

Procedure name	TUVR-AccredSt07-08-Entity management
Version and date	00, 01/12/2022
Active from	01/01/2023
Responsible person	Head, DOE
CDM Standard	CDM Accreditation Standard - Version 7.0, EB98, Annex 4
Relevant paragraphs	18 – 24
Other relevant procedures	TUVR-AccredSt07-10-Human Resources and Competence TUVR-AccredSt07-12-Validation and Verification/certification Process TUVR-AccredSt07-09-Safeguarding impartiality TUVR-AccredSt07-13-Quality Management system
Documents required and associated	Annex 08-01-DOE Management Structure Annex 08-02-DOE Positions Annex 08-03-DOE Top Management Annex 08-04-Corporate Organization Hierarchy 09-01-Steering Committee Statue and Members list

Management structure

- 1 The management structure of the DOE is documented in ‘**Annex 08-01-DOE Management Structure**’ with lines of authority, responsibilities and allocation of functions stemming from top management. §18 §19
- 2 The names, qualifications, experience and terms of reference of the top management personnel responsible for the DOE’s validation and/or verification/certification functions are listed at ‘**Annex 08-03-DOE Top Management**’. §20
- 3 The allocation of responsibility within the organization can be found at ‘**Annex 08-02-DOE Positions**’ and ‘**Annex 08-03-DOE Top Management Annex**’, it is also made publicly available in the TUV website: §21

<https://www.tuv.com/greater-china/en/about-us/document-download/>

Allocation of responsibility within the organization is also detailed in the ‘**TUVR-AccredSt07-10-Human Resources and Competence**’.

Management functions

- 4 The management functions of the DOE’s top management are described in Table 08-01. §22

Table 08-01. Summary of management functions and how they are implemented.

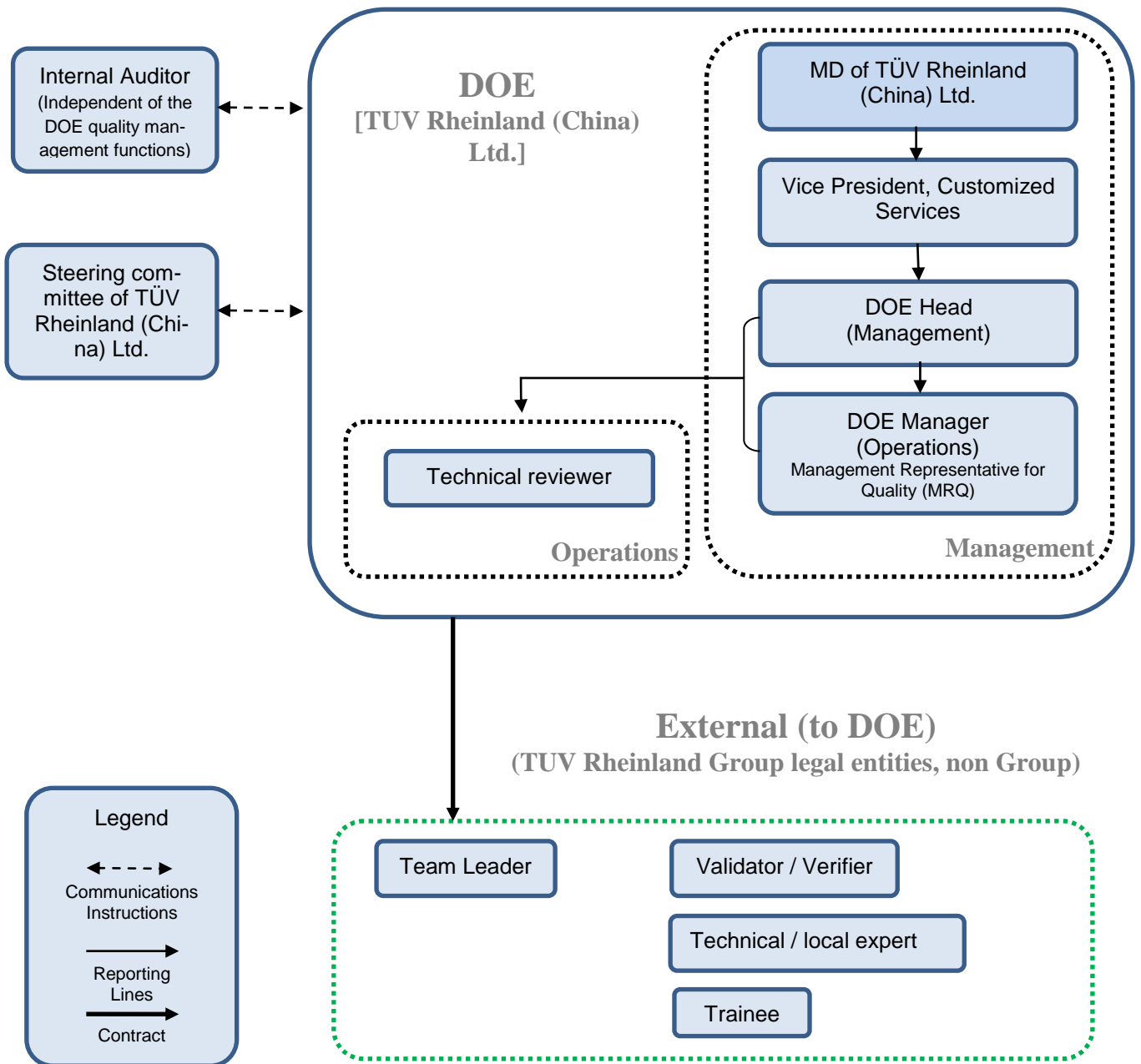
Management functions	Implementation
Manage all validation and/or verification/certification resources and activities;	See in ‘ TUVR-AccredSt07-10-Human Resources and Competence ’ and ‘ Annex 08-02-DOE Positions ’
a) Determine the human resource requirements	See in ‘ TUVR-AccredSt07-10-Human Resources and Competence ’
b) Evaluate and demonstrate competence of personnel, qualify them and select members of technical review	See in ‘ TUVR-AccredSt07-10-Human Resources and Competence ’

teams	
c) Approve contract reviews	See in ‘TUVR-AccredSt07-12-Validation and Verification/certification Process’
d) Maintain the competence of its validation and/or verification/certification personnel’	See in ‘TUVR-AccredSt07-10-Human Resources and Competence’
e) Supervise the implementation of validation and/or verification procedures	Supervision of the implementation of validation and/or verification/certification procedures are done by way of having internal audits and management review meetings which is carried out on yearly basis.
f) Make a final decision on validation and/or verification/certification opinions and reports	See in ‘TUVR-AccredSt07-12-Validation and Verification/certification Process’ The DOE Manager shall make the final decision on validation and/or verification/certification opinions and reports prior to submission.
g) Manage all activities related to the safeguarding of the impartiality of DOE functions	All activities related to safeguarding of the impartiality of DOE functions are managed in accordance with ‘TUVR-AccredSt07-09-Safeguarding impartiality’ .
h) Establishes, implement and maintain a quality management system.	The DOE Manager is appointed as a Management Representative for Quality (MRQ) with the responsibility to establish, implement and maintain a quality management system. This is detailed in ‘TUVR-AccredSt07-13-Quality Management system’ .

- 5 The DOE’s top management functions are detailed under **‘Annex 08-02-DOE Positions’**. §23
- 6 The Appointment, terms of reference and operation of TUV Rheinland China supervisory committees involved in policymaking or operational functions of validation and/or verification/certification activities is defined in **‘09-01-Steering Committee Statue and Members list’**. §24

-End-

Annex 08-01: DOE Management Structure



Annex 08-02: DOE Positions

TOP Management	Responsibility
<i>MD of TÜV Rheinland (China) Ltd</i>	<ul style="list-style-type: none"> - Overall Management responsibility on Company's Policies and procedures - Controlling of sustainable operation of the DOE; - Participate in periodic 'Management reviews'; - Overall resource allocation within the DOE;
<i>Vice President, Customized Services</i>	<ul style="list-style-type: none"> - Organisation structure of 'Carbon and Energy' - DOE Resource and Financial planning as per '07-02-CDM Resource Financial Planning' - Participation in development of service pricing strategies; - Strategic planning and support for global business development; - Client interaction and relationship management; - Personnel recruitment and management in consultation with DOE; - Participation in presentations and trade fairs;
<i>Head, DOE</i>	<ul style="list-style-type: none"> - Supervision and monitoring of implementation of DOE policies and procedures; - Formulation and development of new policies and procedures - Supervision of finances, administrative matters and dealing with contractual matters and arrangements; - Manage all validation and/or verification/certification resources and activities - Manage all activities related to the safeguarding of the impartiality - Approve of 'Contract reviews' and 'Contracts' (Deputy: DOE Manager) - Make a final decision on validation and/or verification/certification opinions and reports (Deputy: DOE Manager) - Decisions related to disputes, complaints and appeals; - Authority to delegate the responsibility to conduct internal audits on the CDM quality management to personnel independent of the function audited (either DOE's qualified personnel or external qualified expert); - Authority to sign contracts related to CDM/GS/VCS services; - Prepare the '013-01-Management Review Document'
<i>DOE manager (MRQ of the DOE)</i>	<ul style="list-style-type: none"> - Ensure that the DOE's procedures for complying with CDM accreditation requirements are established, documented, implemented and maintained; - Establish, implement and maintain a quality management system - Evaluate, qualify and maintain the competence of personnel - Determine the human resource requirements of the DOE - Manage all validation and/or verification/certification resources and activities - Screening changes in GHG standards and dissemination of information to internal personnel; - Coordination of performance assessment, surveillance audit, spot check, re-accreditation by UNFCCC (in coordination with "Head, DOE" as applicable); - Update and maintenance of all project-related databases; - Assignment of technical reviews; - Authority to sign contracts related to CDM/GS/VCS services; - Reporting to UNFCCC (quarterly survey, validation status reports, etc.);
<i>Steering committee of TUV Rheinland (China) Ltd</i>	<ul style="list-style-type: none"> - Steering committee roles and responsibilities are mentioned in '09-01- Steering Committee Statute and Member list'

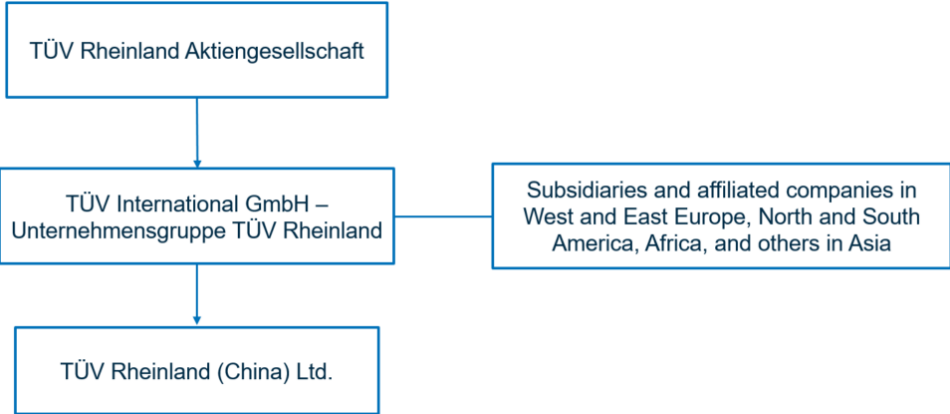
Operations	Responsibility
<i>Technical reviewer</i>	<ul style="list-style-type: none"> - Conduct technical reviews of the project activity documentation in accordance with the ‘TUVR-AccredSt07-12-Validation Verification and Certification Process’; - Provide necessary guidance and support in development of the competence of other personnel (trainings, technical support); - Supervision in quality control of each project reviewed; - Evaluate the performance of the Team Leader on a project basis - Final decisions on validation and/or verification/certification (sign-off TR Protocol and report)
<i>Technical Expert (internal/external)</i>	<ul style="list-style-type: none"> - Perform parts of the validation/verification activities, according to technical expertise and following all internal procedures, as well as guidance of the Team Leader; and - Provide technical support to Technical Reviewer on a project basis.
<i>Validator/Verifier</i>	<ul style="list-style-type: none"> - Perform validation/verification activities in accordance with internal procedures, as well as guidance of the Team Leader;
<i>Team Leader</i>	<ul style="list-style-type: none"> - Plan the validation / verification process; - Represent the assessment team in communications with project participants; - Monitor the performance of all team members and ensure that all of them perform their respective tasks in a complete manner and within the mandate of the position and appointment (specifically, trainees shall not work independently); - Ensure that team reaches the conclusions on the project activity in the concise and clear manner; - Prevent and ensure the resolution of conflicts, if such occur, inside the team and in relation to other participants of the validation / verification process;
<i>Local administrative support (if applicable)</i>	<ul style="list-style-type: none"> - Support to the validators / verifiers in administrative operations; - Data collection and reporting on project performance in the country;
<i>Local Expert</i>	<ul style="list-style-type: none"> - Participate in the validation/verification activities, including on-site assessment, in order to help the team to communicate with the client (as interpreter) and provide his/her regional knowledge and rules and requirements of the host country for the project activity or PoA.
<i>Trainee</i>	<ul style="list-style-type: none"> - Participate in validation/verification activities, including desk review, on-site assessment, reporting, etc. in accordance with internal procedures and constant supervision of the Team Leader.
<i>Auditor Independent of the DOE quality management functions (Ad-hoc position)</i>	<ul style="list-style-type: none"> - Conduct independent internal audits in order to insure implementation and quality of the procedures established for compliance with CDM accreditation requirements.

Annex 08-03: DOE top Management

Name	Qualifications	Experience and TOR
Mr. Mai Miao	Bachelor degree in Optical and Electronics, Beijing Institute of Technology	<p>Managing Director of TUV Rheinland Group Greater China: – Since 1 Jan 2021.</p> <p>Local field Manager, Products Department-P03 of Vice President of TUV Rheinland Group Greater China: From Jan 2020 to Dec 2020.</p> <p>Unit Senior Manager, TUV Rheinland Group Greater China: Apr 2014 to Dec 2019</p>
Mr. Fang Weimin	Bachelor Degree in Material Science & Engineering	<p>Vice President of Systems of TUV Rheinland Group Greater China: Since June 2014</p> <p>General Manager/Location Manager of Automotive Business Unit/Shanghai Office of TUV Rheinland Group Greater China: July 2010 to May 2014</p>
Mr. Zhu Jiang	Master degree in Thermal Energy and Power Engineering- Zhejiang University, China	<p>Head, DOE of TUV Rheinland Group Greater China: Since November 2022-now</p> <p>General Manager, Carbon & Energy of TUV Rheinland Group Greater: From Dec 2020 to now.</p> <p>Business Unit Head, Carbon and Energy of TUV Rheinland Group Greater China: Dec 2014 to Dec 2020.</p> <p>CDM Department Manager, CDM of TUV Rheinland Group Greater China: Dec 2010 to Nov 2014.</p>
Ms. Jessie Wang	Master degree in Chemical Engineering- Beijing University of Chemical Technology, China	<p>DOE Manager of TUV Rheinland Group Greater China: Since November 2022-now</p> <p>Project Manager, Carbon & Energy of TUV Rheinland Group Greater: From Mar 2022 to now.</p> <p>Technical Manager: Carbon Service & Energy System of Shenzhen CTI International Certification Co., Ltd (CTI): From Nov 2014 to Feb 2022.</p> <p>CDM Lead Auditor/Technical Reviewer, CDM of TUV Rheinland Group Greater China: Sep 2011 to Jun 2014.</p>

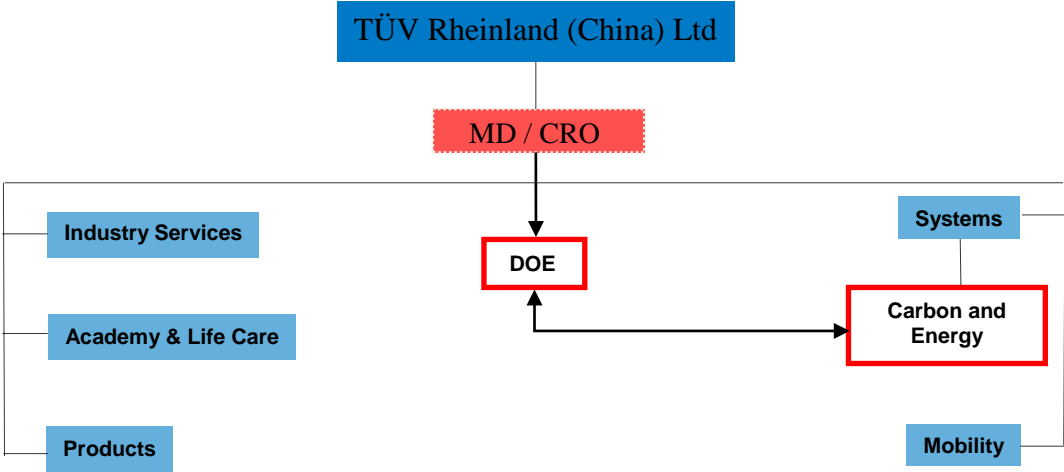
Annex 08-4: Corporate Organization Hierarchy

Figure 1. TÜV Rheinland (China) Ltd as part of the TÜV Rheinland Group.



Relationship: TÜV Rheinland (China) Ltd. is 100% owned by TÜV International GmbH- Unternehmensgruppe TÜV Rheinland, which in turn is 100% owned by TÜV Rheinland Aktiengesellschaft.

Figure 2. TÜV Rheinland (China) Ltd Organization Service Chart with CDM Business Line.



Revision History:

SL No	VERSION	REASON FOR CHANGE	APPROVAL
1	00	Initial version of procedures in accordance with the requirements of Accreditation Procedure version 07	Ms. Jessie Wang Dated 01/12/2022

The initial version is considered as “00” and further changes to this version will continue to be in order of “01 ...”