



华夏认证中心有限公司
China Certification Center. Inc

Organizational Structure of CCCI and Allocation of Responsibilities

(Version 01.0)

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1. Purpose

The purpose of this document is to elaborate the company structure and the allocation of responsibilities within GHG Validation and Verification Department.

2. Company Structure

2.1. Introduction of the Company

China Certification Centre Inc (hereafter referred to as CCCI) is an entity for comprehensive certification services, which was accredited by China National Certification and Accreditation (CNCA) with the accreditation number of CNCA-R-2002-021 on 10 December 2002. CCCI is the first certification body accredited by China National Accreditation Council for Environment Management System Certification Bodies (CACEB) (original accreditation number is HR01) and China National Accreditation Council for Occupational Safety and Health Management System Certification Bodies (CNASC). CCCI is also one of the leading certification bodies that is accredited by United Kingdom Accreditation Service (UKAS) and is authorized to issue the Crown mark certificates in Southeast Asia. Currently, the certification scope of CCCI covers ISO 9001:2008 Quality Management Systems (QMS), ISO 14001:2004 Environmental Management Systems (EMS), OHSAS 18001:2007 Occupational Health and Safety Management Systems, ISO 22000:2005 Food Safety Management Systems, ISO/IEC 27001:2005 Information technology- Security techniques-Information security management systems-requirements and etc. In the mean time, CCCI has training qualification for QMS registered auditors, EMS registered auditors and OHSAS registered auditors.

2.2. Organization Settings and Structure

The top managements and the constituent departments and committees of CCCI are as follows:

General Manager: Overall responsibility for the operation and management of the Company and ensure effective management to the impartiality of the Company.

Governing Board: The Governing Board is responsible for making policies related to impartiality and independence of the Certification Body and internal surveillance for the implementation of the policies. The Governing Board is also responsible for reviewing the annual report and financial reports of CCCI.

Technical Committee: The Technical Committee is responsible for non-CDM business (traditional certification services such as ISO 9001, ISO 14001, OHSAS 18001, ISO 22000 and ISO/IEC 27001 etc.), it shall: 1) follow international and national standard specification and be responsible for issuing and updating working documents related to certification evaluation and professional evaluation; 2) on behalf of the General Manager, granting, maintaining, updating, extending, reducing, suspending and canceling certification; 3) provide technical support for certification activities, make final decision for technical issues; 4) conduct qualification assessment for auditors, review performance of auditing activities, arrange technical training to improve the quality of certification services.

Management Representative: 1) establishing, implementing and maintaining the quality management system of the company; 2) routine supervising the management system of the Company; Through data collection and analyze, identify disadvantage existing in the management system and take corrective actions to improve the management system; 3) implementing certification and accreditation regulations and accreditation criteria and cooperate with the top management to control the risk during certification activities; 4) Organizing internal audit regularly, assisting the General Manger to conduct management review.

Deputy General Managers: 1) The Deputy General Manager in charge of audit shall ensure the quality of audit and assist the General Manager to manage the auditors; 2) The Deputy General Manager in charge of technical issues shall assist the Technical Committee for developing and managing accreditation scopes; 3) The Deputy General Manager in charge of quality issues shall be responsible for establishing, implementing and continuously improving the management system; 4) The Deputy General Manager in charge of marketing shall be responsible

for maintaining the existing clients, analyzing and exploring new market.

Marketing Department: 1) Maintaining the existing clients, analyzing and exploring new market and reporting to the Deputy General Manager who is responsible for marketing; 2) developing and updating Business Brochure for advertisement.

Contract Review Department: 1) Handling applications for certification services within the scope of CCCI and review the proposed contracts; 2) signing and managing the validation verification/certification contracts; 3) Identifying and preventing potential risks in the certification activities.

Auditing Department: 1) Planning, implementing audit programmes; 2) Managing and evaluating performance of auditors.

R&D Department: 1) According to the strategic plan of the CCCI, formulating development and research direction; 2) Following up accreditation standard and procedure of potential scopes and business, preparing for applications; 3) Conducting feasibility study for new scopes and new business.

Administrative Office: 1) Human resources management; 2) Administrative management; 3) Document management; 4) Logistics management; 5) Establishing organization structure, designing work procedure and regulation, monitoring the implementation of work procedure and regulation.

Complaints, Appeals and Disputes Handling Committee: (1) Assessing the validity of complaints, appeals and disputes; (2) Investigating and reviewing the case; (3) Final decision on appeals; (4) Ensuring that appropriate correction and corrective action are taken.

Technical Information Department: Be responsible for maintaining and managing computer equipments, intranet, internet webpage and database of the CCCI.

Financial Department: 1) Regular financial management of the CCCI; 2) financial analysis and risk control; 3) compiling annual financial report.

GHG Validation and Verification Department: Engaging in the work of validation and verification services for proposed/registered CDM (Clean Development Mechanism) projects and GHG assertions.

Impartiality Committee: (1) Monitoring, reviewing and approving the conflict of interest analysis, the procedures and the mitigation strategies and actions to safeguard the AE/DOE's impartiality; (2) Preparing an annual report of its activities; (3) Reporting to the UNFCCC CDM secretariat if any identified issue regarding to impartiality is not followed.

CCCI is a pure independent third party that majored in certification services, and it is not part of any larger organization, any activity regarding consultancy, training and financing of CDM projects is not carried out in the context of CCCI. Therefore, there is no conflict of interest exists between GHG Validation and Verification department and the functions of the related bodies.

Figure 1 shows the organizational structure of CCCI. The GHG Validation and Verification Department (Green boxes) is responsible to perform CDM validation and verification/certification activities, the other departments, offices and Committees covered by dotted line are serving as supporting functions to the GHG Validation and Verification Department.(See next page).

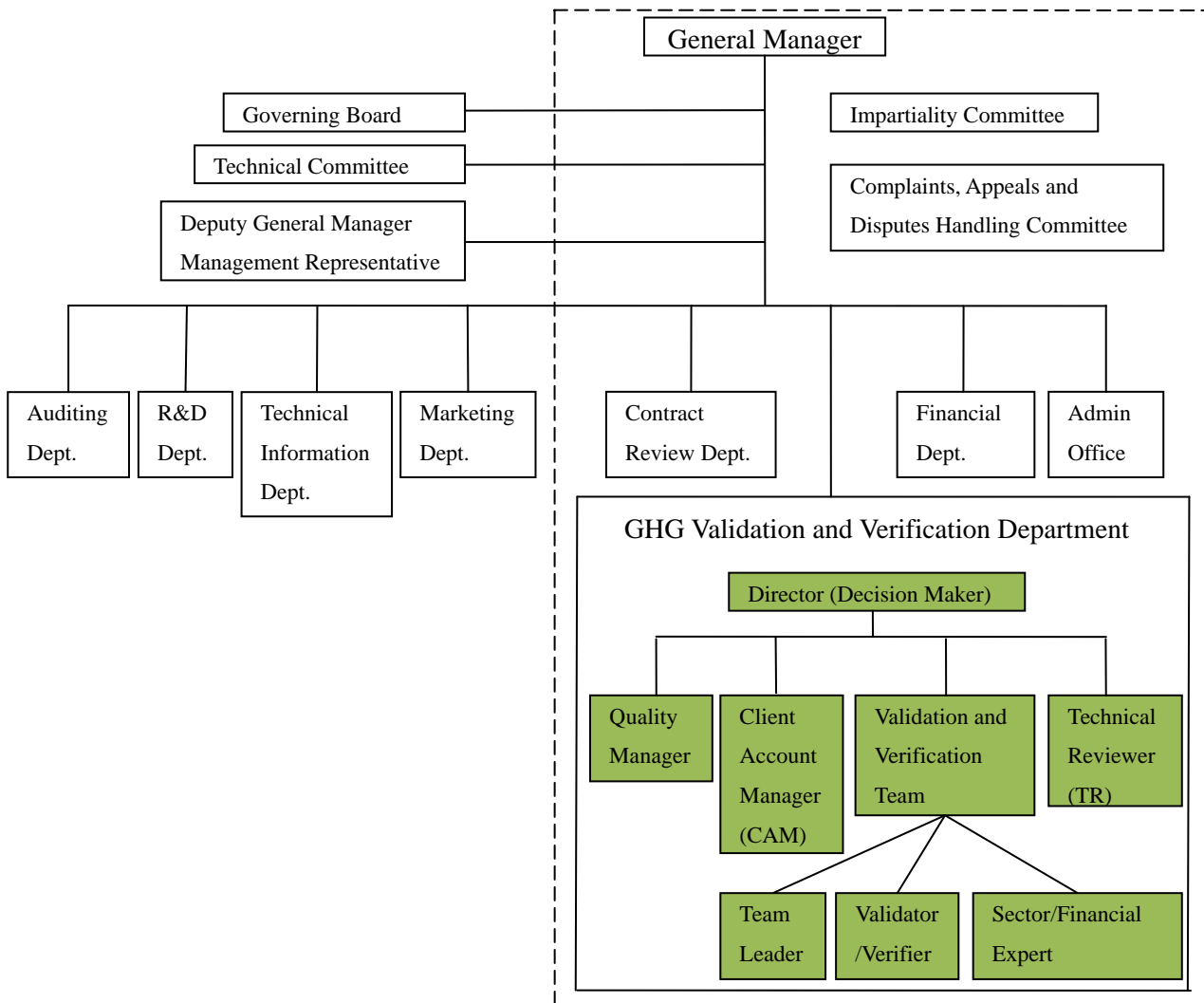


Figure 1: Organizational Structure of CCCI

3. Allocation of responsibilities within GHG Validation and Verification Department

In order to meet all the requirements stipulated in the latest “CDM Accreditation Standard”, the procedures we have in place are documented for all activities carried out by the GHG Validation and Verification Department which was established independently from other activities of CCCI. As shown in Figure 1 Organizational Structure of CCCI, the GHG Validation and Verification Department (Green boxes) is responsible to perform CDM validation and verification/certification activities, the other departments, offices and Committees covered by dotted line are serving as supporting functions to the GHG Validation and Verification Department.

3.1 Allocation of responsibilities

3.1.1 Director (Decision Maker)

- Formulation and development of policy matters relating to the operations of the GHG Validation and Verification Department
- Establishment of validation/verification quality management system in line with policies formulated (Jointly with Quality Manager)
- Implementing overall validation/verification quality management system (Jointly with Quality Manager)
- Supervision and monitoring of implementation of policies and procedures (Jointly with Quality Manager)
- Ensuring that procedures are in compliance with CDM Accreditation requirements (Jointly with the Quality Manager)
- Analyzing and determining the human resource requirements
- Handling the initial and further communications with UNFCCC regarding all DOE accreditation related assessments including performance assessments, spot checks, surveillance and re-accreditation audits
- Verifying the competence of validation and/or verification team members and technical reviewers
- Giving evaluation and qualification decision for the personnel during the employment and appointment process (For validation/verification team members and technical reviewers)
- Maintaining competence level of validation and/or verification/certification personnel and arranging any necessary trainings
- Conducting initial competency analysis during employment process
- Final employment decisions (Jointly with General Manager)
- Providing adequate and competent human resources to ensure the GHG Validation and Verification Department carry out the CDM functions and apply and improve the validation & verification quality management system (Jointly with General Manager and Quality Manager)
- Supervising and controlling the validation/verification team
- Supervising the implementation of validation and/or verification/certification procedures
- Monitoring of human resources sufficiency (Jointly General Manager)
- Conducting risk analysis for GHG Validation and Verification Department (Jointly with General Manager, Quality Manager)
- Deciding on and approving of validation and/or verification/certification reports, opinions and functions
- Giving technical and procedural guidance on methodologies, clarifications and guidelines from UNFCCC

(Jointly with validation/verification team members and technical reviewers)

- Monitoring of changes and control of implementation of accreditation requirements (Jointly with Quality Manager)
- Organizing Management Review Meeting
- Informing UNFCCC about the changes in organizational structure
- Conducting validation/verification activities annual financial liability analysis (Jointly with Financial Department)

3.1.2 Quality Manager

- Establish, implement and maintain a validation & verification quality management system in line with policies formulated (Jointly with Director)
- Supervising implementation of validation and/or verification/certification procedures (Jointly with Director)
- Ensuring that procedures are in compliance with CDM accreditation requirements (Jointly with Director)
- Control of implementation of accreditation requirements (Jointly with Director)
- Providing adequate and competent human resources to ensure the GHG Validation and Verification Department carry out the CDM functions and apply and improve the validation & verification quality management system (Jointly with General Manager and Quality Manager)
- Documentation of policies and procedures and their implementation
- Retaining personnel and training files of validation/verification team members
- Attending risk analysis meetings
- Handling of internal audits in terms of quality management system and CDM accreditation standard
- Organizing Review of Effectiveness Meeting regarding impartiality issues
- Keeping Impartiality Committee and Review of Effectiveness Meeting minutes' records
- Involving in the Management Review Meeting
- Preparing and submitting annual report to the EB
- Preparing and submitting the DOE Forecast report to UNFCCC
- Informing the EB in cases of any judicial processes

3.1.3 Client Account Manager

- Assessing validation/verification applications
- Handling and tracking of personnel availability for the validation/verification activities (For validation/verification team members and technical reviewers)
- Selecting validation and/or verification team members and technical reviewer for each project by using the Table of Competence
- Conducting conflict of interest analysis for each project
- Handling of individual impartiality declarations (Avoidance of Conflict of Interest Declarations) by

validation/verification team members and technical reviewers

- Proposing validation/verification contract and quotation preparation
- Initial completeness check for the Global Stakeholder Process (GSP) PDD or first version of the MR before uploading on the UNFCCC website
- Assigning validation/verification task to the appointed validation/verification team and technical reviewer
- Managing the availability of validation/verification team and technical reviewer
- Liaising with clients about validation/verification progress
- Reporting to the Complaints, appeals and disputes handling Committee, if any complaints, appeals and disputes from clients
- Conducting completeness check for final validation/verification report
- Asking comments or confirmation of uploading final report from client
- Creating project folders on the company server for each project
- Updating of all related project records and documents on the company server
- Sending and getting back customer feedback forms with project participants after the completion of each project
- Implementing overall validation/verification quality management system (Jointly with director and Quality Manager)
- Retaining complaints/disputes/appeal records
- Retaining project tracking list
- Involving in the Management Review Meeting

3.1.4 Team Leader (Validation and Verification Team)

- Acting as a Team Leader for validation/verification activities
- Monitoring and reviewing the performance of validator(s), verifier(s), sector expert(s)
- Approving the validation/verification plans
- Chairing the opening and close meeting during the site visit
- Supervising the validator/verifier in training
- Submitting draft validation/verification report and all necessary documents to the technical reviewer
- Involvement in the employment evaluations of the validation/verification team members during the employment process, if necessary
- Following methodologies, tools, clarifications and guidelines from UNFCCC (Jointly with Director)

3.1.5 Validator/Verifier (Validation and Verification Team)

- Acting as a validator/verifier for validation/verification activities
- Preparing the validation/verification plans
- Communicating validation/verification plans with project participants
- Preparing the validation/verification report

- Improving the validation/verification report according to the comments raised by team leader, technical reviewer, completeness check, client and director.
- Following methodologies, tools, clarifications and guidelines from UNFCCC
- Submitting final validation/verification report and all necessary documents to the Client Account Manager when technical review is completed

3.1.6 Sector Expert (Validation and Verification Team)

- Acting as a technical expert for validation/verification activities depending on the specialized area
- Supporting the team leader and the validator/verifier during the validation/verification activities
- Following methodologies, tools, clarifications and guidelines from UNFCCC on his/her specialized field

3.1.7 Technical Reviewer (TR)

- Acting as a technical reviewer for validation/verification activities
- Following methodologies, tools, clarifications and guidelines from UNFCCC (Jointly with Director)

3.2. Notification of Changes on the organizational structure

Any planned changes in the management, key staff and organizational structure are notified to the UNFCCC Secretariat by the Director or the Quality Manager at least three months before in accordance with the latest version of CDM Accreditation Procedure. Any unexpected change(s) are notified to the Secretariat by the Director or the Quality Manager within ten (10) days of the change took place.

3.3. Position requirement

For all positions given in the GHG Validation and Verification Department, CCCI has identified the necessary qualifications with respect to education, training, experience and skills required for the duty, as detailed in the related “Terms of reference of senior management personnel / GHG CDM_Article_002”. An appointment to a position is performed when the qualifications required for the job, as defined in the job descriptions, are met.

In compliance with the latest “CDM Accreditation Standard”, any activity regarding consultancy, training and financing of CDM projects is not carried out in the context of CCCI. This is confirmed in the Management’s Impartiality Statement available in the “Conflict of Interest Assessment Procedure”.