

Document No.	CEPREI-04-GM
Version No.	9

Charter of CEPREI Certification Body

CEPREI Certification Body Management Committee



Approval Page

Prepared by: Liu Xiaoyin

Date:

2020.06.16

Reviewed by: Zhao Guoxiang

Date:

2020.07.15

Approved by: Zhao Guoxiang (CEPREI

President)

Date:

Chen Zhangbao (Chairman of

2020.07.21

the Management Committee)

This document becomes effective on the date of its approval.



Change History

ID	Before the revision	After the revision	Date
1	Version 8	Version 9 Revised based on the responsibilities of each department in the latest Quality Manual.	June 16 th , 2020
2	Responsibilities of each department	Adjustment to the organizational chart based on the actual Section 9 Responsibilities of other departments and posts Refer to the documented CEPREI's organizational structure and responsibilities.	Jan. 5 th , 2022



Table of Contents

Chapter 1 General Rules	4
Chapter 2 Organizational Structure and Responsibilities	6
Chapter 3 Certification Procedure Regulation	11
Chapter 4 Auditor	12
Chapter 5 Impartiality of Certification.....	13
Chapter 6 Fund.....	20
Chapter 7 Supplementary Rules.....	21



Chapter 1 General Rules

1. This charter is established to ensure the impartiality and independency of CEPREI Certification Body's (hereinafter referred to as CEPREI) certification activities and to maintain the authority of national accreditation institution based on the requirements in the international accreditation criteria (including the CDM accreditation standard and the relevant decisions of EB and CMP) and the national accreditation system for certification bodies.
2. CEPREI follows international criteria and conventions, national laws and regulations, and other requirement, and insists the principle of impartiality, science and confidentiality to provide validation/verification/certification service to all applicants from the society. CEPREI does not allow priority for some applications for its own interest, or delay the acceptance of any application with excuses.
3. CEPREI implements management system audits which meet the requirements of management system standard, management system documents and laws & regulations and other requirements. CEPREI commits to satisfy all the requirements for the accreditation and those for certification bodies from the accreditation bodies continuously.
4. CEPREI conducts validation/verification/certification activities within the accredited business scopes and performs validation/verification or



audit assessments and the certification-decision making within the validation/verification/certification scope.

5. CEPREI conducts no other business activity than product/system certification, certification training and Greenhouse Gas validation/verification (including CDM). It will not perform any activities that may impact the impartiality. The operations of CEPREI shall be independent and free from any bias that may compromise its ability to make impartiality decisions.



-
- The organizational chart of CEPREI is structured as follows:
- Top Management** (indicated by a dashed box) includes:
 - CEPREI President/General Manager
 - Vice President/Vice General Manager
 - Management Representative/CDM Quality Manager
 - CDM Technical Manager
 - Technical Committee
 - Management Committee** is connected to the President/General Manager via a dashed line.
 - Departments and Subsidiaries** (connected to the main vertical line below Top Management):
 - General Affairs Dept.
 - HR Dept.
 - Compliance Audit Dept.
 - Information System Dept.
 - Technical Development Dept.
 - Special Program Office
 - Marketing and Communication Dept.
 - Sales Management Dept.
 - Marketing Dept. I
 - Marketing Dept. II
 - Marketing Dept. III
 - Marketing Dept. IV
 - Marketing Dept. V
 - Audit Dept. I
 - Audit Dept. II
 - Audit Dept. III
 - Audit Dept. IV
 - Audit Dept. V
 - Industrial Internet Dept.
 - Software Quality Dept.
 - Quality Diagnosis Dept.
 - Green and Low Carbon Dept. (which oversees:
 - Green and Low Carbon Marketing Dept.
 - Green and Low Carbon Business Dept.
 - TPH Development Center
 - CCTEK
 - Pricing Review Center
 - Beijing Subsidiary
 - CEPREI Guiyang



7. Responsibilities of the Management Representative (CDM Quality manager)
 - 7.1 Establishment, operation and continuous effectiveness of CEPREI's quality system; and preparation and revision of CEPREI's management system document.
 - 7.2 Organization of internal quality audits.
 - 7.3 Reporting status of quality system operation to the Top Management, and handling with issues that impact quality system operation, including external complaints.
 - 7.4 Interacting with external parties regarding the issues related to CEPREI's quality system.
8. Responsibilities of the CDM Technical Manager
 - 8.1 planning, management, resource allocation, performance monitoring, and improving of CEPREI's CDM program and other GHG validation/verification activities;
 - 8.2 Establishing CEPREI's CDM program system according to accreditation requirements of EB and relevant decisions of COP/MOP and EB.
 - 8.3 Establishing the operation system for the GHG validation/verification programs based on the CNAS accreditation requirements.
 - 8.4 Supervising implementation of validation and/or verification/certification activities,
 - 8.5 tracking changes in CMP, CDM EB and CNAS's decisions and requirements and incorporating such changes into CEPREI's CDM and GHG management system;

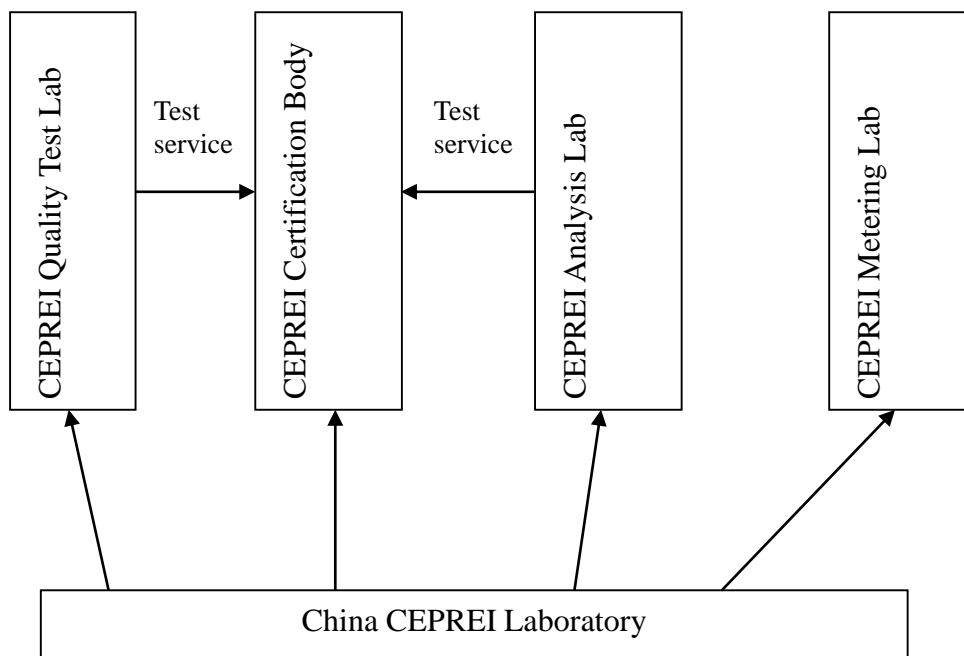


-
- 8.6 identifying the needs for resources for CEPREI's CDM and other GHG programs due to the business progress and changes in environment;
 - 8.7 Organizing the establishment of the human resource requirements, qualifying the personnel; allocating the personnel, including the potential candidates for validation/verification/certification/technical review personnel;
 - 8.8 Maintaining competence level of validation and/or verification/certification personnel and arranging any necessary training;
 - 8.9 reporting the effectiveness of CEPREI's CDM and other GHG programs and the needs for improvement and resources to the CEPREI President;
 - 8.10 providing CDM and other GHG related technical support to CEPREI's Top Management and related committees, other functions for their CDM or GHG related activities and decisions, including the solving of appeals/complaints/disputes (excluding what falls under the Technical Manager's responsibilities);
 - 8.11 assisting in solving various complaints on the technical aspects in a validation or verification project.

9. Responsibilities of other departments and posts

Refer to the documented CEPREI's organizational structure and responsibilities(CEPREI-QP-01-MR).

10. Organization relationship diagram of CEPREI Lab member bodies



10.1 China CEPREI Lab owns and invests all the bodies above, including appointing General Presidents. CEPREI Certification Body is an independent legal entity, has independent business scope, independent organizational structure and independent management system.

10.2 The other members of the group are independent commercial laboratories providing testing and calibration services, accredited in accordance with ISO/IEC Guidance 17025. Every member of the group has its own organizational structure and business scope. The other members' business will not affect the impartiality and integrity of the certification system of CEPREI Certification Body. The only business links between CEPREI Certification Body and these laboratories situate in product certification activities. In such case these laboratories may provide testing service to CEPREI's certification. CEPREI and the other members of CEPREI Laboratory Group do not offer or provide:

- 1) those services that it certifies/registers others to perform;



-
- 2) consulting services to obtain or maintain certification/registration;
 - 3) Services to design implement or maintain management systems.
 - 4) Services of identification, development or financing CDM project activities, providing consultancy for CDM validation, verification and monitoring functions, training the project participant towards the same.

CEPREI conducts dynamic analysis on all threats on impartiality of its certifications, and takes necessary measures to ensure the public creditability of the certification. CEPREI's provisions of risk are reserved for covering any possible liability.



Chapter 3 Validation/Verification/Certification Procedure Regulation

11. CEPREI establishes and implements documented quality system following the international accreditation criteria (including CDM accreditation standard and relevant decision of EB and CMP) and national accreditation standard to ensure the smooth practice of validation/verification/certification activities.
12. For management system certification, accept all applicants within the accredited scope following CEPREI's Certification Procedure Regulation; conduct initial audit, surveillance audit and re-audit according to management quality system standard; make certification decisions objectively, including approval, rejection and maintenance of certification, extension or reduction of certification scope, renewal, suspension, restoration and withdrawal of certification.
13. For CDM validation/verification/certification, accept all applicants within the accredited scope following CEPREI's Validation/Verification/Certification Procedure Regulation; conduct validation, verification and certification; make decision objectively.



Chapter 4 Auditor

14. To ensure the effectiveness and impartiality of audits, CEPREI should select auditors and technical experts (when necessary) based on their capability, training, qualifications and experience and assign tasks corresponding to their professional capability.
15. Evaluate the professional capability of auditors/ technical experts; proceed effective management of them, ensuring the validators/verifiers/auditors are capable of validation/verification/certification work within the accredited scope.



Chapter 5 Impartiality of Certification

16. Ensure that executive management and all people bear no commercial, economic or other pressure that may influence the validation/verification/certification results, keeping the objectivity and impartiality of validation/verification/certification activities. When encountered with threats on the impartiality from other organizations or people, appropriate actions should be taken.
17. CEPREI identifies, analyzes, assesses, handles and monitors various potential threats against its' impartiality, proposes actions for risks requiring attention, evaluates, analyzes and documents residual risks, and generates Analysis Report of Validation, Verification/Certification Impartiality and Liability Risk of CEPREI. The risk analysis will be done as part of management review at least once a year and at any time in the case of significant changes in the organization/activities by the management. The risk analysis report is submitted to the Management Committee for review, relevant analysis and actions become part of CEPREI's management policy for impartiality and responsibility after confirmed by the Management Committee.

Risk analysis shall analyze potential impartiality threat causing by financial source, self-review, self-benefit, familiarity and stress from aspects such as organization, activities, staff, shared resources, finance, training and marketing as well as various product liability risks.

The risk assessment process should include the identification of suitable stakeholders, including request for their advice in a balanced way with respect to the matters affecting the impartiality.

The risk analysis report evaluates and proposes corresponding actions for risks identified. Actions include prohibition, mitigation, disclosure and remedial etc.

18. CEPREI is responsible for the decisions on approval, rejection and maintenance of validation/verification/certification, extension or reduction of validation/verification/certification scope, renewal, suspension, restoration and withdrawal of validation/verification/certification, making sure that the validation/verification/certification evaluation is not done by people who have implemented the audit.
19. CEPREI does not provide consultancy or internal audit service for any organization regarding the establishment and maintenance of management system, nor the service provided by the certificated organizations. Once a consulting organization has the threat on CEPREI's impartiality, CEPREI will not certificate any organization that is consulted by it with management system or internal audit in two years.
20. CEPREI does not provide any services which may threat the impartiality, including but not limited to:



-
- identification, development and/or financing of the CDM and other GHG project activities;
 - consultancy related to the establishment of validation or verification and monitoring systems for CDM and other GHG projects;
 - one to one training related to CDM and other GHG programs and on other topics;
 - marketing and tie-up promotion with CDM or other GHG consultancy/financing organization;
 - offering/payment of commissions or other inducements for promotion or new business.
21. CEPREI's validation/verification/audit activities will not be outsourced to other organizations. Validation/Verification/Certification activity marketing is not related with consultant organization activities. If any consultant organization claims or indicates that CEPREI can make the validation/verification/certification simpler, easier, faster or cheaper, CEPREI will take actions to stop these inappropriate statements. CEPREI cannot make the similar statements for any consultant organization in its marketing either.
22. Any validation/verification/certification contract signed between CEPREI and any validation/verification/certification clients must not link the payment with certification conclusion.
23. CEPREI requires every employee to sign Impartiality and



Confidentiality Commitment when recruiting him/her, and notifies him/her of obligation to maintain impartiality and make commitment. CEPREI requires that work staff shall report to CEPREI in the case that their independence is threatened by the auditee, and CEPREI will take necessary actions to ensure independence.

24. Any auditor who provides consultancy service to an organization cannot participate in the certification for the same organization in two years.
25. Any validator/verifier who was previously associated with the CDM PPs in interest for any of the activities such as development, consultancy and/or financing, etc. or any other CDM unrelated activities cannot participate in the validation/verification/certification for the same project. If the above situation is found during the process of validation/verification, the possible adjustment of Validation/Verification Team will be conducted.
26. Auditors of CEPREI cannot provide internal audit service or detailed corrective action suggestions on non-compliances identified in validation/verification/audits to applicants.
27. All the internal and external people of CEPREI are required to inform any interest conflict possibly involving them or CEPREI; these people can only be used again when the interest conflict no longer exists.
28. CEPREI does not provide validation/verification/certification service to any organization that has unacceptable threat on the impartiality of



CEPREI, or to another certification body for its management system certification activities or CDM and other GHG project activities.

29. The other members of CEPREI Laboratory don't carry out conflicting functions, such as CDM consultancy, CDM financing. If the other members of CEPREI Laboratory are involved in the activities of CDM consultancy, CDM financing, CEPREI Certification Body will refuse these applications forever.
30. If the client has used the testing, one-to-one training or calibration services provided by other members of CEPREI Laboratory for its GHG project (including CDM), CEPREI Certification Body will reject these applications in the valid period of testing and calibration service, at least in two years.
31. CEPREI's management review and update risk analysis report annually and in the event of changes in interests conflict; they review actions taken including actions proposed in the report, actions documented in the procedure and/or other documents, corrective actions handling nonconformity identified or complaints related to impartiality; they determine the effectiveness of ensuring impartiality safeguarding process. Top Management determine the necessity to take further actions based on above information. Review records shall be maintained and usually incorporated into management review report.
32. All the analysis report, actions undertaken, identified NC and complaint



with regard to impartiality shall be reviewed by the MC. Based on the provided information combined with other necessary verification by MC member through such as on-site observation, interviewing with CEPREI staff and access to related files, the MC makes judgment on CEPREI impartiality safeguarding system and raises necessary advices or further action needs to CEPREI top management. The Management Committee at least organize one review of impartiality of audit, certification and decision-making processes every year.

33. The Management Committee reviews the information on the management of impartiality reported by CEPREI as required legally or by the accreditation body. This information should basically be all the relevant information generated between the last Management Committee meeting and the current one. When the information reported covers a different period of time from the one covered by the Management Committee review, CEPREI shall report any changes in the information during the gap to the Management Committee for an additional review as required by the accreditation body. The review approach will be decided by the Management Committee and mostly it will be a review via correspondence.
34. CEPREI shall not conduct both the validation and verification/certification of a CDM project activity or PoA, except in the situations allowed by the Validation and verification standard.





Chapter 6 Fund

35. CEPREI charges for its service but not pursue profit. The main source of its fund is payment for validation/verification/certification service, all of which is spent on the payment and welfares of employees and infrastructure construction of CEPREI. CEPREI does not accept sponsor in any forms that may have impact on the impartiality of validation/verification/certification decisions.
36. CEPREI bears the risk responsibility that may be caused by the validation/verification/certification activities, and reserve a risk fund no less than RMB 3 million Yuan for the possible compensation.
37. CEPREI won't take the GHG performance targets in financial terms or in terms of a specific number of projects to be validated / verified during a period of time.



Chapter 7 Supplementary Rules

38. If this charter has any conflict with national laws or regulations, the implementation should follow the national laws and regulations.
39. Interpretation right of this charter belongs to CEPREI's Management Committee.
40. This charter is effective after reviewed by the Management Committee.