

PROCEDURE FOR ROLES AND RESPONSIBILITIES

PURPOSE AND SCOPE

The purpose of this procedure is to define the authority and responsibility of the management and auditing personnel for validation or verification/certification of A6.4 projects.

This procedure is applicable to all personnel responsible for managing and implementation of A6.4 validation or verification / certification scheme services offered by EPIC.

DEFINITIONS

1. A 6.4 project - Projects under Article 6.4 mechanism or the Paris Agreement Crediting Mechanism
2. Validation - is the process of independent evaluation of a A6.4 project or A6.4 programme of activity by a Designated Operational Entity against the requirements of the A6.4 as set out in Decision 3/CMA.3
3. Registration- is the formal acceptance by the UNFCCC Supervisory Body of a validated project as a A6.4 project or A6.4 programme of activity.
4. Verification- is the periodic independent review and ex-post determination by the Designated Operational Entity of the monitored reductions in anthropogenic emissions by sources of greenhouses gases that have occurred as a result of a registered A6.4 project or A6.4 programme of activity during the verification period.
5. Certification- is the written assurance by the DOE that, during a specified time period, a A6.4 project or A6.4 programme of activity achieved the reduction or removals of anthropogenic emissions by sources of greenhouse gases as verified
6. Top management of EPIC: It includes the Board of Directors, Managing Director & Head of Operations.
7. Management of EPIC: It includes the Board of Directors, Managing Director & Head of Operations, Deputy Head of Operations and Quality Manager.

DETAILS OF PROCEDURE

8. The line of authority and responsibility of management personnel responsible for managing and implementation of A6.4 Validation, Verification / Certification Scheme is shown in the organization structure. Refer to latest version of A6.4/DOC/01-02. The roles and responsibilities of all the personnel are defined below.
9. The names, qualifications and experience and terms of reference of the top management personnel and other management personnel responsible for EPIC's validation and verification of A6.4 Projects or A6.4 programme of activities can be identified in their respective CVs, internal memo/circulars and appointment letters.

10. Board of Directors

- 10.1 Is responsible for approval and appointment of key management personnel including the Managing Director & Head of Operations of EPIC.

- 10.2 Is responsible for the formulation and development of policies relating to the operations of EPIC.
- 10.3 Generating business leads
- 10.4 Approval of contractual agreements with clients
- 10.5 Supervision of finances, administrative matters and dealing with other contractual matters and arrangements
- 10.6 Shall maintain a record (A6.4/FOR/19-01) of all the judicial processes against EPIC.
- 10.7 Is responsible for final approval of the validation / verification opinions and reports as an administrative control based on the clearance from the Technical reviewer of the project prior to submission to the A6.4 Supervisory Body.
- 10.8 Liaising with the UNFCCC secretariat on operational / management / policy issues pertaining to EPIC.

11. Managing Director & Head of Operations

- 11.1 Is responsible for providing sufficient and competent resources for the implementation of the Validation, Verification / Certification scheme and any other services offered by EPIC.
- 11.2 Is responsible for approving and submitting the Annual Activity Report to the A6.4 Supervisory Body.
- 11.3 Is responsible for supervision and implementation of company policies including administrative and contractual matters.
- 11.4 Is responsible for leading management review of the company's activities.
- 11.5 Has the supervisory responsibility for operations of the company.
- 11.6 Is responsible for formulation and development of policy matters relating to the operations of the company.
- 11.7 Is committed to development and implementation of quality management system in line with policies formulated and documentation of policies and procedures and their implementation
- 11.8 Is responsible for the supervision of both internal / external personnel performing validation and/or verification activities
- 11.9 Appoints a member of management as a A6.4 Quality Manager to implement overall quality management system.
- 11.10 Is committed to safeguarding impartiality in the validation and/or verification/certification functions which are evidenced through institutional structure and impartiality policy & procedures and their implementation and manage impartiality related activities.
- 11.11 Is responsible for appointing Impartiality committee members in case the balance of the impartiality committee is affected due to any reasons (eg. Resignation of members). To ensure balanced representation based on EPICs relevant procedure.
- 11.12 Is committed to the implementation of the A6.4 validation and/or verification/certification functions
- 11.13 Is involved in the decisions relating to disputes and complaints.
- 11.14 To manage meetings of Auditor Evaluation Panel.
- 11.15 As part of the Auditor Evaluation panel to ensure that the auditors (including external resources/Subcontractors), technical reviewers and technical experts are qualified in accordance with relevant accreditation requirements
- 11.16 Is responsible for selecting audit teams for conducting validation / verification (Lead Auditor, Auditors, Trainee Auditors, Internal Technical Reviewer, Technical Experts and Financial Experts as necessary).
- 11.17 Review and approve the updation of the procedures and policies submitted by the management.
- 11.18 To verify and approve contract reviews with potential clients.

- 11.19 To evaluate the competence of audit personnel with the inputs from Lead Auditors.
- 11.20 Is responsible for approving the initial evaluation or periodic evaluation.

Note: Functions related to the designation under section 01 of A6.4/DOC/04-06 shall be performed subject to fulfillment of qualification criteria.

Note: In case of non-availability of Head Operations, this role will be performed by the designated Deputy Head of Operations

12. Legal Advisor

- 12.1 Shall provide legal input to the management as and when required

13. Accreditation advisor

- 13.1 Assist EPIC seeking accreditation in new GHG standards/programs
- 13.2 Shall provide accreditation input to the management throughout the accreditation cycles.

14. Quality Manager

- 14.1 Ensures that the internal procedures related to the requirements of A6.4 accreditation standards and other requirements of Accreditation bodies are established, documented, implemented and maintained on a continuous basis.
- 14.2 Report to the management on the performance of the QMS
- 14.3 Report to the management on the need for improvements
- 14.4 Preparation and Periodic review of updating of all documents to ensure interlinking and consistency and shall be responsible for control of records.
- 14.5 Inform the Managing Director & Head of Operations in case the balance of the impartiality committee is affected due to any reasons (eg. Resignation of members).
- 14.6 Monitor correction and corrective actions taken by the relevant personnel on issues raised through external/ internal audits, internal and external feedback mechanism and evaluate their effectiveness.
- 14.7 Monitoring, updating and disseminating decisions made by CMA and the Supervisory Body.
- 14.8 Will ensure that as and when changes in standards and requirements related to A6.4 takes place, the same would be communicated to Managing Director & Head of Operations and initiate and complete appropriate actions to ensure adherence.
- 14.9 By periodic review, develop and propose changes to EPIC A6.4 Procedures on an ongoing basis to ensure continual compliance with the CMA, A6.4 Supervisory Body and internal requirements.
- 14.10 To prepare and submit the Annual Activity Report to Managing Director & Head of Operations for approval prior to submission to the A6.4 Supervisory Body.
- 14.11 To identify training needs for auditing staff to ensure that on-going competence of EPIC A6.4 auditors and audit teams for the scope of activities undertaken is maintained.
- 14.12 To facilitate Management Review, Impartiality committee meetings and coordinate planned internal audits.
- 14.13 To maintain files and up to date records related to management personnel and auditing personnel (internal/ external).
- 14.14 To perform Quality Check for validation and verification activities carried out, if necessary.
- 14.15 Is responsible for Managing client files
- 14.16 Managing international stakeholders' consultation and ensure that all comments are passed on to the audit team for further consideration and necessary follow-up.

- 14.17 Is responsible for publishing the validation and verification reports to UNFCCC using the DOE interface provided to EPIC
- 14.18 When the Quality Manager is part of the audit team for a project being audited, a senior lead auditor, who is independent of the project, shall take the role of Quality Manager. The lead auditor shall perform the duties of Quality Manager for that project only.

Note: Functions related to the designation under section 01 of A6.4/DOC/04-06 shall be performed subject to fulfillment of qualification criteria

15. GHG Program Coordinator

- 15.1 Assist the Managing Director & Head of Operations in preparing contract review for A6.4 project enquiries.
- 15.2 Submitting Proposals / Quotations to prospective clients.
- 15.3 Follow up with prospective clients, negotiation and closing of business deals. Managing client database
- 15.4 Scheduling of Validation and Verification activities and site visits
- 15.5 Preparation of Notification Letter to intimate the proposed audit team to the client

Note1: Coordinator can also be an auditor who is not participating in the particular audit

Note2: Functions related to the designation under section 01 of A6.4/DOC/04-06 shall be performed subject to fulfillment of qualification criteria

16. Accounts & HR Executive

- 16.1 Raising invoices for the services provided as per the signed contract/agreement terms
- 16.2 Keeping the complete record of account receivables
- 16.3 Collection of payments from clients
- 16.4 Preparing for statutory compliance and necessary tax filings
- 16.5 Preparation of annual accounts
- 16.6 Liaising with external service providers and government agencies
- 16.7 Reporting to Management
- 16.8 Identification of technical and non-technical resources and completing the engagement formalities.

17. Appeals panel

The Appeals panel is established by the Board of Directors if there is any appeal made against any of the Validation and Verification decisions. The details of the appeals process are given in handling Appeals, Complaints and Disputes Procedure (A6.4/PRO 15). Decisions relating to appeals, disputes and complaints will be taken by the Appeals panel.

18. Auditor Evaluation panel

The Auditor Evaluation Panel is established to maintain the necessary competence of all Auditors, Technical experts, Technical Reviewers and Evaluators as per latest version of A6.4 Accreditation Standard. The panel shall strictly abide by the competency requirements as detailed in the relevant procedures based on the standards. Also, the panel can approve the revision of the relevant documents and procedures, if applicable,

due to changes or inconsistencies in procedures in comparison to standard requirements. The panel consists of management personnel of EPIC. The composition, terms of reference and scope for the panel are defined in A6.4/DOC/04-12.

19. Impartiality Committee

Impartiality committee is established to safeguard the impartiality at all levels of the organization. The terms of reference of impartiality committee and its rules of operation are defined in A6.4/DOC/22-03.

20. Lead Auditors/ Auditors / Trainee Auditors /Senior Lead Auditor

- 20.1 An individual who has been qualified in GHG specific program/schemes scheme by the Auditor Evaluation Panel to participate/lead the audit team/carry out audits as assigned.
- 20.2 The Lead Auditors shall report to the Managing Director & Head of Operations
- 20.3 Auditors, Trainee Auditors shall report to the respective Lead Auditor of the project.
- 20.4 Validation and/or verification/certification reports will be prepared by lead auditors

Note1: Lead Auditors / Auditors / Trainee auditors can be both full time and part time.

Note2: In case of part-time service, the activities would be based on the “use of external individuals and outsourcing” procedure (A6.4/PRO 10)

21. Technical Experts

- 21.1 An individual who has been qualified in specific technical areas by the Auditor Evaluation Panel to participate and assist the audit team as assigned.
- 21.2 The Technical Expert shall report to the lead auditor and is periodically evaluated by the Lead auditor of the project.

Note1: The candidate if qualified for financial expertise can be included as expert for assessing financial additionality.

Note2: In case of part-time service, the activities would be based on the “use of external individuals and outsourcing” procedure (A6.4/PRO 10)

22. Technical reviewer

- 22.1 An individual who has been qualified in specific technical areas by the Auditor Evaluation Panel to independently review the draft final validation/verification report.
- 22.2 The technical reviewer is under the supervision of the Managing Director & Head of Operations and the roles and responsibilities are defined in their Job Description.
- 22.3 The technical review can also be done by a team in which case the technical reviewer having GHG knowledge is assisted by a sector (technical area) expert as relevant to the A6.4 project or programme of activity.
- 22.4 Is responsible for taking final decision of the validation and verification opinions and reports.

23. Legal Expert

- 23.1 An individual who has been qualified as legal expert by the Auditor Evaluation Panel to participate and assist the audit team as assigned.
- 23.2 The legal expert shall report to the lead auditor and is periodically evaluated by the Lead auditor of the project.

Note1: In case of part-time service, the activities would be based on the “use of external individuals and outsourcing” procedure (A6.4/PRO 10)

24. Host Country Expert

- 24.1 An individual who has been qualified as host country expert by the Auditor Evaluation Panel to participate and assist the audit team as assigned.
- 24.2 The host country expert shall report to the lead auditor and is periodically evaluated by the Lead auditor of the project.

Note1: In case of part-time service, the activities would be based on the “use of external individuals and outsourcing” procedure (A6.4/PRO 10)