/she will send this e-mail to the Audit Team and Technical Reviewer Team in charge of the service and copy to the Climate Change Professional responsible of nonconforming product.

The Climate Change Professional responsible of nonconforming products shall analyze and classify each request received and determine the root cause analysis jointly with the Lead Auditor of the service, to then be registered in the format IN-P-CG-04-F-003.

#### **7.1.2. Definition of Resources**

Depending of the above mentioned, the lead auditor shall define the time and personnel needed to answer the request and determines the action plan to resolve it. Once the action plan is defined, the Lead Auditor shall contact the personnel needed to inform the action plan to be executed.

The Lead auditor shall inform to the Assistant the personnel needed to review availability and re-schedule activities if necessary. The Lead Auditor shall inform the Project Participant the existence of the request and the action plan via email; also he/she shall inquiry for information if necessary and coordinates the times to obtain this information.

The Lead Auditor shall ensure that all interested parts have been informed of the request and further activities to resolve it for all communications, the Lead Auditor should procure to obtain acknowledgement of receipt.

#### **7.1.3. Programming**

The Assistant shall program the times in the agendas to answer the requests as close as possible to the date when the request was receipt, if possible the request should be answered within 2 days since the receipt of the request and the whole activity shall not take more than 30 days to be completed from the programming of activities made by the Lead Auditor.

#### **7.1.4. Resolution of the Request**

The lead auditor of the services shall consolidate the answers for the request, this answer should be a new version of the validation/verification report or monitoring report, additional documents or in case when no new versions are generated, an explanatory summary that does not change the version of existing documents (only when requesting review of request for registration) among others.

When changes are implemented in the validation/verification report, they shall be approved by the Project Participant and subsequently by the Conformity Assessment Director before the submission to UNFCCC secretariat; nevertheless all additional documents shall be also approved by parties mentioned above.

#### **7.1.5. Uploading of Documents**

Once the answer is consolidated and documents have been changed and approved according to 7.1.4, the lead auditor shall send via e-mail to the Climate Change Chief and/or the Assistant the records to be uploaded to the UNFCCC interface and provide the necessary explanations for the uploading of documents.

Once the confirmation is received via e-mail the Assistant shall copy the e-mail to the Lead Auditor that is in charge of the service.

#### **7.1.6. Other considerations**

If other considerations are necessary to proceed, the last version of the “*Clean development mechanism project cycle procedure*” shall be consulted.

### **7.2. Request a Review during the Request for Registration/Issuance**

If during the review for registration/issuance a party involved in a proposed CDM project activity or at least three members of the Board request a review of the request for registration, the secretariat shall notify the PP and the DOE a review of the request for registration. To proceed with the communication and analysis, the numerals 7.1.1 to 7.1.2 shall be followed.

#### **7.2.1. Programming**

The coordinator shall program the times in the agendas to answers the requests before the end of the deadline, no later than 28 days after the notification of the request for review. The lead auditor shall ensure compliance within the deadline. To proceeds with the resolution of the request and uploading of documents, numerals 7.1.4 and 7.1.5 shall be followed.

#### **7.2.2. Request a Telephone Call to the Secretariat**

If during the incompleteness check or Request for Registration/Issuance a request is presented, the lead auditor considers that a direct communication with the secretariat will help to clarify identified issues, he/she shall inform to the Climate Change Chief via email the intention to request a telephone call, informing the contact details of the person(s) to be called.

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The Climate Change Chief will send an email to the [cdm-info@unfccc.int](mailto:cdm-info@unfccc.int) with the following subject line: Request for Telephone Call – Direct Communication – Project No. (x).

Once the answer is received, the Climate Change Chief will inform the lead auditor date and time for the call to conduct this activity.

## **8. RENEWAL OF CREDITING PERIOD**

When a PP wishes to renew the crediting period, the following activities shall be considered:

According to the type of the project, the Coordinator shall appoint an Audit Team according to; the selection of the Lead Auditor and a Technical Expert is based on the project information given in the format IN-P-CV-011-F-001, PDD and based on the Technical Areas and Sectoral Scopes where the professionals are qualified.

The sections 6, 6.1, 6.1.1, 6.1.4, 6.1.5, 6.1.6 and 6.1.7 shall be followed to conduct the review of the request for renewal of crediting period.

The Lead Auditor and Technical Expert shall review the new PDD and the notification of intention for renewal the crediting period according to current regulations. The Lead Auditor shall inform to the Assistant if the PP has complied with the regulations to request the renewal and inform to the PP if there is an inconsistency to present the request.

When the Lead Auditor and Technical Expert determines the completeness of the documentation, he/she shall fill the format CDM-RENR-FORM or CDM-PoA-REN-FORM and elaborates a Validation Report using the format CDM-RCP-FORM following the considerations stated on the Validation and Verification Standard or any other current regulation for submission.

The Lead Auditor shall send the following documents to the Coordinator for submission once the PP has approved them:

- CDM-RENR-FORM or CDM-PoA-REN-FORM dully filled
- Updated PDD or PoA PDD
- CDM-RCP-FORM

If a request of review during a request for renewal of crediting period is send by the UNFCCC, the section 7 shall be follow.

## **9. WITHDRAWAL OF REQUEST FOR REGISTRATION/ISSUANCE**

The submission of request for withdrawal is an option when the PP voluntary wishes not to continue with a request for registration/issuance or the DOE has revised its validation opinion/Verification and Certification report based on new insights or information.

To submit a withdrawal of request for registration/issuance in any case mentioned above, the Lead Auditor shall inform to the Climate Change professional responsible of nonconforming product, the Climate Change Chief and/or the Conformity Assessment Director the reasons for the withdrawal and must present the consent from the PP. The case should be review during technical meeting and should be used for non-conforming product analysis and measuring.

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If the PP disagrees with the withdrawal request, the Conformity Assessment Director shall approve the presentation of the withdrawal to the UNFCCC.

Once the approval to request the withdrawal of request for registration/issuance is obtain, the Lead Auditor shall fill the appropriate form (e.g. Registration request withdrawal form CDM-REGW-FORM or Issuance request withdrawal form CDM-ISSW-FORM) available on the UNFCCC website.

The Lead Auditor shall send the form to the Assistant to upload the form in the correspondent track.

The notifications coming from the withdrawal shall be shared to the PP by the Lead Auditor or the Assistant.

## **10. PERFORMANCE ASSESSMENT**

### **10.1. General Procedure**

The secretariat shall select activities for performance assessments following the criteria established by CDM-AP from the project activities submitted by ICONTEC with requests for registration, or when the monitoring reports are made public. ICONTEC staff (administrative team and audit team) shall forward the relevant documents, as stipulated in the CDM accreditation procedure in its latest version.

ICONTEC may object, in writing to the CDM-AP within five days, regarding a member(s) of the CDM-AT based on any perceived conflict of interest, this according with the previous communication by secretariat about the composition of the CDM-AT.

The CDM-AT may request additional documents based on the initial review of documents sent by ICONTEC within five days of the receipt of the first set of documents. ICONTEC shall send the additional documents within five days. The Coordinator and/or Lead Auditor shall revise the format IN-P-CC-01-F-017 to cross-check the completeness of the additional documents requested according to their type (commercial or technical). This format is delivered to the Climate Change Chief together with the requested files, emails and documents in order to upload the information into the UNFCCC website.

The CDM-AT shall prepare a draft performance assessment within 15 days of receiving all relevant documents, including any additional documents that have been requested by the CDM-AT. The CDM-AT shall prepare the draft performance assessment report and the nonconformities report, as necessary.

ICONTEC shall have five days to seek or provide clarification regarding the findings to de CDM-AT; therefore the Climate Change Chief will summon the Lead Auditor to analyze the content of the report presented by the CDM-AT. The conclusions of this analysis will determine whether or not ICONTEC seeks or provides clarifications.

Once the NCs are presented, the Climate Change Chief and the Lead Auditor will analyze the NCs to provide a written acceptance or to express a disagreement. If ICONTEC disagrees with any NC, the Climate Change Chief shall follow the CDM accreditation procedure to request their revision.



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ICONTEC shall propose corrective actions, within 15 days of receiving of the draft performance assessment report and non-conformities report. The CDM-AT shall review the proposed corrective actions and communicate its acceptance or non-acceptance to the DOE within 5 days.

If the proposed corrective actions are not accepted, the ICONTEC shall have another 7 days to propose additional corrective actions. The CDM-AT shall review the additional corrective actions within 5 days. If the proposed additional corrective actions are still not found satisfactory, or no additional corrective actions are proposed within 7 days, the CDM-AT shall prepare the draft final performance assessment report.

ICONTEC shall implement the proposed corrective actions accepted by the CDM-AT and provide evidence to the CDM-AT of the implementation of corrective actions within 30 days of the acceptance of corrective actions.

The CDM-AT shall evaluate implementation of the corrective actions. If the nonconformities have been addressed, the CDM-AT shall prepare the final draft performance assessment report, close the non-conformities and forward the same to the ICONTEC through the secretariat within 10 days of the receiving of the evidence of the corrective actions.

If the implementation is not satisfactory, the secretariat shall inform ICONTEC and it shall have another 15 days to demonstrate conformity. The CDM-AT shall have 10 days to assess the implementation of corrective actions. If the implementation of corrective actions is still not found satisfactory, or no confirmation of the implementation of corrective actions is received, the CDM-AT shall complete the final draft performance assessment report. The CDM-AT shall make the final draft performance assessment report and NC reports. ICONTEC shall have 7 days to provide comments/further evidence on the final draft performance assessment report.

The CDM-AT shall have 5 days to complete the final performance assessment report taking into consideration the comments provided by ICONTEC.

The CDM-AP based on the final performance assessment report shall decide on one of the following options:

- a. It may provide an additional and final opportunity to the DOE to resolve the remaining NCs Inform the Board of the positive outcome of the performance assessment and
- b. Undertake additional performance assessment(s)
- c. Recommend to the Board to place ICONTEC under observation, or suspend the accreditation for some or all sectoral scopes.

The Climate Change Chief according to outcome of the performance assessment shall present the results to the Conformity Assessment Director and decide according to the provisions set on the CDM accreditation procedures, the following steps to finalize this process.

For other instances, the Chief should review the accreditation procedure to assess the following steps according to results.

## **10.2. Specific Conditions for Performance Assessment on Validation Activities**

A performance assessment on validation activities shall be based on the evaluation of documentary evidence. A complete set of commercial documents (requested information, proposal presentation, approval process formats NCIs among others) and technical information (all versions of PDD and validation reports, references quoted and spreadsheets among others) shall be prepared according to the instructions set forth the CDM-AT and the CDM accreditation procedure.

To ensure the completeness of the information to be sent to the CDM-AP, the Coordinator and Lead Auditor shall fill out the format IN-P-CC-01-F-017 to cross-check that all files, emails and documents are included according to the CDM accreditation procedure and internal procedures. This format is delivered to the Climate Change Chief together with files, emails and documents in order to upload the information into the UNFCCC website.

## **10.3. Specific Conditions for Performance Assessment on Verification/Certification Activities**

A performance assessment on verification/certification activities shall be based on the observation of a verification service and the evaluation of documentary evidence.

To ensure the completeness of the information to be sent to the CDM-AP, the Coordinator and Lead Auditor shall fill out the format IN-P-CC-01-F-017 to cross-check that all files, emails and documents are included according to the CDM accreditation procedure and internal procedures. This format is delivered to the Climate Change Chief together with files, emails and documents in order to upload the information into the UNFCCC website.

For the performance assessment of verification activity, ICONTEC shall inform the secretariat of the proposed dates of the verification site visit and provide relevant information. ICONTEC and the CDM-AT leader shall co-ordinate the visit of the CDM-AT to the project site with the support of the secretariat.

ICONTEC shall forward to the CDM-AT the draft verification report, duly reviewed internally for its completeness and adequacy, including the Corrective Action Requests (CARs), Clarification Requests (CRs) and/or Forward Action Requests (FARs) within 30 days of the site visit. The Coordinator shall prioritize the ending of the service to comply with the compulsory deadlines.

## **11. OTHER CDM PROJECT ACTIVITIES REQUIREMENTS**

### **11.1. CDM PROJECT ACTIVITIES DERIVED FROM REGISTRATION AND ISSUANCE**

If during a verification process it is found necessary to send another request to the Executive Board such as:

- a. Revision of Monitoring Plans
- b. Revision of the PDD (use CDM-PRCV-FORM or CDM-PoA-VCR-FORM for post registration changes in the PDD)
- c. Others

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The sections 6, 6.1, 6.1.1, 6.1.4, 6.1.5, 6.1.6 and 6.1.7 shall be followed to conduct the review of the request for post registration changes.

ICONTEC shall submit the request to the CDM EB according to the modalities and procedures for the CDM, as well as other CDM-related regulatory documentation including, Standards, Guidelines and Clarifications, Tools; and Forms.

For other CDM activities, ICONTEC shall submit the request to the CDM EB according to the modalities and procedures of the CDM, including standards, guidelines and clarifications, tools and forms.

## **12. REFERENCE DOCUMENTS**

- Applicable documents from the Executive Board of the CDM, which are available at
- <http://cdm.unfccc.int/Reference/index.html>. This includes:
  - Decisions by CMP.
  - EB reports to CMP.
  - Glossary of CDM terms.
  - Guidance and Clarifications relating to: Project Design Documents (PDDs); project
  - Activities including Accreditation; Methodology; Validation; Registration and Issuance.
  - Tools used to calculate, determine, demonstrate, estimate, identify and/or test information as part of a project activity.
  - Forms relating to Project Design Documents (PDDs); project activities are including Accreditation, Methodology, Validation, Registration and Issuance.
  - CDM Validation and Verification Standard criteria as applicable.
  - Applicable methodologies (available in <http://cdm.unfccc.int/methodologies/index.html>).
  - Kyoto protocol available at [http://unfccc.int/essential\\_background/kyoto\\_protocol/background/](http://unfccc.int/essential_background/kyoto_protocol/background/) .
- IN-R-AP-001 Ethics Code.
- IN-R-CC-001 Regulations of the Evaluation Services for the Climatic Change (SECC).
  - IN-P-GH-014 Qualification for Professionals Providing Technical Services.
  - IN-P-GH-14-F-018 Qualification of Personnel Involved in Certification-CDM Professionals.
  - IN-P-GH-09-F-017 Monitoring Performance Indicator of Climate Changes.
  - IN-I-CC-003 Coordination of service provision for the climate change process.
  - IN-P-CV-11-F-001 Information Request for Climate Change Assessment Services Form.
  - IN-P-CG-04-F-003 Conforming product for climate change services.
  - IN-R-CG-002 Regulations for the climate change impartiality committee.
  - IN-P-CG-04-F-003 Conforming Product for Climate Change Services.

- ES-P-GB-04-F-001 tabla de control de registros.

### 13. ANNEXES AND FORMS

- IN-P-CC-01-F-001 Audit plan for validation and verification
- IN-P-CC-01-F-003 Opening /closing meeting form
- IN-P-CC-01-F-006 Certification report
- IN-P-CC-01-F-008 Check list prior to submit documentation for validation
- IN-P-CC-01-F-009 Check list prior to submit documentation for verification
- IN-P-CC-01-F-010 Assignment memorandum CC
- IN-P-CC-01-F-013 Check list for Technical Review VVS
- IN-P-CC-01-F-015 Service Data Base of Climate Change
- IN-P-CC-01-F-017 Completeness check for documents to be presented during performance assessments
- IN-P-CC-01-F-019 Check list for technical review VVS: validation template
- IN-P-CC-01-F-020 check list for technical review VVS - GS A/R projects

#### 13.1. UNFCCC TEMPLATES

- **General Validation Report**  
CDM-VAL-FORM Validation report form for CDM project activities (version 02)  
  
CDM-PoA-VAL-FORM Validation report form for CDM programme of activities (version 01)
- **General Verification Report**  
CDM-VCR-FORM Verification and certification report form for CDM project activities (Version 01.0)  
  
CDM-PoA-VCR-FORM Verification and certification report form for CDM programme of activities (Version 01.0)
- **Post Registration**  
CDM-PRCV-FORM Validation report form for post-registration changes for CDM project activities (Version 01.0)  
  
CDM-PoA-VCR-FORM Verification and certification report form for CDM programme of activities (Version 01.0)
- **Renewal of Crediting Period**  
CDM-RCP-FORM Validation report form for renewal of crediting period for CDM project activities (Version 01.0)  
  
CDM-PoA-REN-FORM Validation report form for renewal of CDM programme of activities (Version 01.0)

**TO PROVIDE SERVICES ON CLEAN DEVELOPMENT MECHANISM  
AND OTHER RELATED SCHEMES**



The UNFCCC forms are available at  
[https://cdm.unfccc.int/Reference/PDDs\\_Forms/index.html](https://cdm.unfccc.int/Reference/PDDs_Forms/index.html)

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