

GENERAL RULES FOR VALIDATION, VERIFICATION AND CERTIFICATION  
OF A CLEAN DEVELOPMENT MECHANISM (CDM) PROJECT ACTIVITY **OR**  
**PROGRAMME OF ACTIVITES** AGAINST THE REQUIREMENTS OF UNFCCC.

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## 0 INTRODUCTION

AENOR INTERNACIONAL, S.A.U. (hereinafter AENOR) is a private company.

The AENOR headquarters is located at nº 6, Calle Génova, 28004 Madrid, Spain.

## 1 SCOPE

The present General Rules establish the rules applied by AENOR for validation, verification and certification of a Clean Development Mechanism (CDM) project activity/Programme of activities against the Requirements of United Nations Framework Convention on Climate Change (UNFCCC).

In the context of these General Rules, AENOR acts as a Designated Operational Entity accredited by UNFCCC.

## 2 GLOSSARY OF TERMS

Based on [http://cdm.unfccc.int/Reference/Guidclarif/glos\\_CDM.pdf](http://cdm.unfccc.int/Reference/Guidclarif/glos_CDM.pdf)

Glossary of terms used in the CDM:

Clean development mechanism (CDM): Article 12 of the *Kyoto Protocol* defines the clean development mechanism. "The purpose of the clean development mechanism shall be to assist Parties<sup>1</sup> not included in Annex I in achieving sustainable development and in contributing to the ultimate objective of the Convention, and to assist Parties included in Annex I in achieving compliance with their quantified emission limitation and reduction commitments under article 3".

At its seventh session, the Conference of the Parties (COP) adopted modalities and procedures for a clean development mechanism (*CDM modalities and procedures*, see annex to decision 17/CP.7, document FCCC/CP/2001/13/Add.2) and agreed on a prompt start of the CDM by establishing an Executive Board and agreeing that until the entry into force of the *Kyoto Protocol*:

- (a) this Board should act as the Executive Board of the CDM and
- (b) the Conference of the Parties (COP) should act as the Conference of the Parties serving as the meeting of the Parties to the *Kyoto Protocol* (COP/MOP) as required by the Protocol and the *CDM modalities and procedures*.

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<sup>1</sup> In this glossary, the term "Party" is used as defined in the *Kyoto Protocol*: "Party" means, unless the context otherwise indicates, a Party to the Protocol. "Party included in Annex I" means a Party included in Annex I to the Convention, as may be amended, or a Party which has made a notification under Article 4, paragraph 2(g), of the Convention.

Some terms in alphabetical order, relevant for the CDM activity are:

A/R CDM project activity: An afforestation or reforestation measure, operation or action that aims to achieve net anthropogenic GHG removals by sinks, whether as a whole project or as a part of a project.

(a) Baseline approach:

The approach used to establish a baseline methodology. The CDM rules and requirements prescribe the baseline approaches that can apply to CDM project activities and CPAs.

Baseline methodology: A methodology applied to establish a baseline scenario for a CDM project activity or CPA, which constitutes one part of a baseline and monitoring methodology.

Approved methodology: A methodology that has been approved by the Board for application to CDM project activities or CPAs. Approved methodologies are publicly available on the UNFCCC CDM website.

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, the CDM project activity or PoA achieved the GHG emission reductions, as verified.

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

CDM Project activity: .

As the context requires:

(a) A large-scale, non-A/R measure, operation or action that aims to reduce GHG emissions from sources, whether as a whole project or as a part of a project; or

(b) Includes (a) and, unless otherwise specified, all of the following:

(i) SSC CDM project activity;

(ii) A/R CDM project activity;

(iii) SSC A/R CDM project activity

CDM rules and requirements: The collection of rules applicable to the CDM that have been adopted by the CMP or the Board, including the applicable modalities and procedures of the CDM, standards, methodologies, tools, procedures and clarification.

CER (Certified emission reductions): A unit issued for GHG emission reductions from CDM project activities or PoAs (non-A/R) in accordance with the CDM rules and requirements, which is equal to one metric tonne of carbon dioxide equivalent, calculated using global warming potentials defined by decision 2/CP.3 or as subsequently revised in accordance with Article 5 of the Kyoto Protocol. See also the definitions for "ICER" and "tCER".

CME (coordinating/managing entity): An entity authorized by all participating host country DNAs involved in a particular PoA and nominated in the MoC statement as the entity that communicates with the Board and the secretariat, including on matters relating to the distribution of CERs, tCERs or ICERs, as applicable

Contractual arrangement: In the context of the relationship between a DOE and a project participant or a CME, a direct contract between the DOE and the project participant or the CME for the DOE to provide validation or verification services to the project participant or the CME. The phrase "a DOE contracted by the project participant or the CME" has the same meaning

CPA (component project activity): A single measure, or a set of interrelated measures under a CDM PoA, to reduce GHG emissions by sources or result in net anthropogenic GHG removals by sinks, applied within a designated area defined in the baseline methodology(ies).

Crediting period: The period in which verified and certified GHG emission reductions or net anthropogenic GHG removals by sinks attributable to a CDM project activity or CPA, as applicable, can result in the issuance of CERs, ICERs or tCERs, as applicable, from that CDM project activity or CPA. The time period that applies to a crediting period for a CDM project activity or CPA, and whether the crediting period is renewable or fixed, is determined in accordance with the CDM rules and requirements

DOE (Designated operational entity): An entity designated by the CMP, based on a recommendation by the Board, as qualified to validate proposed CDM project activities and PoAs, as well as verify and certify reported GHG emission reductions and net anthropogenic GHG removals by sinks.

Host Party: A non-Annex I Party on whose territory a CDM project activity or PoA, as applicable, is physically located.

Issuance of certified emission reductions (CERs): The instruction by the Board to the CDM Registry Administrator to issue a specified quantity of CERs, ICERs or tCERs for a CDM project activity or PoA, as applicable, into the pending account of the Board in the CDM registry, for subsequent distribution to accounts of project participants in accordance with the CDM rules and requirements.

Monitoring: For a CDM project activity (non-A/R) or PoA (non-A/R), Monitoring refers to the collection and archiving of all relevant data necessary for determining the baseline, measuring anthropogenic emissions by sources of greenhouse gases (GHG) within the project boundary and leakage, as applicable. For an A/R CDM project activity or A/R PoA, collecting and archiving all data necessary for estimating or measuring the net anthropogenic GHG removals by sinks.

Monitoring methodology: A monitoring methodology refers to the methodology used for monitoring a CDM project activity or CPA which constitutes one part of a baseline and monitoring methodology.

- (a) Project boundary: For a CDM project activity (non-A/R) or CPA (non-A/R), the physical

- delineation and/or geographical area of the CDM project activity or CPA and the specification of GHGs and sources under the control of the project participants that are significant and reasonably attributable to the CDM project activity or CPA, in accordance with the applied methodologies and, where applicable, the applied standardized baselines.
- (b) For an A/R CDM project activity or A/R CPA, the delineation of a geographical area of the A/R CDM project activity or A/R CPA under the control of the project participant as determined in accordance with the applied methodologies and, where applicable, the applied standardized baselines

Project participants: A Party involved, or a private and/or public entity authorized by the DNA of a Party involved, that participates in a CDM project activity or PoA, as applicable.

Stakeholders: Stakeholders mean the public, including individuals, groups or communities affected, or likely to be affected, by the proposed CDM project activity or PoA, or actions leading to the implementation of such an activity.

Registration: Registration is the formal acceptance by the Board of a proposed 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 related to that project activity or PoA.

Validation: Validation is the process of independent evaluation of a project activity or PoA by a designated operational entity against the requirements of the CDM rules and requirements, on the basis of the PDD or PoA-DD and CPA-DDs.

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 GHG emission reductions that have occurred as a result of the registered CDM project activity or PoA.  
For an A/R CDM project activity or A/R PoA, the periodic independent evaluation and ex post determination by a DOE of monitored net anthropogenic GHG removals by sinks achieved by the A/R CDM project activity or A/R PoA.

### 3 APPLICATION

Any project participant, a private and/or public entity authorized by a Party to participate, under the Party's responsibility, in CDM project activities, may apply to AENOR for a quotation to perform validation or verification of a CDM project activity or a PoA.

### 4 PROPOSING A NEW METHODOLOGY

Background

## GENERAL RULES FOR VALIDATION, VERIFICATION AND CERTIFICATION OF A CLEAN DEVELOPMENT MECHANISM (CDM) PROJECT ACTIVITY OR PROGRAMME OF ACTIVITIES AGAINST THE REQUIREMENTS OF UNFCCC

1. This procedures for the submission and consideration of proposed new methodologies which operationalize the provisions of paragraph 38 of the *CDM modalities and procedures*<sup>2</sup>.
2. The *CDM modalities and procedures* stipulate that if a designated operational entity (DOE)<sup>3</sup> determines that a proposed project activity intends to use a new baseline or monitoring methodology, it shall, prior to the submission for registration of this project activity, forward the proposed methodology to the Executive Board for review, i.e. consideration and approval, if appropriate.
3. The Executive Board shall expeditiously, if possible at its next meeting but not later than a determined time specified in CDM requirements after the date of receipt of the proposed new methodology, review the proposed new methodology in accordance with the *CDM modalities and procedures*. Once approved by the Executive Board, it shall make the approved methodology publicly available and the designated operational entity may proceed with the validation of the project activity and submit the project design document (CDM-PDD) for registration.

### Submission of a proposed new methodology

4. If project participants intend to propose a new baseline or monitoring methodology for consideration and approval by the Executive Board, they shall prepare a draft project design document (CM-PDD) and as a minimum, complete sections A to E, including relevant annexes and send it to AENOR.
5. AENOR shall determine whether the draft project design document and relevant annexes have been completed in accordance with relevant guidance by the Board and shall record in writing the conclusions. In case of accordance, AENOR shall forward, without further analysis, the proposed new methodology to the Executive Board for its consideration and approval, if appropriate. The draft CDM PDD shall be attached.
6. The secretariat shall forward the documentation to the Executive Board and the Meth Panel after **having checked that the "CDM: Proposed new methodology form" has been duly filled by AENOR** and documentation provided by AENOR is complete. The date of transmission to the Executive Board is to be considered as the date of receipt of a proposed new methodology by the Board.
7. At the same time, in accordance with the practice of the Executive Board to invite public input on technical documentation developed by the Executive Board and its panels, the secretariat shall make the proposed new methodology publicly available on the *UNFCCC CDM web site* and invite public inputs for a period of 15 working days. Public inputs on a proposed new methodology shall **be made using the "Proposed new methodology - public comment form" (F-CDM-Nmpu)**. Comments shall be forwarded to the Meth Panel at the moment of receipt and made available to the public at the end of the 15 working day period.

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<sup>2</sup> Paragraph 38 of the CDM modalities and procedures contained in the Annex to decision 17/CP.7 (please refer to document FCCC/CP/2001/13/Add.2).

Analysis/recommendation by the Meth Panel and consideration/approval by the Board

8. A proposed new methodology shall be available to the Meth Panel at least seven weeks prior to its next meeting. The secretariat shall make public, through the UNFCCC CDM web site, the date of a meeting and the corresponding deadline at least seven weeks prior to the meeting.
9. Whenever a proposed new methodology is submitted to the Meth Panel in accordance with paragraph 8 above, it shall analyze it and, if possible at its next meeting, make a recommendation regarding the approval of the proposed new methodology to the Executive Board.
10. The Meth Panel, taking into consideration public comments and the recommendations by the desk reviewers, shall prepare its preliminary recommendation regarding the approval of the proposed new methodology to the Executive Board.

Before preparing its preliminary recommendation, the Meth Panel may request, through the secretariat, and via AENOR, the project participants to make available additional technical information necessary to analyze the proposed new methodology within a deadline stipulated by the Chair of Meth Panel. Any additional technical information provided by project participants to the Meth Panel shall be made available to the Executive Board and to the public soon after its receipt by the secretariat.

The Meth Panel shall, through the secretariat, and via AENOR, forward its preliminary recommendation to project participants.

Within seven working days after the receipt of the preliminary recommendation of the Meth Panel by AENOR, the project participants may submit, via AENOR, clarifications to the Meth Panel, through the secretariat, on technical issues concerning the proposed new methodology raised in the preliminary recommendation by the Meth Panel.

Clarifications provided by the project participants shall be made available to the Executive Board and to the public soon after receipt by the secretariat.

If project participants do not provide any clarification related to the preliminary recommendation by the Meth Panel within the seven-day period or if the preliminary recommendation by the Meth Panel is in favour of approving the proposed new methodology, it shall be considered as a final recommendation, be forwarded to the Executive Board and made publicly available.

If project participants provide clarifications related to the preliminary recommendation by the Meth Panel, the Meth Panel shall consider these clarifications at its next meeting and prepare its final recommendation to the Executive Board. The final recommendation shall be forwarded to the Executive Board and made publicly available.

11. The Executive Board shall consider a proposed new methodology at the next meeting following the receipt of the final recommendation regarding the approval of the proposed new methodology



by the Meth Panel.

## 5 VALIDATION PROCEDURE FOR A CDM PROJECT ACTIVITY OR PROGRAMME OF ACTIVITIES

Clarifications on validation requirements to be checked by a designated operational entity

1. Section G of the *CDM modalities and procedures* contains the provisions for validation and registration of CDM project activities. Paragraphs 37 to 40 provide, in particular, a list of requirements which a designated operational entity shall adhere to when validating a proposed project activity and submitting a request for registration to the Board. AENOR will apply the CDM Validation and Verification Standard in force as well as relevant requirement published in UNFCCC website.
2. The Board agreed on the following additional clarifications on issues relating to validation requirements to be checked by a designated operational entity (DOE):
  - (a) Before entry into force of the *Kyoto Protocol*, all Parties to the Convention may participate in CDM project activities. In accordance with provisions of paragraphs 37 (a) and 40 (a) of the *CDM modalities and procedures*, the registration of a proposed CDM project activity can, however, only take place once approval letters are obtained from Parties to the Convention that have ratified the *Kyoto Protocol*;
  - (b) An invitation for comments by local stakeholders shall be made in an open and transparent manner, in a way that it facilitates comments to be received from local stakeholders and allows for a reasonable time for comments to be submitted. In this regard, project participants shall describe a project activity in a manner which allows the local stakeholders to understand the project activity, taking into account confidentiality provisions of the *CDM modalities and procedures*.

Validation procedure

3. The validation of a proposed CDM project activity or PoA shall follow the sequence of steps presented below:

Step 1<sup>3</sup>: AENOR is to check that validation requirements in paragraph 37 to 52 and monitoring requirements in paragraphs 53 and 54, of the CDM modalities and procedures, have been met. To carry out this duty, AENOR has to review the CDM project design document or PoA design document (CDM-PDD/PoA-DD) and any supporting documentation (including ensuring that the baseline and monitoring methodologies used are approved by the EB).

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<sup>3</sup> (Note: the *CDM modalities and procedures* does not specify whether the written approval by designated national authorities (DNA) shall be obtained before or after steps 1 to 4 (see paragraphs 40 (a) and (f), 37 (a) and 28 to 30 of the *CDM modalities and procedures*).

Step 2: AENOR shall make publicly available the CDM-PDD and receive comments in accordance with *paragraphs 40 (b) and (c) of the CDM modalities and procedures*.

Step 3: After the deadline for receipt of comments, the project activity should be assessed by AENOR services and propose a resolution with respect to the validation.

On the basis of the validation report and the proposed resolution formulated by AENOR services, the Climate Change Manager shall adopt one of the following decisions:

- To issue a positive validation opinion on the proposed project activity.
- To issue a negative validation opinion on the proposed project activity.

Step 4: AENOR shall inform project participants/*CME* in writing of the decision adopted about the project activity/*PoA*. In the event that the validation opinion is negative, the reasons for such decision shall be specified.

#### Registration procedure

Step 5: Before submitting the request for registration, AENOR has to have received the written approval (s) referred to in paragraph 40 (a).

1. In accordance with paragraph 40 (f) of the *CDM modalities and procedures*, AENOR shall submit to the EB, if it determines the proposed project activity to be valid, a request for registration in the form of a validation report. This shall include the project design document, the written approval of the host Party, and an explanation of how AENOR has taken due account of public comments received on the CDM-PDD.
2. AENOR shall submit its validation report to request for registration of a proposed project activity.
3. In order to ensure transparency and efficiency of the registration process:
  - (a) A request for registration will only be processed after the secretariat has determined that all information and documentation requested in the registration form has been provided by AENOR and it is complete (after completeness check and reporting and information check);
  - (b) The date of receipt of a request for registration is the date when the deposit of the registration fee indicated in the registration form has been received by the secretariat;
  - (d) Unless there is a request for review, the project activity will be registered by the

EB and the corresponding proposed CDM project activity and related public documents recorded/displayed as registered.

## 6 VALIDATION PROCEDURE FOR A SMALL-SCALE CDM PROJECT ACTIVITY

Clarifications on additional and specific validation requirements to be checked by a designated operational entity

1. The procedure for validating small-scale CDM project activities follows the same five steps as the *validation procedure* described above, with the particularities and exceptions described in the following paragraphs.
2. Section C of the *Simplified modalities and procedures for small-scale CDM project activities*, contains the provisions for Validation and registration of small-scale CDM project activities. Paragraphs 22 and 23 provide, in particular, a list of requirements which a DOE shall adhere to when validating a proposed small-scale project activity and submitting a request for registration to the board.
3. Small-scale CDM project activities shall follow the stages of the project cycle specified in the modalities and procedures for a clean development mechanism contained in the annex to *CDM modalities and procedures*. In order to reduce transaction costs modalities and procedures are simplified for small-scale CDM project activities, as follows:
  - (a) Project activities may be bundled or portfolio bundled at the following stages in the project cycle: the project design document, validation, registration, monitoring, verification and certification. The size of the total bundle should not exceed the limits stipulated in paragraph 6 (c) of *CDM modalities and procedures*;
  - (b) The requirements for the project design document are reduced;
  - (c) Baselines methodologies by project category are simplified to reduce the cost of developing a project baseline;
  - (d) Monitoring plans are simplified, including simplified monitoring requirements, to reduce monitoring costs;
  - (e) The same operational entity may undertake validation, and verification and certification.
4. Simplified baseline and monitoring methodologies have been developed for 14 small-scale CDM project activity categories related to types (i) to (iii)<sup>4</sup>. They are presented in *appendix B*. This list

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<sup>4</sup> Type (i): Renewable energy project activities with a maximum output capacity equivalent of up to 15 megawatts (or an appropriate equivalent); Type (ii): Energy efficiency improvement project activities which reduce energy consumption, on the supply and/or demand side, by up to the equivalent of 15 gigawatthours

shall not preclude other types of small-scale CDM project activities. If a proposed small-scale CDM project activity does not fall into any of the categories in *appendix B*, the project participants may submit a request to the Executive Board for approval of a simplified baseline and/or monitoring plan developed bearing in mind provisions in paragraph 16 of the *Simplified modalities and procedures for small-scale CDM project activities*.

5. The *CDM modalities and procedures* shall apply to small-scale CDM project activities except for its paragraphs 37 to 60. Paragraphs 12 to 39 of the *Simplified modalities and procedures for small-scale CDM project activities*, apply instead.

## 7 VERIFICATION AND CERTIFICATION PROCEDURE FOR A CDM AND SMALL-SCALE CDM PROJECT ACTIVITY

Based on Section I of the *CDM modalities and procedures* and on Section D of the *Simplified modalities and procedures for small-scale CDM project activities*.

Clarifications on verification and certification requirements to be checked by a designated operational entity.

- 1 Section I of the *CDM modalities and procedures*, contains the provisions for verification and certification of CDM and small-scale CDM project activities. This section provides a list of requirements, which a DOE shall adhere to when verifying a registered project activity and certifying its anthropogenic emissions reduction.
- 2 Section H of the *CDM modalities and procedures* contains the provisions for monitoring a CDM project activity. Section D of the *Simplified modalities and procedures for small-scale CDM project activities*, contains the provisions for monitoring a small-scale CDM project activity. The monitoring plan, included in the registered PDD or SSC-PDD, shall be implemented and revised prior to the application for verification and certification.
- 3 The project participants shall provide AENOR with a monitoring report in accordance with the registered monitoring plan set out in paragraph 53 of the *CDM modalities and procedures*, or in paragraphs 32, 33 and 34 of the *Simplified modalities and procedures for small-scale CDM project activities*.

Verification and certification procedure

- 4 In accordance with the provisions on confidentiality in paragraph 27(h) of the *CDM modalities and procedures*, AENOR shall make the monitoring report publicly available, and shall:
  - a) Determine whether the project documentation provided is in accordance with the requirements of the registered project design document and relevant provisions of the *CDM modalities and*

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per year; and Type (iii): Other project activities that both reduce anthropogenic emissions by sources and directly emit less than 15 kilotonnes of carbon dioxide equivalent annually.

*procedures or the Simplified modalities and procedures for small-scale CDM project activities, and relevant decisions of the COP/MOP;*

- b) Conduct on-site inspections, as appropriate, that may comprise, inter alia, a review of performance records, interviews with project participants and local stakeholders, collection of measurements, observation of established practices and testing of the accuracy of monitoring equipment;
- c) If appropriate, use additional data from other sources;
- d) Review monitoring results and verify that the monitoring methodologies for the estimation of reductions in anthropogenic emissions by sources have been applied correctly and their documentation is complete and transparent;
- f) Determine the reductions in anthropogenic emissions by sources of greenhouse gases that would not have occurred in the absence of the CDM project activity, based on the data and information derived under subparagraph (a) above and obtained under subparagraph (b) and/or (c) above, as appropriate, using calculation procedures consistent with those contained in the registered PDD and in the monitoring plan;
- g) Identify and inform the project participants of any concerns related to the conformity of the project activity and its operation with the registered PDD.

Project participants shall address the concerns and supply relevant additional information;

- h) Provide a verification report to the project participants, the Parties involved and the executive board. The report shall be made publicly available.
- 5 AENOR shall, based on its verification report, certify in writing that during the specified time period, the project activity achieved the verified amount of reductions in anthropogenic emissions by sources of greenhouse gases that would not have occurred in the absence of the CDM or small-scale CDM project activity. It shall inform the project participants, Parties involved and the executive board of its certification decision in writing immediately upon completion of the certification process and make the certification report publicly available.

## 8 CREDITING PERIOD THE REDUCTIONS IN EMISSIONS BY SOURCES OF GHG

Based on Sections G, H and I of the *CDM modalities and procedures* and on Section C of the *Simplified modalities and procedures for small-scale CDM project activities*.

- 1. Project participants shall select a crediting period for a proposed project activity from one of the following alternative approaches:
  - a) A maximum of seven years which may be renewed at most two times, provided that, for each

renewal, AENOR shall determine and inform the executive board that the original project baseline is still valid or has been updated taking account of new data where applicable; or

- b) A maximum of ten years with no option of renewal.
2. Periodic verifications of the monitored reductions in anthropogenic emissions by sources of GHG that have occurred as a result of the registered CDM project activity certified, must be conducted on a yearly basis.
  3. The procedure for these periodic verifications is the same as the verification and certification procedure, described above.

## 9 ISSUANCE OF CERTIFIED EMISSIONS REDUCTIONS

Based on Sections J of the *CDM modalities and procedures*.

The certification report shall constitute a request for issuance to the Executive Board (EB) of CERs equal to the verified amount of reductions of anthropogenic emissions by sources of GHG, determined in a yearly basis. Procedure for the issuance of certified emissions reductions is described in section J of the *CDM modalities and procedures*.

## 10 COMMITMENTS

The Project participants in the CDM project activity or PoA are hereby committed to:

1. Maintain the monitoring system during the crediting period of the project.
2. **Provide AENOR's** verification team access to the documents relating to the project activity and the monitoring system and to the facilities where the activities covered by the project are carried out. The company management and any persons co-operating directly therewith must be approachable by AENOR's verification team during verification.
3. **Inform AENOR's** verification team of any events considered being relevant to the monitoring system assessment and to facilitate their work at all times.
4. To make all payments corresponding to the expenses derived from validation, or verification and certification
5. During the validation or verification process, notify AENOR in writing of:
  - a) Any CDM project activity modifications.
  - b) Changes in the company's legal status or corporate name.

c) Relocation of the facilities where activities related to the CDM project activity are carried out.

## 11 COMPLAINTS, DISPUTES AND APPEALS

### Complaint's handling

A complaint is the formal (written) and/or informal (verbal) expressions of dissatisfaction regarding the performance of a DOE in relation to its CDM function(s), from any source, such as the CDM client's organization (CDM PP), the general public or its representatives, government bodies, NGOs, etc.

AENOR has made available a specific e-mail address in its website to make the procedure of sending complaints easier. It can be accessed in AENOR website in section "Certification-Environment" through the following link:

[http://www.en.aenor.es/aenor/certificacion/mambiente/medio\\_ambiente.asp](http://www.en.aenor.es/aenor/certificacion/mambiente/medio_ambiente.asp)

The procedure to send complaints is included in option "Clean Development Mechanism projects" in the section "Contact us".

CDM PPs, general public or its representatives, government bodies, NGOs, etc. may send complaints through the following communication channels:

- e-mail address: [cdm.kyoto@aenor.com](mailto:cdm.kyoto@aenor.com),
- address: AENOR, Génova 6, 28004 Madrid (Spain).

Verbal complaints shall be communicated to any member of the Climate Change Unit. In this case the complainant will be requested to provide a written authorization in advance, using any of the channels mentioned above, for recording the conversation.

Verbal and written complaints will be communicated to the CDM Quality Manager by any member of the Climate Change Unit who may have received it.

The CDM Quality Manager and/or Technology Coordinator will check the mailbox [cdm.kyoto@aenor.es](mailto:cdm.kyoto@aenor.es) daily in order to identify any complaint that may have been received. The CDM Quality Technician will assist the CDM Quality Manager in this task.

Any complaint that is received through these communication channels shall be acknowledged by the CDM Quality Manager in a period of ten working days according to the laboral calendar in Madrid. In the absence of the CDM Quality Manager, the Technology coordinator shall acknowledge its reception.

A reasoned answer shall be sent to the complainant within twenty working days after the date of the acknowledge of its reception, according to the following provisions.

Nevertheless the complaint has a technical nature or not, it will be analysed by members of the Climate Change Unit. A team shall be appointed by the Technology Coordinator or the Operational Director in

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order to gather and analyse all necessary information to answer and solve the complaint. Members appointed to handle the complaint shall be different from those who carried out the validation or verification/certification activities. Validators, Verifiers, Team leaders, the CDM Quality Manager and the Technology Coordinator may be part of the team that analyses the complaint. The team will collect all the information necessary and will prepare a reasoned answer. The Technology Coordinator or the CDM Quality Manager will send the reasoned answer to the complainant. The motives or causes will be analysed and it will be evaluated if the complaint is valid and related to work for which AENOR is responsible, as well as the actions to be taken.

If the result of the analysis is a non-compliance with the requirements, a corrective action related to the Quality Management System of AENOR shall be raised and managed by the CDM Quality Manager or the Technology Coordinator.

During the complete process the identity of the complainant and details of the complaint are to be kept confidential.

The CDM Quality Manager will inform the Quality and Social Responsibility Department to record the complaint in the Quality Management database. This record will be coded as follows:

DD / XXX – YY

Where XXX is a correlative number

YY are the two last numbers of the current year

This record will adjust to the format RG-CA/003 "General record for incidents".

The format shall include the following information:

- Person and entity that has received or detected the complaint (incident) and date.
- External entity affected
- Type of complaint: on writing or verbally communicated.
- Analysis of what happened.
- Activity that has been affected.
- Identification of causes, (why it had happened?)
- Actions to be taken, responsible person and proposed date:
  - Immediate actions carried out to manage non conformities (if applicable)
  - Corrective actions carried out to avoid recurrence of non conformities (if applicable)

If a corrective/preventive action is necessary it will be managed and recorded. The root cause analysis shall be done in order to define the adequate corrective/preventive action.

The Technology coordinator is responsible for monitoring the correct implementation of the actions taken and its effectiveness.



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The Quality and Social Responsibility Department is the final responsible for the monitoring of the correct handling of complaints.

The records shall be kept by the Quality and Social Responsibility Department for 5 years.

. The confidentiality of the complainant and the subject of the complaint shall be safeguarded during the whole process.

### Disputes handling.

A dispute is defined as a disagreement between a DOE and the project participant (PP) regarding the DOE's recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions.

AENOR has made available a specific e-mail address in its website to make the communication easier to send information about disputes. It can be accessed in AENOR website in section "Certification-Environment" through the following link:

[http://www.en.aenor.es/aenor/certificacion/mambiente/medio\\_ambiente.asp](http://www.en.aenor.es/aenor/certificacion/mambiente/medio_ambiente.asp)

The procedure for handling disputes is included in option "Clean Development Mechanism projects" in the section "Contact us".

PPs may send disputes through the following communication channels:

- e-mail address: [cdm.kyoto@aeonr.es](mailto:cdm.kyoto@aeonr.es),
- address: AENOR, Génova 6, 28004 Madrid (Spain).

The CDM Quality Manager and/or Technology Coordinator will check the mailbox [cdm.kyoto@aeonr.es](mailto:cdm.kyoto@aeonr.es) daily in order to identify any dispute that may have been received. The CDM Quality Technician will assist the CDM Quality Manager in this task.

Any dispute will be communicated to the CDM Quality Manager by any member of the Climate Change Unit who may have received it.

Any dispute shall be acknowledged by the CDM Quality Manager or the Technology Coordinator in a period of ten working days according to the labor calendar in Madrid. In the absence of the CDM Quality Manager, the Technology coordinator shall acknowledge its reception.

A reasoned answer shall be sent to the disputant within twenty working days after the date of the acknowledge of its reception according to the following provisions.

A team shall be appointed by the Technology Coordinator or the Operational Director in order to gather and analyse all necessary information to answer and solve the dispute. Members from the Climate Change Unit appointed to handle the dispute shall be different from those who carried out the validation or verification/certification activities. Validators, Verifiers, Team leaders, the CDM Quality Manager and the Technology Coordinator may be part of the team that analyses the dispute. The team

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will collect all the information necessary and prepare a reasoned answer. The Technology Coordinator or the CDM Quality Manager will send the reasoned answer to the disputant. The motives or causes will be analysed and it will be evaluated if the dispute is valid and related to work for which AENOR is responsible, as well as the actions to be taken.

If the result of the analysis is a non-compliance with the requirements, a corrective action related to the Quality Management System of AENOR shall be raised and managed by the CDM Quality Manager or the Technology Coordinator.

The CDM Quality Manager will inform the Quality and Environmental Department to record the dispute in the Quality Management database. This record will be coded as follows:

DD / XXX - YY

Where XXX is a correlative number

YY are the two last numbers of the current year

This record will adjust to the format RG-CA/003 "General record for incidents".

The format shall include the following information:

- Person and entity that has received or detected the dispute (incident) and date.
- External entity affected (project participant)
- Type of dispute: on writing or verbally communicated.
- Analysis of what happened.
- Activity that has been affected.
- Identification of causes, (why it had happened?)
- Actions to be taken, responsible person and proposed date:
  - Immediate actions carried out to manage and solve the dispute (if applicable)
  - Corrective actions carried out to avoid recurrence of a non conformity detected (if applicable)

If a corrective/preventive action is necessary it will be managed and recorded. The root cause analysis shall be done in order to define the adequate corrective/preventive action.

The Technology coordinator is responsible for monitoring the correct implementation of the actions taken and its effectiveness.

The Quality and Social Responsibility Department is the final responsible for the monitoring of the correct handling of disputes.

The records shall be kept by the Quality and Social Responsibility Department for 5 years.

The confidentiality of disputes and the subject of the dispute shall be safeguarded during the whole process.

## Appeals handling.

An appeal is defined as follows: A CDM client organization's (CDM PP) request for a review by an independent appeal panel of various decisions taken by a DOE in respect of validation and/or verification/certification functions.

AENOR has made available a specific e-mail address in its website to make the communication easier to send information about appeals. It can be accessed in AENOR website in section "Certification-Environment" through the following link:

[http://www.en.aenor.es/aenor/certificacion/mambiente/medio\\_ambiente.asp](http://www.en.aenor.es/aenor/certificacion/mambiente/medio_ambiente.asp)

The procedure for handling appeals is included in option "Clean Development Mechanism projects" in the section "Contact us".

PPs may send appeals through the following communication channels:

- e-mail address: [cdm.kyoto@enor.es](mailto:cdm.kyoto@enor.es),
- address: AENOR, Génova 6, 28004 Madrid (Spain).

The CDM Quality Manager and/or Technology Coordinator will check the mailbox [cdm.kyoto@enor.es](mailto:cdm.kyoto@enor.es) daily in order to identify any appeal that may have been received. The CDM Quality Technician will assist the CDM Quality Manager in this task.

Any communication related to appeals shall be acknowledged in a period of ten working days according to the laboral calendar in Madrid, by the CDM Quality Manager or the Technology Coordinator. Any member of the Climate Change Unit that receives a communication related to an appeal shall communicate it to the CDM Quality Manager and/or the Technology Coordinator and they will inform the Legal Department and the Quality and Social Responsibility Department. They will assess the validity of the appeal. Subsequently it will be sent to the General Director and the Certification Committee by the Quality Management Director.

The Certification Committee is composed of Vice President of AENOR, four elected members from the Board of Directors, and the General Manager of AENOR.

The members of the Committee are not involved in any CDM activity including taking decisions regarding validation and verification of CDM project activities, so they have no conflict of interest with the appeal in any way. All members of the Committee shall sign an impartiality agreement. In the case a member of the Committee has a conflict of interest with the appeal, he/she will not participate in the process.

The Committee will gather all necessary information or will require it to the staff involved in validation/verification/certification work. The Committee has the right to hear the explanations from a witness and/or consult with external technical experts and/or take any measure and/or any actions, including arranging meetings as necessary to make right decision. The appellant shall be notified of the date of the meeting that will be held within 30 working days of the date of the appeal receipt.

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Taking into account all the relevant information, the Committee shall judge the appeal with fairness by using a simple majority rule voting process. The submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

If feasible, the appellant shall be informed about the progress on appeal investigation before the process is finished.

Once the Committee has taken a decision, it will prepare a report to be sent to the Board of Directors final approval in their next meeting. The General Manager shall notify the final decision to the appellant within 10 working days from the date of final decision by the Board of Directors.

The members of the Appeal Panel shall hold in confidentiality all information generated during the appeal process related to the appellant's business/organization and the subject of the appeal.

In case the appellant is not satisfied with the decision of the Committee, the CDM Quality Manager shall inform the appellant that it has an option of complaining to the CDM EB.

If the result of the analysis is a non-compliance with the requirements, a corrective action related to the Quality Management System of AENOR shall be raised by the CDM Quality Manager or the Technology Coordinator.

The CDM Quality Manager will inform the Quality and Social Responsibility Department for recording the appeal in the Quality Management database. This record will be coded as follows:

DD / XXX - YY

Where XXX is a correlative number

YY are the two last numbers of the current year

This record will adjust to the format RG-CA/003 "General record for incidents".

The format shall include the following information:

- Person and entity that has received the appeal (incident) and date.
- External entity affected (project participant)
- Communication channel used to send the appeal.
- Analysis of what happened.
- Activity that has been affected.
- Identification of causes, (why it had happened?)
- Actions to be taken, responsible person and proposed date:
  - Immediate actions carried out to manage and solve the appeal (if applicable)
  - Corrective actions carried out to avoid recurrence of a non conformity detected (if applicable)

If a corrective/preventive action is necessary it will be managed and recorded. The root cause analysis shall be done in order to define the adequate corrective/preventive action.

The Technology coordinator is responsible for monitoring the correct implementation of the actions taken and its effectiveness.

The Quality and Social Responsibility Department is the final responsible for the monitoring of the correct handling of corrective actions related to appeals.

The records shall be kept by the Quality and Social Responsibility Department for 5 years.

## 12 CONFIDENTIALITY

- 1 All **companies'** information, data and documents to which AENOR may have access during the validation or verification and certification of the CDM project activity **or PoA**, is treated confidentially and such information, data or documents are used exclusively for the validation or verification and certification purposes stipulated in these Regulations.
- 2 AENOR may show the contents of its files to comply mandating 27 (h) of the *CDM modalities and procedures*. AENOR may, also, show it to UNFCCC for accreditation purposes for producing documentary evidence of compliance with these Regulations.

## 13 INFORMATION PUBLICLY AVAILABLE

AENOR shall **make publicly available in its website** the list of project activities **or PoAs** validated or verified and certified

## 14 FINANCIAL CONDITIONS

- 1 AENOR will inform about its prices for validation, verification and/or any other related activity to any project proponent/project participant/**CME** that submits the adequate request and information.
- 2 The price of the service does not include any cost generated from any extraordinary activity necessary for the validation or verification, unless a particular agreement is reached.

## 15 AMENDMENTS

Any revision of this document shall be made publicly available on AENOR website.