



Human Resource Management

1-ICDM Recruitment Procedure

A. Introduction

This recruitment procedure is to ensure the personnel recruited in CCP meet the competence requirements according to the valid version of the document Personnel Qualification Standard in the Quality Manual.

Content/Process

Step	RP	Comments
(1) Inform Management Representative of recruitment proposal	TM-CCP	
(2) Publish Recruitment Information (3) Collect CV(s), standard resume form for CDM recruitment) and select shortlist applicant(s) for interview.	TM-CCP with support of human resources department	
(4) Review CV(s) of applicant(s) on the select shortlist.	TM-CCP	
(5) Conduct Interview referring to Personnel Qualification Standards (6) To recommend the recruitment, Send the completed Personnel Evaluation Report(s) (F-CDM-PER) to Management Representative for approval.	TM-CCP	
(7) Make final decision on the recruitment and send final opinion to TM-CCP. <i>If approved, proceed with the following steps, otherwise terminate.</i>	Management Representative	
(8) Arrange signing contract(s) (9) After signing contract(s), inform OC-CCP to update record system	TM-CCP with support of human resources department	
(10) Update Record System with: a) CV(s) b) PER(s) c) Employment Contract(s)	OC-CCP	



1-2 CDM Personnel Training Procedure

Background

Appendix A to the CDM M&P:

An applicant entity shall make available: Its policy and procedures for the recruitment and training of operational entity personnel, for ensuring their competence for all necessary functions for validation, verification and certification functions, and for monitoring their performance.

1 Introduction

The procedure for training is established as per the relevant requirements of Appendix 2 and 3 to the CDM M&P and CDM Accreditation Standard for Operational Entities (version 07.0).

The procedure for training is established as a part of human resource management and quality management system for validation, verification/certification functions of CTC CCP.

Training stated in this procedure refers to technical course, training programme, and/or on-the-job training, as appropriate.

2 Identifying Training Needs

The Technical manager is responsible for identifying training needs for CDM personnel (internal and external) in CTC. Training needs should be assessed on a regular basis, i.e. at least once a year for each CDM personnel (internal and external).

Training needs could be identified in the following occasions, but not limited to,

- a) While annual personnel performance evaluation , possible feedback of training needs from individuals;
- b) When training could be applied to fill the gap of competence, while assessing competence of personnel applying for qualification for certain CDM function as per the Personnel Qualification Standard (Quality Manual) ;
- c) While annually reviewing CDM personnel qualifications as per the Qualification Maintenance Procedure (DPB, section 1-4, 1-5, 1-6);
- d) While training could be applied to address findings or non-conformities in periodic operation/management review, internal audits (Quality Manual, section 2.5; DPB, section 7);
- e) While training could be applied to circulate information of incompleteness check, request for review and others from the UNFCCC secretariat, as well as updates of CDM requirements, etc.

For qualification (including evaluation, qualification, monitoring of performance, maintenance of qualification) of personnel (both internal and external individuals) who performing CDM functions in CTC, the “Personnel Qualification Standard” section and the “Personnel Qualification Procedure” section of valid CDM quality manual and Document Procedure Book shall be referred to identify training needs in terms of technical course, training programme, and/or on-the-job training as appropriate.

For maintenance of competence of CDM personnel, updates of CDM



rules/requirements (e.g. EB meetings, DNA's publications) and climate change mitigation technology shall be checked on a regular basis by the Technical Manager who needs to put the updates into materials and deliver it to CDM personnel by means of training as appropriate.

3 Training plan

Once training needs are identified, a training plan should be prepared by the Quality Manager with technical assistant from Technical Manager.

4 Implementation of training plan

The training plan after being finalized through appropriate discussion/communication shall be implemented accordingly. QM-CCP and TM-CCP are responsible for coordinating the training plan. Internal or external trainers may be introduced to provide the implementation of the training, including the technical inputs, root cause analysis, case study, etc.

5 Records and review of effectiveness of training

Information of each training implemented, in terms of why, what, who, when, where and how, should be recorded in Annual Training implementation record (F-CDM-TIR). Effectiveness of each training implemented should be reviewed at least twice, one is at the end of the training, by means of oral exam/written exam/test or feedback from trainer, or other appropriate methods based on training content, All relevant records should be kept in the Server of CCP. The OC-CCP should coordinate in time updating and/or uploading of training records.



1-3 Employing External Personnel Procedure

1. Introduction

This procedure is for using external technical personnel (validator, verifier, technical area expert, and technical reviewer) to supplement internal resources of CCP and to ensure the external personnel meet the requirements of Personnel Competence Standard.

2. Content

Step	RP	Comments
(1) Identify the needs for employing external personnel, draft the Terms of Reference (ToR)	TM-CCP	
(2) Publish ToR (3) Collect and Screen CV(s) from applicants	OC-CCP	
(4) CV desk review	TM-CCP / selected TL	
(5) Conduct interview (6) Send <u>Personnel Evaluation Report (F-CDM-PER)</u> to Management Representative	TM-CCP / QM- CCP	
(7) Make final decision on the recruitment and send final opinion to QM-CCP and TM-CCP	Management Representative	
(8) Arrange <u>contract</u> signing and <u>Confidentiality and Impartiality Agreement</u> , complying with the CTC's applicable policies and procedures with the external personnel (9) Update Record System a) <u>F-CDM-PER</u> b) Contract/Agreement(s) c) CV(s) d) <u>Confidentiality and Impartiality Agreement</u>	TM-CCP with support of human resources department	



1-4 CDM Technical Personnel Qualification/Evaluation Procedure

1. Introduction

The procedure that refers to the *Personnel Qualification Standard* (refer to QM) is established and maintained for the purpose of CDM technical personnel evaluation, qualification, and monitoring performance, qualification maintenance, and periodic requalification of Auditors under Training (AUT), CDM Validators/Verifiers, Technical reviewers, CDM Validation and/or Verification Team Leader, and Technical experts.

2. Definitions

Participation in validation or verification activities means carrying out the desk review and reporting, or carrying out the on-site audit. Each staff member is evaluated with respect to the activities he or she has participated in.

Technical Manager, with assistance of team leader, is responsible for assessing the performance of technical personnel for whose qualification application and/or maintenance.

3. CDM technical personnel evaluation, qualification

For technical experts, CTC shall have at least one person qualified for each technical area that CTC has been accredited for (TA 1.1; TA 1.2; TA 2.1; TA 3.1; TA 4.1; TA5.11; TA5.2; TA 6.1; TA9.1; TA9.2; TA10.1; TA11.1; TA11.2; TA 13.1; TA 13.2; TA14.1; TA 15.1; TA16.1) to participate in the validation, verification/certification and at least one person qualified to participate in technical review.

The Quality Manager, with assistance of internal or external resources such as expert from academic, institutes, as appropriate for specific technical area that QM do not have competence, identifies, initiates and performs the assessing as part of the Human resources management of CTC.

The Quality Manager, with necessary assistance, referring to the document *Personnel Qualification Standard* prescribed in the Quality Manual reviews applications (see *Technical Personnel Qualification Application Form (F-CDM-QAF)*) including performance assessment from team leader as applicable. The Quality Manager will assess¹ the staff member as per requirements stipulated in Personnel Qualification Standard based on the following inputs:

- Personnel records including, but not limited to, curriculum vitae detailing work experience and education;
- Mentoring activities;
- Training programmes;

Examinations (“examination” may include a range of evaluation methods, such as conducting interviews, evaluating past performance in validation or verification/certification activities, on-the-job observation of performance, and

¹ Interviews may be applied in the process of qualification to the procedures of personnel qualification, and stipulate requirement of records.



written examinations) and others, as appropriate.

For technical experts, the following should be met:

- The technical experts are qualified by CTC;
- The credentials of the technical experts (curricula vitae, records, etc.);
- written consent from the technical experts that they are available whenever there is a specific validation or verification activity has been received;
- CTC has a contract with the technical experts prior to undertaking a specific validation or verification activity;
- the technical experts comply with all other requirements of the procedure.

For candidates who need to get relevant qualification by on-the-job supervision, the CDM-Personnel Assessment Form (F-CDM-PAF) should be completed by the supervisor.

After reviewing, the Quality Manager will send the Technical Personnel Qualification Application Form (F-CDM-QAF) to Technical Manager. The Technical Manager is responsible for assessing the qualification of personnel based on relevant information and assessment from the Quality Manager. The qualification will be recorded in the document Personnel Qualification Matrix. All the evaluation records shall be archived on the CTC internal server.

Monitoring performance, maintaining qualification and periodic requalification of technical personnel

Monitoring Performance

The Quality Manager, with necessary assistance, is responsible for ensuring that each qualified personnel is assessed on a yearly basis. The Quality Manager is responsible for performing this continuous performance evaluation as part of the Human resources management of CTC.

The Quality Manager, with necessary assistance, will assess the staff member based on the following input:

On-the-job performance evaluation:

-Proactive input: for all personnel, continuous on-the-job performance should be conducted yearly. For personnel qualified by an examination that does not consist of a real validation and/or verification/certification, an on-the-job performance evaluation of the first validation or verification should be conducted.

- Reactive input: if after a notification by a customer or project team leader, the Quality Manager, with necessary assistance, finds reasonable indications that an auditor is showing poor performance in on-site audits, a team leader will be appointed to accompany the auditor in one of the next 2 on-site audits. All project team leader/technical reviewers are responsible for notifying the Quality Manager, with necessary assistance, if an AUT/CDM Validator/verifier or technical reviewer is demonstrating poor performance or repeated lack of understanding of requirements.



The assessment will be implemented via the quantitative and/or qualitative criteria. The on-the-job performance could be implemented by appropriated evaluation method; typical methods include review of validation/verification reports, on-site observation, interview and/or feedback from stakeholders.

Quality Manager, with necessary assistance, will fill in Personnel Evaluation Report (F-CDM-PER) which will be sent to the Technical Manager.

The Quality Manager, with necessary assistance, will record the assessment in CTC's human resources management database.

Qualification Maintenance and Requalification

For qualification maintenance, the Quality Manager, with necessary assistance, performs an annual evaluation of the performance of the technical personnel. The qualification period is three years.

For requalification, the Quality Manager is responsible for the requalification through the following methods:

- (a) Review of personnel records, mentoring or training; and
- (b) An examination, may including a range of evaluation methods, such as conducting interviews, on-the-job observation of performance, written examinations.

The CDM-Personnel Assessment Form (F-CDM-PAF) should be completed by the supervisor.

Based on the assessment, the Quality Manager will issue a recommendation on whether or not to re-qualify the staff member. The recommendation is to be sent to Technical Manager.

The qualification of technical personnel will be revised at least once a year and will be recorded in the document *Personnel Qualification Matrix*.

In cases where requalification is not recommended, the Technical Manager is required to carry out a second consideration of the assessment input.

The complete qualification records should be maintained and reviewed yearly.

1-5 CDM Management Qualification/Evaluation Procedure

1. Introduction

The procedure that refers to the *Personnel Qualification Standard* is established and maintained for the purpose of CDM management functions personnel evaluation, qualification, and monitoring performance of Technical Manager, Quality Manager, Business Manager and Operation Coordinator who collectively perform management functions as required in Accreditation Standard.

2. Management functions personnel evaluation, qualification



In order to meet requirements of management functions as stipulated in Accreditation Standard, and enhance competence of CDM validation and verification activities in CCP, top management of CTC appoint management functions personnel by evaluation and qualification.

The **Management Representative** referring to the *Personnel Qualification Standard* in QM reviews applications (see Managers-Level Personnel Annual Report). The **Management Representative** will assess the personnel as per requirements stipulated in the *Personnel Qualification Standard* based on the following inputs as applicable:

- Educational background;
- Working experience;
- Training;
- Experience in project management or consultancy;
- Participation in validation or verification activities;
- Others, as appropriate.

Based on the assessment, the **Management Representative** will issue a recommendation on whether or not to qualify the applicant. The recommendation is to be sent to General Manager along with the package of documents included in the application.

The General Manager is responsible for assessing the qualification of personnel based on relevant information and recommendation from the **Management Representative**. The qualification will be recorded in the document Personnel Qualification Matrix kept on the CTC internal server.

3. Monitoring performance

Top management of CTC monitors performance of appointed (qualified) management functions personnel through following inputs as applicable:

- Annual self-assessment of management functions personnel
- Output of annual internal audit
- Output of annual management review

1-6 Initial competence analysis procedure

1.Objective

The initial competence analysis is to identify and determine the required competence related to its validation and/or verification/certification functions, in each sectoral scope for which the DOE has applied for accreditation or has been accredited, and for each technical area in which it intends to operate or operates.

2.Scope

The initial competence analysis provide competence criteria for the following DOE functions:

- (a) Management personnel responsible for the DOE's validation and/or verification/certification functions;



(b) Validation and verification/certification personnel.

3. Implementation

The initial competence analysis is initially conducted at the time of quality manual drafting. The QM 3.1.3 and 3.1.4 has defined the competence and criteria for each functional role.

The initial competence needs to be revisited every two year during the internal audit and updated as per latest accreditation standard.

1-7 CCP Function Evaluation Procedure

1. Objective

The objective of this procedure is to enable CTC to ensure that the determined competence of the resources remains adequate for validation and/or verification/certification functions in CTC.

2. Scope

The procedure determines specific competence requirements for each CDM function within CTC, based on analysis taking into account each technical area in which CTC intends to operate (or operates), geographical locations of projects and expected volume of validation and/or verification/certification functions.

This procedure, by reference to the “**Procedure monitoring of designated operational entities**”, continuously monitors the performance of validation and/or verification/certification functions in CTC, through the monitoring, classification and rating of the non-compliances identified by the UNFCCC secretariat at the requests for registration, issuance or post-registration changes submitted by CTC. It should at least annually evaluate the adequacy of the determined competence for the same functions.

The procedure evaluates adequacy of competence based on the performance of validation and/or verification/certification functions in CTC, includes the performance of validation or verification team members, and future business projects.

3. CCP Function Evaluation

3.1 Determined adequacy of competence in CDM functions based on future business projections: CTC is to annually review the volume of CDM business for the last year y-1 in CTC and related CDM market, during management review and budget meeting. Business projection of the year y is then determined by the end of March of the year y, taking into account of available resources of competence and the valid version of man-day table. Recruiting (1-1 CDM Recruitment Procedure), training (1-2 CDM Personnel Training Procedure) and qualification procedures (1-4 CDM Technical Personnel Qualification/Evaluation Procedure and 1-5 CDM Management Qualification/Evaluation Procedure) might be triggered when additional competence is required to cover the business projection.

3.2 Determined adequacy of competence in CDM Management functions based on “1-5 CDM Management Qualification/Evaluation Procedure” and CDM Technical function based on “1-4 CDM Technical Personnel Qualification/Evaluation Procedure”.



CTC is to annually review through annual internal audit and annual management review. Consequent Recruiting (1-1CDM Recruitment Procedure) and training (1-2 CDM Personnel Training Procedure) might be triggered when competence of CCP management is required to supplement. For Managers of CCP who may not have enough knowledge and experience in CDM, they should be participating in on-the job training, besides other planned trainings on CDM knowledge during the 1st business year after accreditation. Whether they have competence to conduct their duties solely will be discussed in the annual internal audit meeting and management review meeting; if not, they will continue the on-the-job training, i.e. participate in CCP function with other experienced manager until the next annual internal audit meeting and management review meeting.

3.3 Quality manager is responsible for monitoring issues observed in internal technical review process (*3-6 Validation/Verification Report*) based on the statistics of Internal Technical Review (F-CDM-ITR-VAL/VER) of overall technical personnel of CCP. Training (*1-2 CDM Personnel Training Procedure*) could be triggered when issues in the same category repeatedly occurred.

3.4 Each issue received from the UNFCCC secretariat of requests for registration, issuance and requests for post-registration changes submitted by CTC is to be recorded and analyzed as per the process of “responses to requests from EB” and the “*7-2 Non-conformity, corrective and preventive actions management procedure*”. Quality manager is responsible for monitoring the performance of CDM functions in this regard. The top management will be informed for the pre-caution of insufficient competence observed by quality manager. Recruiting, training and qualification procedures, revision of management system might be triggered accordingly.

3.5 TM-CCP – draft *CCP Annual Function Evaluation Report* based on section 3.1~3.4 of the Procedure; Initiate appropriate procedure according to the result of the evaluation. (e.g. identify needs of qualified personnel for extension and accordingly conduct employment or qualification extension, qualification granting, personnel qualification matrix and etc. Update system recording file – function evaluation report and approval record)

Note: If TM-CCP finds that number of TA projects in a certain type have exceeded the expected for 100% or the total number of projects have exceeded the expected for 50% within a period less than one year after conducting the business, relevant following procedures could be initiated according to actual operation and CCP function evaluation. Identify needs of qualified personnel for extension and accordingly conduct employment or qualification extension, qualification granting, personnel qualification matrix and etc.