

Safeguarding Impartiality

A. Scope

1. This procedure specifies safeguarding impartiality and methods of dealing with related work

B. Purpose

2. The purpose of this procedure is to outline the operating rules of safeguarding impartiality to ensure that KSA shall work in a credible, independent, non-discriminatory and transparent manner.

C. Related Procedures

3. Related procedures are as follow
 - (1) Committee Operation (KSA-GA-1200)
 - (2) Analysis of Potential Risk (KSA-GA-2200)

D. Responsibility and Authority

4. Director General of Certification Division
 - (1) Operating safeguarding impartiality system at the Policy and Organization level
 - (2) Convening committee meetings
 - (3) Review of effectiveness
5. Director of Certification Development Support Center
 - (1) Analyzing the possibility for conflict of interest
 - (2) Mitigation of threats against impartiality

E. Safeguarding impartiality at the policy level

6. KSA shall ensure its impartiality at the policy level, inter alia, by:
 - (1) Having the top management's commitment to safeguarding impartiality in the KSA's validation and/or verification/certification functions as evidenced through a defined institutional structure and impartiality policy and procedures, appropriate implementation of such policy and procedures and operation and conduct of its activities;

- (2) Having a statement that describes its understanding of the necessity of impartiality in validation and/or verification/certification functions, how it manages conflict of interest and how it ensures the objectivity of validation and/or verification/certification functions;
 - (3) Taking action to respond to any threats to its impartiality arising from the actions of other parts of the organization, persons outside of the organization.
 - (4) Maintaining a professional environment and culture in the organization that supports behavior of all personnel that is consistent with impartiality.
7. Director General of Certification Division shall make publicly available its policy for safeguarding impartiality. Director General of Certification Division should put this policy on its website.

F. Safeguarding impartiality at the organization level

8. According to Committee Operation Procedure(KSA-GA-1200), Director General of Certification Division shall hold the Impartiality Committee that safeguards KSA's impartiality in its CDM Activities and related procedures and other systems are effectively implemented.

G. Safeguarding impartiality at the operation level

1. Analysis of threats against impartiality

9. Development team leader shall identify, analysis and document the possibility for conflict of interest arising from provision of validation and verification including any conflicts arising from its relationships in accordance with the Analysis of Potential Risk(KSA-GA-2200). If any relationship creates a risk to impartiality, Development team leader shall document how it eliminates or minimizes such risk and shall be able to demonstrate this to operational committee.
10. Development team leader shall carry out a conflict of interest analysis at least once a year and whenever a significant change occurs in the CDM Activities

2. Mitigation of threats against impartiality

11. Development team leader shall implement and maintain a procedure for the mitigation of threats against its impartiality.
12. The mitigation actions may be through, inter alia:
- (1) Prohibitions : certain defined activities shall not be carried out;
 - (2) Restrictions : certain defined activities may be carried out, but in a restricted manner with clearly defined control points to ensure mitigation
 - (3) Disclosures.

13. Director General of Certification Division shall ensure that KSA shall implement mitigation actions in accordance with paragraph 47 of “Accreditation Standard”.

(1) The KSA shall not conduct both the validation and verification/certification of a CDM project activity or PoA, except in the situations allowed by the Validation and verification standard;

(2) The KSA and the outsourced entities to which the KSA has outsourced one or more functions shall not have any direct relationship with the KSA’s clients and the project participants of the CDM project activities or PoAs under validation and/or verification/certification other than validation and/or verification/certification activities and third party conformity assessments;

(3) The KSA shall not outsource any function to an outsourced entity that is engaged in the development, consultancy or financing of any CDM project activity or PoA;

(4) The KSA shall not use for the verification/certification of a CDM project activity or PoA personnel who was involved in the validation team of such CDM project activity or PoA, except in the cases in which a KSA is allowed to conduct both the validation and verification/certification in accordance with item (a) above ;

(5) The KSA shall not use validation or verification/certification personnel, internal or external, in the validation or verification/certification of a CDM project activity or PoA if:

(a) They, or the organization that employs them, have been involved in the development, consultancy or financing of this CDM project activity or PoA; or

(b) They have had any professional relationships, other than a third party conformity assessment, with the project participants of this CDM project activity or PoA within the last two years;

(6) The KSA’s activities shall not be marketed or offered as linked with the activities of an organization that provides services in respect of development, financial assistance and consultancy for CDM project activities or PoAs. The KSA shall not state or imply that the validation and/or verification/certification of a CDM project activity or PoA would be simpler, easier, faster or less expensive if a specified consultancy/financing organization is used;

(7) The KSA shall require its personnel, internal and external, to reveal any potential conflict of interest known to them. The KSA shall use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them, and shall not use such personnel, internal or external, unless any potential conflict of interests has been addressed and the measures taken to address these potential conflicts have been documented and implemented. If during the course of a validation and/or verification/certification, such instances become known, the personnel concerned shall be removed from the validation and/or verification/certification immediately;

(8) The KSA shall require its personnel, internal and external, to report any situation of influence or pressure from project participants that may threaten their independence in the course of the validation and/or verification/certification of CDM project activities or PoAs. Based on such report, the KSA shall take appropriate actions to ensure its independence in its validation and/or verification/certification activities;

(9) The conditions in the KSA's contracts with project participants shall not link the KSA's payments to the final outcome of the validation or verification/certification activities;

(10) The KSA's personnel involved in validation and/or verification/certification activities shall be bound by the KSA's impartiality policy and act impartially in their work through contractual or employment conditions and assignment conditions for each validation and/or verification/certification;

(11) The KSA's personnel involved in validation and/or verification/certification activities shall not provide, while conducting the validation or verification/certification of a CDM project activity or PoA, any advice, consultancy or recommendation to the project participants on how to address any deficiencies that may be identified in the validation or verification/certification.

3. Review of effectiveness

14. Development team leader shall analyze and review, at least once a year, all data and information relevant to impartiality, such as the conflict of interest analysis, the mitigation strategies and actions undertaken, any non-conformity raised with regard to impartiality and the corrective actions implemented to correct the non-conformities.

15. Based on the data/information referred to above, Development team leader shall carry out, once a year, a review of effectiveness of process to safeguard impartiality.