Workshop on CDM Accreditation Standard
Section VII Information Management

Para 88 – 91

- Documented Procedure
- Information in public domain – website
  - A list of all CDM project activities
  - Information obtained from the CDM PPs (proprietary or confidential) not be disclosed without the written consent, except as required by national law.
  - Information used to determine additionality, to describe baseline methodology & to support an EIA, not considered proprietary or confidential.
Section VII Information Management

- Information in public domain
  - The PDD and the monitoring report obtained from the CDM PPs
  - The validation, verification and certification reports by the DOE;
  - All documented procedures providing information on Validation & Verification services, the allocation of responsibilities within the AE/DOE & Procedures for complaints handling.
Section VII Information Management

- Information to be made available to the CDM EB/CDM Secretariat:
  - Annual CDM activity report as per Annex C
  - Annual information on the organizational structure, names, qualifications, experience and terms of reference of senior management personnel, such as the senior executive, board members, senior officers, team leaders and other relevant personnel.
Section XII Impartiality

- Para 134 to 142
- Identification of Threats to impartiality
  - Identification, development and/or financing of the CDM project activities;
  - Consultancy related to establishment of validation or verification and monitoring systems for CDM project;
  - One to one training on CDM related and other topics;
  - Marketing and tie-up promotion with CDM consultancy/financing organizations;
  - Offering/payment of commissions or other inducements for promotion or new business
Section XII Impartiality

- These threats can be posed by activities of an AE/DOE or its personnel, by activities of related bodies, relationships with partner organization, consultants, and other circumstances.

- Document
  - Relationships
  - Organizational/related body activities / personnel
Section XII Impartiality Contd

- An AE/DOE or any of its related body is directly engaged in / planning to engage in activities such as identification, development and/or financing of the CDM project activities, consultancy for establishing validation or verification and monitoring systems, and training on CDM related topics, for the CDM project participant;

- The validation/verification activities are performed by a part of a larger organization whereas another part of the same organization is involved in activities such as CDM consultancy, CDM financing, laboratory testing and calibration which may provide CDM services and PDD development;

- Use of personnel for validation, verification and certification of a CDM project function, who were previously associated with the CDM PPs in a personal capacity or otherwise for any of the activities such as development, consultancy or training, etc or any other CDM unrelated activities; and

- Other organizational considerations such as performance targets in financial terms or in terms of a specific number of projects to be validated/verified during a period of time should also be considered as factors that potentially compromise impartiality.
Section XII Impartiality Contd

- Impartiality Risk analysis:
  - Disclosing and documenting the types of activities carried out by an AE/DOE, its parent organization, affiliates, related bodies and personnel (relationships) in general and in particular regarding the CDM project activities, including development, financing, consultation, training, etc, in a transparent manner.
  - Analyse the risks.
  - Institute mitigation measures
    - **Prohibition** - Certain defined activities should not be carried out;
    - **Restriction** - Certain defined activities should be carried out in a restricted manner with clearly defined control points to ensure mitigation.
Section XII Impartiality Contd

- The DOE should not undertake validation or verification if the DOE or another part of the same legal entity has been engaged in any function – consultancy, etc.

- The AE’s/DOE’s activities shall not be marketed or offered as linked with the activities of an organization that provides services in respect of development, financial assistance consultancy for CDM project function.
Section XII Impartiality Contd

- Documented structure for safeguarding impartiality
  - Should be separate from management established for the operation of the DOE.
  - Committee responsible for safeguarding impartiality – Document TOR’s, selection criteria, mandate – monitor & review impartiality.
  - Ensure participation of the stakeholders.
Section XII Impartiality Contd

- Other measures for ensuring impartiality in operations
  - Top management’s commitment to impartiality
  - Make publicly available a statement on impartiality
  - Evaluate sources of income & demonstrate that financial/other commercial factors do not compromise impartiality;
  - Take action to respond to threats to impartiality from the actions of other persons, bodies or organizations
Section XII Impartiality Contd

- Require personnel, internal and external, to reveal potential conflict of interest for identifying threats to impartiality raised by the activities of such personnel or by the organizations.
- Use above information as input for instituting the mitigation measures.
- Maintain a professional environment and culture in an AE/DOE that supports behaviour of all personnel that is consistent with impartiality.
Section XIII Confidentiality

- Para 134 to 142
- An AE/DOE shall have a documented policy and mechanism to safeguard the confidentiality of information obtained or created during the course of validation and/or verification/certification functions
The personnel engaged by an AE/DOE shall also be bound by these confidentiality requirements.
An AE/DOE shall not disclose information about a contracted client (PP) that is not required to be made publicly available to a third party without the client’s prior written consent. Further, it should inform the client before releasing confidential information to a third party, if required by law.