

A6.4-PROC-GOV-005

Procedure

Selection and performance evaluation of experts on the Article 6.4 mechanism accreditation roster of experts

Version 01.0



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1. Introduction

1.1. Background

1. Paragraph 70 of annex II to decision 7/CMA.4 (hereinafter referred to as the rules of procedure of the Supervisory Body) stipulates that the Supervisory Body of the mechanism established by Article 6, paragraph 4 of the Paris Agreement (hereinafter referred to as the Article 6.4 mechanism) may establish the expert groups comprising internal or external experts, such as committees, panels, working groups and/or rosters of experts as required, to assist it in performing its functions and achieving its objectives.¹ The Supervisory Body, at its eighth meeting (SB 008), adopted the “Article 6.4 mechanism accreditation procedure (version 01.0)”, which has the provision to establish the “Procedure for selection and performance evaluation of experts on the Article 6.4 mechanism accreditation roster of experts (ARoE)”.²

1.2. Objectives

2. The objectives of this procedure are to elaborate detailed criteria and processes for the ARoE to be undertaken to ensure transparency and standardization in selection, appointment and performance evaluation of experts that are in line with the provisions of the Procedure: Terms of Reference of A6.4 mechanism experts³ (hereinafter referred to as the ToR).

2. Scope, applicability, and entry into force

2.1. Scope

3. This procedure contains the rules and actions that shall be followed and undertaken by the applicants for and experts on the ARoE, as well as the Article 6.4 mechanism Accreditation Expert Panel (AEP) and the secretariat to qualify experts for inclusion on the ARoE for specific accreditation assessments as per the Article 6.4 accreditation procedure and to evaluate performance of all experts on the ARoE.⁴

2.2. Applicability

4. This procedure is applicable to the applicants for and experts on the ARoE. The UNFCCC staff included in the ARoE are governed by the United Nations Staff Rules and Regulations. The ToR shall apply to UNFCCC staff to the extent that they are not inconsistent with the United Nations Staff Rules and Regulations.

¹ “Decision 7/CMA.4, annex II” is available at: <https://unfccc.int/sites/default/files/resource/a64-sb008-a03.pdf>

² Article 6.4 mechanism accreditation procedure” is available at: <https://unfccc.int/sites/default/files/resource/a64-sb008-a12.pdf>

³ “Terms of Reference of A6.4 mechanism experts” is available at: <https://unfccc.int/sites/default/files/resource/a64-sb003-a02.pdf>

⁴ “Article 6.4 mechanism accreditation procedure” is available at: <https://unfccc.int/sites/default/files/resource/a64-sb008-a12.pdf>

2.3. Entry into force

5. Version 01.0 of this procedure is effective as of 31 March 2024.

3. Normative references

6. This procedure should be read in conjunction with the following documents:
- (a) Rules of procedure of the Article 6.4 Supervisory Body;⁵
 - (b) Procedure: Terms of reference of A6.4 mechanism experts;
 - (c) Procedure: A6.4 mechanism accreditation procedure.

4. Definitions

7. The definitions contained in the “A6.4 mechanism accreditation procedure” shall apply.

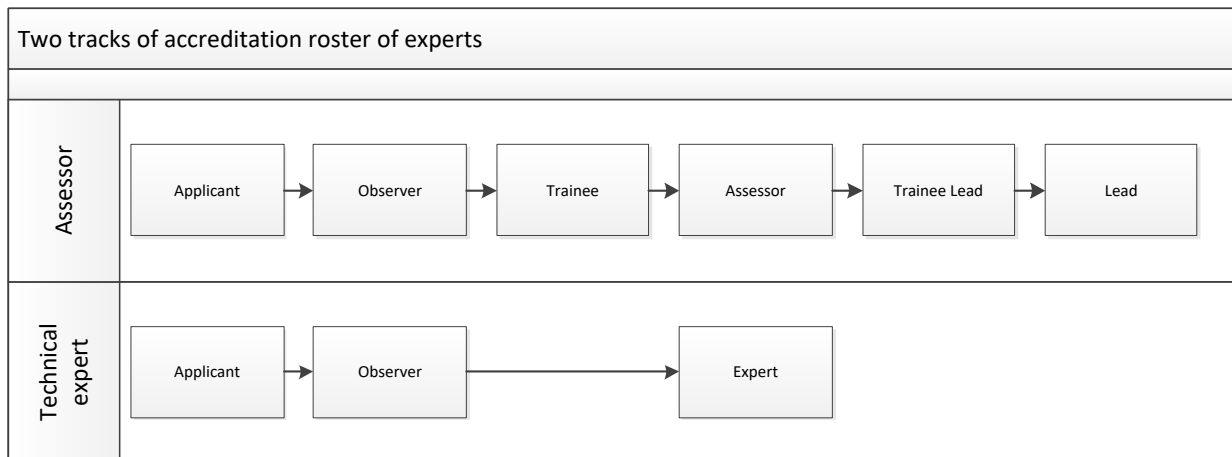
5. Membership

5.1. Status of experts on the roster

8. The experts included on the ARoE, based on their initial qualification and subsequent re-qualifications, shall be classified according to one of the following statuses:
- (a) Assessor track:
 - (i) Applicant assessor;
 - (ii) Observer;
 - (iii) Trainee Article 6.4 mechanism assessor;
 - (iv) Article 6.4 mechanism assessor;
 - (v) Trainee lead Article 6.4 mechanism assessor;
 - (vi) Lead Article 6.4 mechanism assessor;
 - (b) Technical expert track:
 - (i) Applicant technical expert;
 - (ii) Observer;
 - (iii) Article 6.4 mechanism technical expert.

⁵ “Annex II: Rules of procedure of the A6.4 mechanism Supervisory Body to the decision 7/CMA.4” is available at: https://unfccc.int/sites/default/files/resource/cma2023_10a02E.pdf#page=33

Table 1. Two tracks of accreditation roster of experts



9. Experts on the ARoE should maintain their knowledge and skills through on-going awareness of developments in the Article 6.4 mechanism rules and regulations, including the Article 6.4 mechanism modalities and procedures, Supervisory Body decisions, Article 6.4 mechanism methodologies, Article 6.4 mechanism accreditation standard, Article 6.4 mechanism accreditation procedure, Article 6.4 activity standard for activities, Article 6.4 validation and verification standard for activities and Article 6.4 activity cycle procedure for activities.
10. Experts on the ARoE should undergo a programme of continuing professional development, including participation in relevant workshops and/or training programmes related to the Article 6.4 mechanism every two years, or acquisition of related work experience or equivalent.

5.2. Code of conduct

11. In addition to abiding by the code of conduct of the Supervisory Body, applicable mutatis mutandis to the experts on the rosters, experts on the ARoE shall be free from any interest that may cause them to act in any way other than in an impartial manner. In this context the following mitigation measures shall apply:
 - (a) A person currently working for, with, or in an applicant entity/designated operational entity (AE/DOE) shall not be included on the ARoE;
 - (b) A person having any professional relationships with any AE/DOE within the last two years, other than a third-party conformity assessment, shall not be included on the ARoE;
 - (c) Experts on the ARoE working with activity developers, consultants, financing firms or activity participants shall not be appointed for an assessment of a specific DOE that provides validation or verification services regarding the Article 6.4 projects or programme of activities (PoA) that involve those activity developers or activity participants;
 - (d) All experts on the ARoE shall declare their impartiality at least once a year;

- (e) All experts on the ARoE shall declare any potential conflict of interest before undertaking an assessment of a specific AE/DOE.
12. Each member of an Article 6.4 mechanism assessment team (AT) for an assessment regarding a specific AE/DOE shall:
 - (a) Declare that she/he has not been employed by, or involved in consultancy activities for, the AE/DOE for a period of not less than two years prior to the start of the assessment;
 - (b) Declare that she/he and the organization she/he is employed in are not and have not been involved in the development, consultancy or financing of an Article 6.4 project or PoA validated or verified by the AE/DOE being assessed;
 - (c) Declare that she/he is not and has not been involved, in any capacity, in the registration or issuance process of the Article 6.4 project or PoA for which the AT is conducting a performance assessment;
 - (d) Declare any vested interest (especially any professional, financial or work-related interest) that she/he has or had with the AE/DOE that could cause him/her to act in any manner other than impartially;
 - (e) Not provide, while conducting the assessment and during any other steps of the accreditation process for the AE/DOE, any advice, consultancy or recommendation to the AE/DOE on how to address deficiencies identified in the assessment process;
 - (f) Acknowledge that all information received from the assessment is to be held in strict confidence and that such information will only be directed to the Supervisory Body, the AEP and the secretariat through the specific channels established by the Supervisory Body.
 13. Before rendering any specific service to the Supervisory Body or its support structure, including the secretariat, experts shall sign a statement confirming that they have no conflict of interest with respect to the specific assignment, and shall authorize the secretariat to make the statement publicly available, if required. As a minimum, these statements shall follow the language provided in Appendix 1 to this procedure.
 14. In order to ensure transparency in the selection of experts, experts shall authorize the secretariat to publish a summarized curriculum vitae, if required. The secretariat shall protect any confidentiality requirements.
 15. Experts on the ARoE shall report to the secretariat any other development that adversely affects their impartiality in conducting accreditation assessments in general, or for a specific AE/DOE or performance assessment for a specific Article 6.4 project or PoA.
 16. The secretariat shall conduct an impartiality analysis on an annual basis encompassing all experts on the ARoE. The secretariat shall use the outcomes of the analysis to establish measures to prevent the risk of experts on the ARoE not acting impartially in accreditation assessments.
 17. The secretariat shall notify the AEP on the mitigation measures established.

18. Services provided by the experts shall be governed by the applicable version of the relevant procedure and related documents. In providing services, the experts shall operate under the guidance of the Supervisory Body, the AEP and the secretariat and shall:
- (a) Ensure that the services are rendered to the requisite level of quality with all due care, skill and diligence within the time frame specified in the relevant procedure. The work shall be prepared using the applicable version of the template relevant to the A6.4 mechanism accreditation procedure, if applicable;
 - (b) Treat with strict confidentiality any non-public information that they receive in the course of providing services.

5.3. Qualification criteria

19. The experts on the ARoE shall fulfil the minimum qualification requirements as specified in the ToR and the detailed criteria for each of the categories of status, as elaborated in the Appendix 2 to this procedure.

5.4. Selection process

20. The secretariat shall launch a call for experts on the UNFCCC Article 6.4 website every two years for the selection of experts on the ARoE. Applications shall include, in addition to the United Nations Personal History Form (P.11), detailed working and/or scientific and technical experience. Calls may specify, if experts on the ARoE answer to the call by confirming their intention to remain as experts on the ARoE.⁶ Experts may be added through an additional call before the next call in the event that the appropriate expertise is not available. The selection process shall be open to both external experts and secretariat staff.
21. The selection of experts on the ARoE shall be made by the AEP. The size and composition of the ARoE shall be sufficient to cover the relevant needs. Selection shall be made taking into account regional balance and gender balance, as appropriate. Once experts have been selected, the secretariat shall maintain a database in the form of a roster of experts containing personal and contact details and records on educational and professional qualifications.
22. The AEP shall appoint two evaluators from among its own members. The evaluators shall evaluate applicants for the ARoE and prepare a recommendation for the AEP, with support from the secretariat.
23. The secretariat shall analyse the information provided in the application documents submitted by an applicant for the ARoE. If the secretariat considers that a candidate possibly fulfils the initial qualification requirements, the secretariat shall request the applicant to submit supporting evidence. The secretariat shall analyse it and submit a summary to the evaluators, with a recommendation to include the applicant on the ARoE or reject the application.
24. The two appointed evaluators shall concurrently and independently review the summary of the information and inform the secretariat on their conclusion on acceptance or rejection

⁶ The term of experts on the rosters shall be for a minimum period of two years, which can be renewed. Experts on the ARoE shall be kept on the roster until experts are selected in the next call.

of the proposal from the secretariat. If the two evaluators submit different conclusions, the secretariat will notify them of the different conclusions. In this case, the evaluators shall discuss the recommendation further between themselves in an effort to reach an unanimous conclusion. The evaluators may request the secretariat to send any evidence received or to seek further information to demonstrate that the candidate meets the qualification requirements.

25. The AEP, at its next meeting, shall consider the final conclusion of the evaluators and decide whether to include the applicant on the ARoE or reject the application.
26. Experts on the ARoE shall provide to the secretariat evidence related to any updates to their educational development, training activities undertaken and work experience relevant to the specific roles qualified and be subject to regular performance monitoring on their competence and qualification through evaluation process as specified in section 5.4.1 below.

5.4.1. Performance monitoring

27. The AEP provides oversight to the process of monitoring the performance of all experts on the ARoE and makes the final decision on the outcomes of the performance monitoring.
28. The monitoring of performance shall be undertaken as follows:
 - (a) Members of an assessment team will be monitored by the team lead;
 - (b) The team lead will be monitored by either a senior representative of the secretariat or another expert to be selected by the secretariat. In the latter case, the selected expert shall be qualified as a lead A6.4 assessor and shall have at least two years of lead assessor experience.
29. The following schedule of performance monitoring is established:
 - (a) Upon the completion of the expert's first participation as a team member;
 - (b) For a trainee A6.4 assessor: before being approved as an A 6.4 assessor;
 - (c) For an A6.4 assessor or technical expert: one on-site observation every two years;
 - (d) For a trainee lead A6.4 assessor: before being approved as a lead A6.4 assessor;
 - (e) For a lead A6.4 assessor: one on-site observation every three years or at the request of the AEP.
30. The secretariat shall share the findings from the performance monitoring report with the expert.
31. Where a performance evaluation identifies a need for improvement, the evaluated expert shall submit a proposal on how she/he intends to address all identified issues. The expert shall endeavor to implement the proposed measures and, upon completion of the measures, submit to the secretariat relevant evidence. The same evaluator who prepared the performance report shall re-evaluate the expert based on the evidence provided or through additional monitoring, depending on the type and significance of the issue(s) identified, as decided by the secretariat.

32. Where a performance evaluation identifies an unsatisfactory level of performance, the secretariat shall seek a second opinion, if possible, in the same assessment process or in another assessment process to confirm the evaluation. If the negative evaluation is confirmed, the secretariat shall inform the evaluated expert. The expert shall have seven days or be within the duration requested by the AEP, to respond in writing describing her/his views on the evaluation, including root cause analysis and proposed corrective actions. The expert shall have 30 days or be within the duration requested by the AEP, to submit the evidence on the implementation of the proposed corrective actions.
33. The AEP shall consider the results of the monitoring process, relevant evidence and responses, as applicable, and decide on one of the following options:
 - (a) Maintain the expert on the same roles qualified on ARoE;
 - (b) Withdraw the expert from the ARoE;
 - (c) Take any other appropriate actions.⁷
34. If an expert was not assigned to any accreditation assessment for more than 30 months or had been previously removed from the ARoE, the expert shall be subject to the performance monitoring on his/her first assignment.
35. Information obtained during the performance evaluation and its results shall be treated as confidential.

5.4.2. Suspension of membership

36. An expert may be suspended from a roster for the following reasons:
 - (a) She/he has failed to deliver work of the required level of quality and within the expected time frames; or
 - (b) She/he has been found to be in breach of the applicable provisions of the code of conduct as per section 5.2 above, including, the applicable provisions relating to conflict of interest; or
 - (c) She/he has been found to be in breach of the confidentiality requirements.
37. If an expert on the ARoE is appointed as a member of the Supervisory Body or the AEP, the secretariat shall place his/her membership on the ARoE "on hold" for the duration of his/her term of service on that body. On completion of that membership term the secretariat shall reinstate him/her on the ARoE after the corresponding evaluation by the AEP evaluators.
38. The secretariat shall undertake measures to safeguard the impartiality of the member during these transitions.

⁷ The appropriate actions may include the following, but are not limited to: reconduct the root cause analysis; repropose corrective actions; reimplement the proposed corrective actions; or downgrade his/her ARoE roles.

6. Modalities of work

39. The secretariat shall establish an AT for an assessment, selecting its members from the ARoE in accordance with the Article 6.4 mechanism accreditation procedure.
40. When establishing an AT, the secretariat shall take into account the following principles:
 - (a) Competence of the team: members of the AT shall collectively possess the necessary competence based on the characteristics of the AE/DOE, the sectoral scopes for which the AE/DOE is applying or is accredited, and the project activity or PoA associated with the assessment;
 - (b) Regional balance: to the extent possible, the AT should include experts from different regions in order to maintain regional balance and allow capacity-building in all regions;
 - (c) Use of resources: to the extent possible, all experts on the ARoE should be utilized in assessments, according to their expertise, while ensuring that a balance between external resources and secretariat staff is maintained;
 - (d) Language: to the extent possible, the AT should include an expert who has knowledge of the local language relating to the accreditation assessment.
41. The secretariat may attach an observer or a trainee A6.4 assessor to the AT. The cost of his/her participation as an observer in the accreditation assessment shall be borne by the secretariat. The rules pertaining to conflict of interest, impartiality and confidentiality for A6.4 assessors contained in this procedure, shall apply to observers and trainee A6.4 assessors.

Appendix 1. Statement of conflict of interest

1. I hereby declare that I do not have any professional, financial or other interest which could:
 - (a) Significantly impair my objectivity in carrying out my duties and responsibilities; and/or
 - (b) Create an unfair advantage for any person or organization.

Appendix 2. Qualification criteria

1. Experts of the Article 6.4 (A6.4) mechanism accreditation roster of experts (ARoE) shall fulfil the following minimum requirements and detailed criteria as elaborated.
 - (a) An A6.4 mechanism technical expert shall:
 - (i) Demonstrate work experience in the relevant industry, methodological work in activity-based mechanisms, A6.4 activity management, A6.4 activity assessment or consultancy;
 - (ii) Have knowledge of A6.4 mechanism accreditation requirements, A6.4 mechanism methodologies, applicable legal regulations, sampling/statistics, A6.4 sustainable development tool, investment analysis, and Supervisory Body's decisions;
 - (iii) Have an advanced university degree (Master's) or equivalent education in a scientific or technological discipline, management, economics, finance or related discipline, or have related formal education for the sectoral scopes for which she/he is included as expert. This may be one or a combination of advanced diplomas, bachelor's, master's and higher degrees or equivalent. A combination of a university degree plus three years of additional relevant professional experience in the field may be accepted in lieu of an advanced degree in the relevant discipline;
 - (b) An A6.4 mechanism assessor shall:
 - (i) Demonstrate work experience in accreditation assessments or conformity assessment audits;
 - (ii) Have knowledge of A6.4 mechanism accreditation requirements, management systems, auditing techniques, methods to mitigate conflict of interest, sampling and statistics;
 - (iii) Have successfully completed an auditor training course based on ISO 19011 or equivalent;
 - (iv) Have an advanced degree (Master's) or equivalent education in a scientific or technological discipline, management, economics, finance or related discipline. A combination of a university degree plus three years of additional relevant professional experience in the field may be accepted in lieu of an advanced degree in the relevant discipline;
 - (c) An A6.4 mechanism lead assessor shall fulfil the requirements of an A6.4 mechanism assessor plus relevant additional competence requirements.

2. The A6.4 mechanism Accreditation Expert Panel (AEP) and the secretariat shall use the following qualification criteria for inclusion of applicants as experts and promotion of experts on the ARoE under the assessor track:
- (a) Initial placement on the roster:
 - (i) Education: Advanced university degree (Masters) or equivalent education in a science, engineering, forestry, agriculture, removal, management, economics, finance or related discipline;⁸
 - (ii) Experience:
 - a. Four years of relevant experience, of which at least two years in accreditation assessments or conformity assessment audits (at least 10 accreditation assessments or conformity assessment audits conducted);
 - b. Two years as a technical expert or assessor in CDM or A6.4 mechanism activity cycle accreditation entity assessments (at least three CDM or A6.4 mechanism on-site accreditation assessments conducted); or
 - c. Two years as a CDM or A6.4 mechanism validator or verifier (at least 10 audits conducted);
 - (iii) Communication skills: ability to communicate fluently, both in writing and orally, in English;
 - (iv) Training: successful completion of an auditor training course based on ISO 19011 or equivalent;
 - (b) Observer: in addition to the requirements for initial placement:
 - (i) Training: successful completion of the UNFCCC training workshop organized by the secretariat on assessment skills and relevant A6.4 mechanism standards and procedures;
 - (c) Trainee Article 6.4 mechanism assessor: in addition to the requirements for observers:
 - (i) Experience: qualified and active trainee CDM assessor or having participated in at least one Article 6.4 mechanism on-site accreditation assessment as an observer;
 - (d) Article 6.4 mechanism assessor: in addition to the requirements for trainee Article 6.4 mechanism assessor qualification:
 - (i) Knowledge: having demonstrated knowledge of the Article 6.4 mechanism, in particular the relevant A6.4 mechanism accreditation requirements, A6.4 activity cycle and A6.4 methodologies;

⁸ A combination of a university degree plus three years of additional relevant professional experience in the field may be accepted in lieu of an advanced degree in the relevant discipline.

- (ii) Experience: qualified and active CDM assessor or having participated in at least two Article 6.4 on-site accreditation assessment as a trainee Article 6.4 mechanism assessor and received positive evaluations thereof;
 - (iii) Personal attributes: ethical, open-minded, diplomatic, observant, perceptive, versatile, tenacious, decisive, self-reliant, acting with fortitude, open to improvement, culturally sensitive and collaborative;
 - (iv) Management skills: ability to independently execute different assessment stages;
 - (e) Trainee lead Article 6.4 mechanism assessor: in addition to the requirements for Article 6.4 mechanism assessor qualification:
 - (i) Knowledge: having demonstrated advanced knowledge of the Article 6.4 mechanisms, in particular the relevant A6.4 mechanism accreditation requirements, A6.4 activity cycle and A6.4 methodologies;
 - (ii) Experience: qualified and active trainee CDM lead assessor or having participated as an Article 6.4 mechanism assessor in at least four Article 6.4 on-site accreditation assessments of central offices and received positive evaluations thereof;
 - (iii) Management skills: ability to lead different assessment stages;
 - (f) Lead Article 6.4 mechanism assessor: in addition to the requirements for trainee lead Article 6.4 mechanism assessor qualification:
 - (i) Experience: qualified and active lead CDM assessor or having worked as a trainee Article 6.4 mechanism lead assessor under the supervision of a qualified Article 6.4 mechanism lead assessor for at least two on-site assessments and received positive evaluations.
3. The AEP and the secretariat shall use the following qualification criteria for inclusion of applicants as experts and promotion of experts on the ARoE under the technical expert track in particular sectoral scopes (SS) and technical areas (TA):
- (a) Initial placement on the roster:
 - (i) Education: In addition to the provision specified in the paragraph 1(a)(i) above, the following is required specifically:
 - a. SS 6 (construction): civil or construction-related education or three years of equivalent experiences;
 - b. SS 7 (transport): transport-related education or three years of equivalent experiences;
 - c. SS 14 (afforestation and reforestation): forestry-related education or three years of equivalent experiences;
 - d. SS 15 (agriculture): agriculture-related education or three years of equivalent experiences;

- e. SS 16 (carbon dioxide capture and storage in geological formations): carbon dioxide capture and storage-related education or three years of equivalent experiences;
 - (ii) Experience: experience in methodological work in project-based mechanisms to mitigate climate change in the particular sectoral scope, and three years of direct work experience in the field for which she/he is to be qualified. Direct work experience shall have been gained through:
 - a. Engagement with industries;
 - b. Consultancy experience related to process improvement;
 - c. CDM or A6.4 activity assessment experience;
 - d. Engagement in CDM or A6.4 activity development;
 - e. Engagement in the processes of specific facilities within the identified technical areas;
 - f. Direct research experience leading to the gaining of specific knowledge in the technical area.
Such engagement or direct research experience shall involve activities that generate knowledge of the processes, their interaction and different operating parameters in relation to the final output of the facilities;
 - (b) Observer: in addition to the requirements for initial placement:
 - (i) Training: successful completion of the UNFCCC training workshop organized by the secretariat on assessment skills and relevant A6.4 mechanism standards and procedures;
 - (c) A6.4 technical expert: in addition to the requirements for an observer:
 - (i) Experience: qualified and active CDM technical expert or having participated as an observer in at least one A6.4 mechanism on-site accreditation assessment or a performance assessment;
 - (ii) Personal attributes: ethical, open-minded, diplomatic, observant, perceptive, versatile, tenacious, decisive, self-reliant, acting with fortitude, open to improvement, culturally sensitive and collaborative.
- 4. An A6.4 technical expert may gain qualification in an additional technical area by participating in the activities as follows:
 - (a) Participation in two performance assessments as an observer, followed by a successful performance in one validation and one verification performance assessment monitored by a lead Article 6.4 mechanism assessor also qualified as a technical expert for the technical area; or
 - (b) Participation in five assessments as per the Article 6.4 activity cycle procedure for activities, followed by a successful evaluation by a senior representative of the secretariat.

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