

China Environmental United Certification Center Co., Ltd

Management System Document

CDM remote validation/verification for no mandatory site visit due to force majeure conditions

Document No.: CEC-4022C

Version: C/1.1

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Distribution No: _____

Control Status: _____

22/01/2022 published, 22/03/2022revised, 22/03/2022 Implemented

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1. Introduction

Due to the occurrence of force majeure conditions such as large-scale epidemic diseases, travel restrictions, natural disasters, etc., CEC validators/verifiers cannot arrive at the CDM PA/PoA project site for on-site visit to carry out field v/v inspection, however the on-site visit could not be postponed due to special situations such as commitment/timeline as per the validation/verification contract, CER delivery commitment by project participants, the application of remote auditing is particularly urgent. The rapid development and wide application of ICT technologies and informatization and intelligent foundation of enterprises ensure remote auditing possible. In this context, CDM v/v activities could be more effective and efficient by using ICT technologies (eg, telephone call, email, video meeting, webcams, smartphones, laptops).

CEC CDM remote validation/verification can provide more flexible services to PP/CME, while ensuring validation/verification activities compliance with CDM rules and CEC internal CDM quality management. Using a variety of technologies, CEC trusted validators/verifiers will work efficiently with PP/CME — no matter where they are located.

2. Principles

According to CDM-EB113-A07 *<Amendments to version 03.0 of the CDM validation and verification standard for project activities on remote validation or verification by DOEs>* & CDM-EB113-A08 *<Amendments to version 03.0 of the CDM validation and verification standard for programmes of activities on remote validation or verification by DOEs>*, CEC may carry out remote validation/verification as one of its standard audit techniques approaches when no mandatory site visit under force majeure conditions. when CEC v/v team performing remote audit, the following principles shall be satisfied to avoid the potential risks sourced from no mandatory site visit:

- Ensure validation/verification activities comply with all CDM rules and CEC internal CDM quality management system.
- Ensure validation/verification activities complete and credible.
- Ensure the authenticity, security and confidentiality of evidences including necessary data and information, to support appropriate v/v opinion and conclusion.
- Collaborate efficiently with the CDM PP/CME – wherever they are located.

3. Methods of remote validation/verification

CEC offers two methods of remote validation/verification:

1. **Off-site remote audit:** CEC validators/verifiers are not on CDM PA/PoA project site, they perform the validation/verification from CEC office or their home office, including conducting interviews, documents and records review, observing the operation of equipment and facilities,

measuring instruments, other related activities, etc.

2. **On-site remote audit:** CEC validators/verifiers sit with the PP/CME at one of the PP's/CME's office place, and work with the PP's/CME's team to conduct remote validation/verification for other project sites, including conducting interviews, documents and records review, observing the operation of equipment and facilities, measuring instruments, other related activities, etc.

Regardless of the method used, CEC uses standard auditing techniques with ICT application support to provide an immersive audit experience for each validation/verification activity.

4. Adoption of ICT technology

4.1 Level 1—Live streaming technology

CEC v/v team uses live streaming technologies (e.g., Tencent meeting, Wechat, Feishu meeting, MS Teams, Zoom, etc.) to support:

- Review of documents, records, data and information, as well as observation of project equipment and facilities operations, metering devices, and other related activities.
- Live interviews with PP/CME teams.
- Secure sharing platforms can also be used to transfer documents.

4.2 Level 2—Smart on-line audit solution

CEC v/v team applies live streaming technology combined with mobile technology to perform smart on-line audit. We use video meeting applications on smart devices (e.g., cell phone, laptops, camera) to provide an immersive experience for our validation/verification teams and PP/CME, which enables us to review the implementation and operation of the CDM PA/PoA in real time.

5. Steps for remote validation/verification

According to the risk assessment indication in CDM-EB113-A07&A08, CEC specify relevant requirements for remote v/v activities at the pre-remote inspection stage, implementation stage and post-remote inspection stage as follows.

5.1 Step 1—Communication and Preparation

1. CEC v/v team leader communicates with the CDM PP/CME to reach a consensus that the on-site inspection is not available due to force majeure condition and only remote validation/verification can be conducted.

2. To ensure that an effective validation/verification performed, CEC v/v team leader will discuss and chose one of the appropriate and applicable methods indicated in the above section 3 with the CDM PP/CME, taking into account the specific requirements and the PP's /CME's ICT technical infrastructure.

3. Once both sides have confirmed the method, CEC v/v team leader will commence a detailed “*Remote Audit Plan*” which includes a proper justification for site visit could not be postponed

and v/v activities arrangement with ICT application, *the “Plan”* form template is attached as an appendix of this OI. CEC v/v team leader will discuss with the PP/CME to reach an agreement on the remote audit plan from both sides before performing the remote audit.

5.2 Step 2—Implementation of remote validation/verification

A successful remote validation/verification cannot be achieved without a fast and stable ICT connection (e.g., voice and video) to ensure that communication between the auditee and CEC validation/verification team remains stable. Once the ICT connection is up and running properly, validation/verification evidences will be collected through interviews, reviews of documents and records (e.g. via screen sharing), and observation of processes and activities (e.g. via video sharing, if possible).

The quality requirements for all evidences obtained through remote audit are the same as the CEC mandatory on-site validation/verification evidences quality requirements, and all evidence will be reviewed and reported to support the validation/verification findings, opinions and conclusions—the only difference is that this will be done using remote ICT technology.

The following table demonstrates the typical activities and appropriate ICT applications and measures adopted by CEC v/v team to efficiently and successfully performing the remote validation/verification satisfied with the principles in section 2.

Activities	ICT application and measures
Remote opening meeting/close meeting with PP/CME.	<ol style="list-style-type: none"> 1. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting. 2. Appropriate meeting registration and evidence shall be retained.
Remotely interview on project basic information, including but not limited: PA/PoA participants, equipment and monitoring devices installation and monitoring, commencement date, implementation status, any changes, etc.	<ol style="list-style-type: none"> 1. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting. 2. Necessary sound recordings or screenshots shall be considered as valid audit evidence
Remote documents and records review to support v/v opinions and conclusions.	<ol style="list-style-type: none"> 1. Necessary documents and records shall be emailed to CEC v/v team in advance. 2. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting shall be used. 3. CEC v/v team members assess files and records online through a shared screen. 4. if applicable, after authorization by PP/CME, the v/v team will log in remotely and access PP/CME operation system to assess related records. 5. Necessary screenshots or records on related files in PP/CME operation system shall be considered as valid audit evidence.
Remotely observe and patrol project operation scene, including but not limited to installed	<ol style="list-style-type: none"> 1. Mobile terminals with video function such as cellphone, smart mobile terminals, camera shall be

equipment and metering devices, data of operation parameters and monitoring parameters, operation logs, official website, panoramic view of the operation process, etc.	used. 2. Necessary live video, images or photo records shall be considered as valid audit evidence.
Remote data and information collection and crosscheck to support v/v opinions and conclusions.	1. Necessary data and information shall be emailed to CEC v/v team in advance. 2. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting shall be used. 3. CEC v/v team members assess data and information online through a shared screen. 4. if applicable, after authorization by PP/CME, the v/v team will log in remotely and access PP/CME operation system to assess related data and information. 5. Necessary screenshots or records on related files in PP/CME operation system shall be considered as valid audit evidence.

5.3 Validation/verification report

In addition to the standardized on-site validation/verification report, CEC v/v report shall contain detailed information about the remote validation/verification means that has been used and elaborate the effectiveness and sufficiency of the means in achieving the stated v/v objectives.

6. Confidentiality and security requirements

The security and confidentiality of information transmitted electronically is particularly important when validation/verification is carried out remotely. The same security and confidentiality rules that apply to CEC mandatory on-site verification/verification also apply to CEC remote validation/verification. Once a remote validation/verification is completed, all CEC v/v team members are required to immediately delete all information collected during the auditing, except for information determined to be valid audit evidences. During remote validation/verification, information (screenshots, voice, video, etc.) without authorization by PP/CME is not allowed to record and retain. All reviewed information will be used only as evidence in support of the validation/verification findings, opinions and conclusions.

7. Related record

Remote audit Plan CEC-6042C

History of Document

Version	Date	Nature of Revision	Note
C/1.1	22/03/2022	Amendment according to CDM-EB113-A07&08	
C/1.0	22/01/2022	Initial version according to NC corrective actions.	



Appendix: “CDM Remote Audit Plan” Form template

Remote Audit Plan

Statement: The site visit for on-site inspection of the proposed CDM PA/PoA cannot be postponed due to <i>[justifying reasons]</i> , so <i>[PP/CME name]</i> and CEC reach an agreement to conduct a remote audit of this project. Remote audit arrangements are listed here.					
Project title					
Client Name					
Project Location					
Type of Service	<input type="checkbox"/> Validation (<input type="checkbox"/> Registration of project activity <input type="checkbox"/> RCP <input type="checkbox"/> PRC) <input type="checkbox"/> Verification and Certification				
Applied Methodology					
Sectoral scopes linked to the applied methodology	mandatory sectoral scopes:				
	conditional sectoral scopes:				
	applicability of conditional sectoral scopes:				
	TA:				
Audit date					
<u>Assigned team members information</u>					
Name	Role	TA	Qualification	Contacts	Group
XXX	Team Leader		Team Leader		
XXX	Team Member				
...
<p>Note: 1. lines for team member can be added if needed.</p> <p>2. All the team members should sign the “Commitment on Impartiality and Confidentiality with CEC.”</p>					



Audit Schedule:

Remote audit Method ¹	<input type="checkbox"/> Off-site remote audit <input type="checkbox"/> On-site remote audit	
Group/Date/Time	Activity and participants	ICT application and measures
Group: XXX Date: XXX time: XXX	Opening Meeting, Representatives of the project participant shall attend.	<ol style="list-style-type: none"> 1. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting. 2. Appropriate meeting registration and evidence shall be retained.
Group: XXX Date: XXX time: XXX	Interview on project basic information, including but not limited: PA/PoA participants, equipment and monitoring devices installation and monitoring, commencement date, implementation status, any changes, etc. Representatives of the project participant shall attend.	<ol style="list-style-type: none"> 1. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting. 2. Necessary sound recordings or screenshots shall be considered as valid audit evidence
Group: XXX Date: XXX time: XXX	Documents and records review to support v/v opinions and conclusions. note: indicate a list of documents and records needed here. Representatives of the project participant shall attend.	<ol style="list-style-type: none"> 1. Necessary documents and records shall be emailed to CEC v/v team in advance. 2. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting shall be used. 3. CEC v/v team members assess files and records online through a shared screen. 4. if applicable, after authorization by PP/CME, the v/v team will log in remotely and access PP/CME operation system to assess related records. 5. Necessary screenshots or records on related files in PP/CME operation system shall be considered as valid audit evidence.
Group: XXX Date: XXX time: XXX	Observe and patrol project operation scene, including but not limited to installed equipment and metering devices, data of operation parameters and monitoring parameters, operation logs, official website, panoramic view of the operation process, etc.	<ol style="list-style-type: none"> 1. Mobile terminals with video function such as cellphone, smart mobile terminals, camera shall be used. 2. Necessary live video, images or photo records shall be considered as valid audit evidence.
Group: XXX Date: XXX time: XXX	Data and information collection and crosscheck to support v/v opinions and conclusions. note: indicate a list of data and information needed here. Representatives of the project participant shall attend.	<ol style="list-style-type: none"> 1. Necessary data and information shall be emailed to CEC v/v team in advance. 2. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting shall be used. 3. CEC v/v team members assess data and information online through a shared screen. 4. If applicable, after authorization by PP, the v/v team will log in remotely and access PP operation system to assess related data and information. 5. Necessary screenshots or records on related files in PP operation system shall be considered as valid audit evidence.

¹ For detailed instructions on the remote audit method, see CEC operation instruction “CDM remote validation/verification when no mandatory site visit under force majeure conditions” available on <http://en.meecec.com/lowcarbonclimatechange/certification/validation-and-verification-on-ghg-emission-reductions/index.shtml>



<p><i>Group: XXX</i> <i>Date: XXX</i> <i>time: XXX</i></p>	<p><i>Communicate with the PP about the remote audit findings.</i> <i>Representatives of the project participant shall attend.</i></p>	<p><i>1. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting.</i> <i>2. Necessary sound recordings or screenshots shall be considered as valid audit evidence</i></p>
<p><i>Group: XXX</i> <i>Date: XXX</i> <i>time: XXX</i></p>	<p><i>Close Meeting</i> <i>Representatives of the project participant shall attend.</i></p>	<p><i>1. Laptops/PADs/mobile terminals with meeting video software such as Teams, Tencent meeting.</i> <i>2. Appropriate meeting registration and evidence shall be retained.</i></p>

Team leader confirm:

Date:

Representative of PP/CME confirm:

Date:

History of Document

Version	Date	Nature of Revision	Note
C/1.1	22/03/2022	Editorial edition	
C/1.0	22/01/2022	Initial version according to NC corrective actions.	