



their information disclosure obligations in accordance with the law.

- (2) Coordinating the relationship between the company and investors, receiving investor visits, answering investor inquiries, and providing investors with information disclosed by the company;
- (3) Preparing board meetings and general meetings of shareholders in accordance with legal procedures, preparing and submitting the documents of the board of directors and shareholders' meeting to be reviewed;
- (4) Participating in board meetings, making meeting minutes and signing;
- (5) Responsible for the confidentiality work related to the company's information disclosure, and formulating confidentiality measures and encouraging all members of the company's board of directors and relevant insiders to keep secrets before the relevant information is formally disclosed;
- (6) Responsible for keeping the company's shareholder register, directors' register, information of company stocks held by controlling shareholders and directors, supervisors and senior management personnel, as well as meeting documents and meeting minutes of the board of directors, shareholders' meeting;
- (7) Assisting directors, supervisors and senior management personnel in understanding relevant laws, administrative regulations, departmental rules, listing rules, other provisions of the stock exchange and the company's articles of association;
- (8) To urge the board of directors to exercise its functions and powers; when the resolutions proposed by the board of directors violate laws, administrative regulations, departmental rules, listing rules, other provisions of the stock exchange and the company's articles of association, it should remind the directors of the meeting and proposing supervisors attending the meeting to voice their opinions. If the board of directors insists on making the above resolution, the secretary of the board of directors shall record the opinions of the relevant supervisors and their opinions on the meeting minutes;
- (9) Other duties required by the Company Law.

### 2.2.3. Rights and Responsibilities

#### 2.2.3.1. Top Management

CTC Top management should put in appropriate measures to ensure that the organizations at all levels understand, implement and maintain the policy.

CTC top management level is constituted by the general manager, management representative and general manager of Certification & Assessment Center. (See the attached personnel resume and organization chart in Quality Manual).

**Top management authority and responsibility are as follows:**

- (a) Formulation and development of policy matters relating to the operations of the AE/DOE;
- (b) Establishment of quality management system in line with policies formulated;
- (c) Documentation of policies and procedures and their implementation;
- (d) Supervision and monitoring of implementation of policies and procedures;
- (e) Supervision of finances, administrative matters and dealing with contractual matters and arrangements;
- (f) Final decisions on validation and/or verification/certification;
- (g) Decisions relating to disputes and complaints; and
- (h) Provide adequate and competent human resources for CDM validation / verification activities.

The authority responsibility of CTC's Top Management is as follows:

Role	Authority and Responsibility
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Role	Authority and Responsibility
General Manager	a) Implement national laws and regulations, EB requirements to validation / verification institute and CTC management committee (impartial committee) decision; b) Formulate CTC quality policy, objectives and commitment, and ensure their understanding, implementation and maintenance at all levels; c) Make final approval of the relevant policy documents of CTC CDM validation / verification operation; d) Configure and wholly manage and operate resources required by CDM validation and verification. Maintain financial stability; e) Approval and issuance of Quality Manual; f) Preside over or authorize management representative to preside over the management review; g) Appoint management representative; h) Authorization to perform the general manager duty in some activities if necessary. i) Approval of validation and verification report
Management Representative	a) Monitor the implementation of policies of quality and human resources; b) Establish, implement and maintain a quality management system in line with policies formulated. c) Review public files and Quality Manual, approval and issuance of Procedure Book; d) Appoint Quality Manager of CCP; e) Responsible for collecting and handling the information of appeals, complaints and disputes. Report the major events to the general manager timely; f) Manage all activities related to the safeguarding of the impartiality of DOE functions; g) Other things are assigned by the general manager.
General Manager of Certification & Assessment Center	a) Supervision and monitoring the implementation of policies and procedures; b) Ensure adequate and competent human resources for the CDM validation / verification activities; c) Propose, develop and improve the relevant policy documents of CDM quality and human resources; d) Supervise finances, administrative matters, and deal with contractual matters and arrangements. e) Appoint management personnel of CCP; f) Approve the implementation of technical documents and issuance range; g) Approval of validation and verification report. h) Other things are assigned by the general manager.

If CTC management level, key employees and organization structure changed, the TM-CCP shall inform the Secretariat of the UNFCCC in advance. If there is a sudden significant change, QM-CCP should inform secretariat of the UNFCCC within 10 days after the change. If the changes involved TM-CCP, QM-CCP is responsible for informing

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Title	Liabilities and Authorities
Validation and verification/certification Personnel	a) Abide by the company's rules and regulations, confidentiality and impartiality requirements; b) Conduct validation or verification/certification activities in accordance with the requirements in CMP decisions, the Validation and verification standard, the Project cycle procedure, other Board decisions, and CTC requirements; c) Apply and maintain technical qualifications according to CTC procedures; d) TL is responsible to prepare a validation and verification/certification plan, and define and document the task allocation among validation or verification/certification team members; e) For the validations and verifications/certifications the following personnel, at the minimum, shall participate in the site visit:  (i) The team leader; (ii) The team member(s) qualified in the technical area(s) of the CDM project activity or PoA being validated or verified/certified.

*Remarks: The resumes of the above personnel see Chart-1 Appendix I Organizational Structure of the manual and personnel CVs.*

#### 2.2.3.2.2 Financial Department

Independent from CCP Department;  
 Responsible for CDM validation / verification income, income reception and invoice issuance;  
 Responsible for paying the relevant accreditation fees for DOE application;  
 Responsible for issuance of operation cost for CCP;  
 Responsible for management of reserves of certification services against financial risks;  
 Assistant budget issues of CCP and identification/mitigation financial risks arising from CDM certifications;  
 Finish other works assigned by the General Manager.

#### 2.2.3.2.3 CTC Other Certification Departments

Other CTC certification departments engage in domestic 3C certification or product certification, and shall not interfere with CDM related business of CTC, and shall not participant in any identification, development, finance and consulting activities of (potential) CDM PAs. Current laboratory testing services of Certification Departments are all about building material products and irrelevant to CDM PAs. If these departments intend to explore new services, they shall report to top Management of CTC, and interest conflicts analysis between new services of other Certification Departments and CDM service of CCP should be considered and conducted.

### 2.3. Quality Management System

#### 2.3.1. General Requirement

CTC has established and documented CDM Quality Management System according to CDM M&P and CDM Accreditation Standard for operation entity. CTC shall ensure the appropriate

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