



**北京鉴衡认证中心**  
**China General Certification Center**

**Validation and verification / certification**  
**Implementation Code**


**审定与核查规则**

(Published Document 公开文件)

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## Foreword 前言

China General Certification Center (hereinafter referred to as the CGC) was founded in 2003, CGC is headquartered in Beijing, China. At present, it has 25 branches in different provinces and cities such as Hebei, Shandong, Zhejiang and Guangdong and Shanghai. CGC now has over 700 employees.

CGC is an authoritative third-party technical service organization in China, specializing in standard development, testing, inspection, certification, technical and industry research services. With the mission of "providing solutions for industry progress and promoting sustainable development of the society", CGC's business scope covers renewable energy, climate change and sustainable development, industrial equipment and intelligent manufacturing, rail transit, consumer goods, intelligent technology and information security and other fields, providing services for all customers in the industry chain.

北京鉴衡认证中心有限公司（以下简称“鉴衡”或“本机构”）创建于2003年，总部位于北京，目前在河北、山东、上海、浙江、广东等地设有分支机构25家，现有员工700余人。

鉴衡是国内权威的第三方技术服务机构，专业从事标准研制、检测、检验、认证、技术评价及行业研究等服务。鉴衡以“为行业进步提供解决方案，推动社会可持续发展”为使命，现有业务涵盖可再生能源、储能、气候变化与可持续发展、工业装备与智能制造、轨道交通、消费品、智能科技和信息安全等多个领域，面向产业链上的所有客户提供定制化综合解决方案。

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## 1 General 总则

China General Certification Center (hereinafter referred to as the CGC) hereby develop this document to adhere to the *Regulations of the People's Republic of China on certification and accreditation*, the *Management Measures for Certification Bodies*, the *Conformity assessment - General principles and requirements for validation and verification bodies (CNAS-CV01)* and also to publicly present codes of CGC's validation and verification business.

编制本文件的目的是为了为了满足《中华人民共和国认证认可条例》、《认证机构管理办法》、《合格评定 审定与核查机构通用原则和要求》(CNAS-CV01)、其它相关认可标准、审定与核查标准的要求, 旨在说明鉴衡开展审定与核查活动的规则。

## 2 Scope and applicability 适用范围

This document serves as the fundamental basis for CGC's validation and verification, covering the entire process from application acceptance to post-issuance fact discovery. It also constitutes the guidelines required to comply with for validation and verification accreditations / qualifications that CGC has obtained or plans to obtain.

This document is publicly available on the CGC official website.

本文件是鉴衡审定与核查活动的基本依据, 覆盖从申请受理至审定/核查陈述签发后事实发现的全过程, 也是鉴衡已经获得或计划获得的审定与核查认可/资质所要求遵守的准则。

本文件在鉴衡官方网站公开。

## 3 Terms and definitions 术语与定义

### 3.1 General terms 一般性术语

“Shall”, “request” is used to indicate requirements to be followed;

“Should”, “suggested” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable, but not mandatory to be followed;

“May”, “can”, “could” is used to indicate what is not prohibited.

“需”、“应”、“将”指需要遵循的要求;


“宜”、“建议”指鼓励采用的方法或方式或行为, 不强制必须遵循;

“可”、“可以”指不禁止的行为。

### 3.2 Terms relating to the management system 与管理体系相关的术语

This manual refers to ISO/IEC17029, ISO14065, ISO14064-3, ISO14066, ISO17000, GB/T 27000, management documents of common mechanisms, and terms defined by CGC.

本手册引用 ISO/IEC17029、ISO14065、ISO14064-3、ISO14066、GB/T 27000、常见机制相关管理文件、以及本机构定义的相关术语。

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### 3.2.1 Client / Customer 委托方或客户

Any legal entity that intends to hire CGC to carry out validation and/or verification services, generally the holder of the validation and/or verification statement. The Client / Customer is the entity that applies to CGC for validation and/or verification services, which can be the responsible party, validation and verification programme owner, intended user, or any other relevant party.

NOTE: This term is defined by CGC. The client or customer could be or not be the responsible party of validation / verification.

任何拟委托本机构开展审定与核查服务的一个法人单位，一般是审定与核查报告和/或意见的持有人。委托方是向本机构申请审定与核查服务的组织，可以是责任方、审定与核查方案所有者、预期用户或其他相关方。

注：本中心定义。委托方或客户可能是或不是审定或核查的责任方。

### 3.2.2 User, target users, or intended users 目标用户，或潜在用户

Users of validation and/or verification statements.

NOTE: The user may be the client / customer of validation and/or verification, the administration of the mechanism, a government agency, or the public.

审定和/或核查陈述的使用者。

注：用户可能是审定和/或核查的责任方或委托方，也可能是机制的管理方，也可能是政府监管部门，或是公众。

### 3.2.3 Responsible party 责任方

The organization or individual who is responsible for providing CGC with a clear and completed declaration of compliance with applicable requirements, and for responding to and providing relevant information at technical level throughout the validation / verification process. The responsible party may be the participant / owner / sponsor of an organization or project.

NOTE: The responsible party may be an individual, or an authorized representative of an organization or a project, and may be the party that employs validation and verification body;

This term is modified according to ISO14064-3 3.2.3.

有责任向本机构提供符合要求的清晰明确的宣称，和在整个审定/核查过程中负责对项目或技术层面进行响应并提供相关信息的组织或个人。责任方可能是一个组织或项目的参与方 / 业主方 / 发起方。

注：责任方可以是个人、或一个组织或一个项目的授权代表，可以是雇用审核员的一方；

根据 ISO14064-3 3.2.3 进行修改。


### 3.2.4 Responsible party claim (referred to as the Claim) 责任方宣称，简称宣称

The information submitted by the responsible party and to be validated or verified, the Claim may be qualitative and/or quantitative.

NOTE 1: the Claim is the object that to be validated / verified.

NOTE 2: the Claim may represent the situation at a certain point in time or cover a period of time.

NOTE 3 the Claim should be legible and can be consistently evaluated or measured by the validation / verification body

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in

accordance with specified requirements.

NOTE 4: The specific name and presentation method of the Claim depends on its type and content. It can be presented in the form of a report, Claim, project plan, emission report, project design document, monitoring report, with or without data. The name of the Claim may be different under different validation / verification programmes.

NOTE 5: The types of the Claim in CNAS-CV01 vary depending on the areas they involve. For example, if the content of the Claim is related to environmental conditions or environmental performance, it is called an environmental information Claim; if the content of the claim is related to greenhouse gases (GHG), it is called a GHG information Claim.

NOTE 6: the validation and verification quality management system is subject to correspondingly adjust according to the type of the Claim, refer to the NOTE 5 above.

责任方提出的，接受审定/核查的信息，可能是定性的和/或定量的信息。

注 1: 宣称是审定与核查的合格评定的对象。

注 2: 宣称可以代表某个时间点的情况，也可以涵盖一段时期。

注 3: 宣称宜应清晰可辨，并能够由审定/核查机构根据规定要求进行稳定一致的评价或测量。

注 4: 宣称的具体呈现名称和方式因宣称的类型和内容而定，可以是报告、声明、项目计划、排放报告、设计文件、监测报告或可以合并数据等形式呈现。在不同审定/核查方案下，宣称的名称可能不同。

注 5: 宣称的类型因其涉及的领域而不同，均相当于 CNAS-CV01 的宣称。例如，如果宣称的内容与环境条件或环境绩效有关，即称为环境信息宣称；如果宣称的内容与温室气体有关，即称为温室气体信息宣称。

注 6: 本机构对注 5 根据宣称的类型进行修改。

### 3.2.5 Validation/verification statement (referred to as the Statement) 审定/核查陈述

Announcement of the results of the validation / verification process, prepared by the validation / verification body.

NOTE 1: Specific name of the Statement may also be different in specific programmes, such as "decision", "opinion", "report", etc.

NOTE 2: A validation / verification Statement reflects the situation only at the time of its issuance.

NOTE 3: Whether the Statement confirms the Claim, and whether it is accompanied by comments or conditions is determined according to the requirements of the specific programme.

NOTE 4: The type of the Statement is consistent with the corresponding Claim. For example, if the validation / verification is of environmental information, it is called an environmental information validation / verification Statement; if the validation / verification is of GHG information, it is called a GHG information validation / verification Statement.

NOTE 5: This term is modified based on CNAS-CV01 term 3.6 and 3.7.

审定/核查机构对审定/核查过程输出结果的公告。


注 1: 在特定方案里也可使用其他称谓，如“决定”、“意见”、“报告”等。

注 2: 审定/核查陈述反映的仅是其签发时的情况。

注 3: 审定/核查陈述认定宣称与否，是否附带意见，均根据方案要求来定。

注 4: 审定/核查陈述的类型与对应的被审定/核查的宣称一致。例如，如果被审定/核查的是环境信息宣称，即称为环境信息审定/核查陈述；如果被审定/核查的是温室气体信息宣称，即称为温室气体信息审定/核查陈述。

注 5: 根据 CNAS-CV01 术语 3.6 和 3.7 进行合并修改。

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### 3.2.6 Validation /Verification Programme 审定/核查方案

The rules, processes and management requirements documents for a certain type of validation and/or verification developed by CGC for a specific field or based on specific external standards, guidelines or mechanisms.

NOTE: This term is modified based on CNAS-CV01 term 3.8 and 3.9.

本机构针对特定领域或根据特定外部标准、指南、机制制定的针对某一类型审定和/或核查的规则、流程和管理要求文件。

注：根据 CNAS-CV01 术语 3.8 和 3.9 进行合并修改。

### 3.2.7 Sectoral Scope / Technical Area (SS/TA) 行业/技术领域

A specific sector of knowledge or technology requires prior qualification of personnel to conduct validation / verification within this sector.

一个特定的知识或技术领域，从事这个领域的审定或核查需要事先获得认可。

### 3.2.8 Validation 审定

Confirmation of a Claim, through the provision of objective evidence, that the requirements for a specific intended future use or application have been fulfilled.

通过提供客观证据，对特定的未来预期用途要求已得到满足的宣称的认定。

### 3.2.9 Verification 核查

Confirmation of a Claim, through the provision of objective evidence, that specified requirements have been fulfilled.


通过提供客观证据，对规定要求已得到满足的宣称的认定。

### 3.2.10 Validation / verification type, validation / verification matter, validation / verification activities 审定/核查类型、审定/核查事项、审定/核查活动

A validation / verification type is a specific validation / verification area, such as GHG emission or removal verification at the organizational level, GHG emission reduction or removal enhancement verification at the project level, etc. A validation/verification matter is a specific validation or verification case, generally one matter is associated with one validation / verification contract. Validation / verification activities are all activities and actions carried out to complete a validation / verification matter.

审定/核查类型是某一种审定/核查事项，例如组织层面温室气体排放或移除核查、项目层面温室气体排放量减少或移除增加核查等。审定/核查事项是一次特定的审定或核查，一般与一份审定/核查合同对应。审定/核查活动是为了完成一个审定/核查事项所开展的所有活动和行为。



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### 3.2.11 Outsourcing, outsourcing party 外包、外包方

Outsourcing is the CGC's act of entrusting and authorizing other entities to undertake certain validation / verification functions and/or professional technologies. The outsourcing party is the entity that contracts an outsourcing agreement with CGC.

NOTE: The CGC's outsourcing of validation / verification refers only to outsourcing activities with one legal entity or organization, and does not include temporary employment of individuals (i.e. hiring external personnel).

外包是本机构委托和授权其它机构承担某项审定与核查功能和/或专业技术的行为。外包方是与本机构签署外包协议的机构。

注：本机构审定与核查的外包仅指与一个机构或组织发生的外包行为，不包括本机构与个人发生的临时性聘用行为（即聘用外部人员）。

### 3.2.12 External requirement 外部要求

Law & regulation / standard / administration / guidelines etc. provided by an external source that CGC must be followed to perform validation and verification function or obtain accreditation or qualification.

鉴衡为开展审定与核查业务或获得认可或资质所必须遵循的来自外部的法规、标准、管理要求、指导等。

NOTE: External requirements may be raised by government, administration of mechanism, proponent of initiative, etc.

注：外部要求可能来自于政府、机制的主管机关、倡议的发起方等。

### 3.2.13 Mechanism 机制

An international, regional, national, subnational or sector-wide scheme to achieve specific purposes, with uniform administration and management and operation regulations or document system, may include, but not limited to, standards, methodologies, rules, forms, etc.


NOTE 1: The types of mechanisms vary depending on the areas and objectives they cover. For example, if a mechanism involves monitoring and/or improving environmental conditions or environmental performance, it is called an environmental mechanism; if a mechanism involves controlling and/or reducing GHG, it is called a GHG mechanism.

NOTE 2: Common GHG mechanisms include Article 6, Point 4 of the Paris Agreement (A6.4), the Clean Development Mechanism of the Kyoto Protocol (CDM), the China Voluntary GHG Emission Reduction Mechanism (CCER), the Verra, the Gold Standard (GS), the Global Carbon Council (GCC), etc.

一个为实现特定目的，覆盖国际的、或区域的、或国家的、或国内地区的、或行业的体系，具有一致的管治、管理、运行规则和文档系统，包括但不限于标准、方法学、制度、表单等。

注 1：机制的类型因其涉及的领域和目标而不同。例如，如果机制涉及环境条件或环境绩效的监控和/或提升，即称为环境机制；如果机制涉及温室气体管控和/或减少，即称为温室气体机制。

注 2：常见的温室气体机制包括《巴黎协定》第 6 条第 4 点机制（简称 A6.4）、《京都议定书》清洁发展机制（简称 CDM）、中国温室气体自愿减排机制（简称 CCER）、国际核证碳标准机制（简称 VCS）、黄金标准机制（简称 GS）、环球碳委员会机制（简称 GCC）等。

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### 3.2.14 Mechanism requirements 机制要求

All requirements indicated in standards, methodologies, standardized solutions, tools, guidelines, and other regulatory documents of a specific mechanism.

一个特定机制的标准、方法学、标准化处理方法、工具、指南和其它规则文件中提出的所有要求。

### 3.2.15 Administration of mechanism 机制的主管机构

The group is responsible for establishing, maintaining and managing the operation of the mechanism.

NOTE: for example Supervisory Body (SB) of the mechanism in Article 6, paragraph 4 of the Paris Agreement, the Executive Board (EB) of the Clean Development Mechanism of the Kyoto Protocol.

负责建立、维持、管理机制运行的团体。

注：例如《巴黎协定》第6条第4点机制的监督委员会（Supervisory Body, SB）、《京都议定书》清洁发展机制的执行委员会（Executive Board, EB）

### 3.2.16 Accreditation Standard (AS) 认可标准

Standard set out minimum requirements for validation and verification body to obtain accreditation.

提供审定与核查机构获得认可所需的最低要求的文件。

### 3.2.17 Validation and Verification Standard (VVS) 审定与核查标准

Standard set out minimum requirements for validation and verification.

提供审定与核查最低要求的文件。

NOTE: Name of VVS may be different among Mechanisms.

注：不同机制下审定与核查标准的具体名称会不同。

### 3.2.18 CGC's official website 官方网站

<http://www.cgc.org.cn/>


## 4 Business scopes 业务领域

The types and SS/TAs of validation / verification for which CGC has obtained accreditation / qualification and existing programmes are listed in Annex 1 of this document. Potential clients shall decide whether to submit a validation / verification application based on the purpose and requirements of the proposed matter.

鉴衡已获得认可/资质，和已有方案的审定/核查类型和行业/技术领域见本文件附1，潜在委托方应根据拟接受审定/核查事项的目的和要求决定是否提出审定/核查申请。

## 5 Management structure 鉴衡的管理结构

CGC implements the Chief Director (top management) responsibility system, who manages all the resources and activities of CGC's validation and verification. CGC consists of various business

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divisions and functional departments. It implements the General Manager responsibility system of each division / department. The validation and verification functions are mainly undertaken by the Climate Change and Sustainability Service Division (CCSS), and assisted by the Safety and Quality Department, Human Resources Department, Information Technology Department, Finance Department, and Administration Office.


Please refer to Annex 2 of this document for CGC’s organizational structure diagram of validation / verification function, personnel, and responsibilities.

鉴衡实行主任负责制，对审定与核查的全部资源和活动进行管理。下设各业务部及有关职能部门，实行各部门主管负责制。鉴衡审定与核查功能主要由气候变化与可持续发展事业部（以下简称 CCSS）承担，安全质量部、人力资源部、信息技术部、财务部、办公室辅助。

鉴衡审定与核查的管理结构、管理人员及职责见本文件附 2。

## 6 CGC’s Rights and Obligations 鉴衡的权利和义务

- 1) Comply with the requirements of external requirements / mechanism requirements / accreditation standards / validation and verification standards and provide clients and/or responsible parties with relevant public documents and information, including but not limited to the *Validation and verification / certification Implementation Code* (this document) (CGC-QP-VV06), the *Reference to Validated Verified Statements and Use of Marks Management Procedure* (CGC-QP-VV04), the *Procedure for complaints appeals and disputes* (CGC-QP-G06), business scopes, validation / verification matter lists, relevant forms, etc.
- 2) Assign competent personnel to perform validation / verification upon engaging the contract. If it intends to use external personnel or outsourcing, CGC shall priorly notify and obtain consent from the client and/or responsible party.
- 3) CGC shall provide the validation / verification plan to the client and/or responsible party in a timely manner and if available, deliver validation / verification findings and the final validation / verification statement and/or report within the agreed timeframe.
- 4) CGC shall consider all information and documents provided by the client and/or responsible party to CGC as true and accurate. CGC shall not be responsible for any consequences arising from the lack of authenticity, accuracy, or completeness of the information or documents provided by the client and/or responsible party.
- 5) CGC shall assume no responsibility for the accuracy and correctness of information provided by third parties used during validation / verification.
- 6) CGC shall not be responsible for any decisions made by any related party based on the validation / verification statements issued by CGC.
- 1) 遵循外部要求/机制要求/认可标准/审定与核查标准的要求，向委托方和/或责任方提供有关公开文件和信息，包括但不限于《审定与核查规则（公开文件）》（CGC-QP-VV06）、《审定/核查引用和标志管理程序（CGC-QP-VV04）》、《投诉、申诉和争议处理程序》（CGC-QP-G06）、业务领域、项目列表、相关表单等；


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- 2) 在签订合同后委派有能力的人员实施审定/核查。如果鉴衡将使用外部人员或外包，将事先告知委托方和/或责任方并征得同意；
- 3) 向委托方和/或责任方及时提供审定/核查计划，如有，按约定时间提供审定/核查发现及最终审定/核查陈述和/或报告；
- 4) 鉴衡视委托方和/或责任方所有提供给鉴衡的信息和文件是真实的、准确的。鉴衡对因委托方和/或责任方提供信息或文件不满足真实性、准确性或完整性而产生的任何后果不承担责任；
- 5) 鉴衡对审定/核查中所使用的第三方提供的信息的准确性和正确性不承担责任；
- 6) 鉴衡对任何相关方基于鉴衡提供的审定/核查陈述做出的相关决定不承担责任。

### 7 Declaration of impartiality and confidentiality 公正性与保密承诺

In order to ensure the fairness, independence and confidentiality of the inspection, testing, certification, and validation / verification activities, CGC hereby solemnly declares the following:

- 1) CGC is an independent third-party inspection, testing, certification, and validation / verification entity with no profit purpose. CGC adheres to the principles of honesty, objectivity, independence, openness and fairness in its inspection, testing, certification, and validation / verification activities, maintains integrity, and establishes and maintains a fair and honest corporate culture and working circumstance.
- 2) CGC strictly abides by relevant national laws and regulations, internal rules and regulations, as well as the rules and regulations of international and domestic certification, inspection and testing, and validation / verification schemes that CGC has joined. CGC adheres to principles, acts impartially, and shall not accept or solicit bribes in any form. CGC ensures to provide its service in a credible, independent, non-discriminatory and transparent manner and ensures unified quality to all customers.
- 3) The policies, principles, procedures and management followed by CGC for testing, certification, and validation / verification are implemented in a fair and non-discriminatory manner. Within the scope of its service, CGC provides convenient and timely testing, certification, and validation / verification services to all applicants, and does not delay, discriminate, make things difficult for, hinder or prevent applicants. CGC does not use the applicant's failure to participate in consultation or training, unreasonable financial conditions, customer size, membership in an association or group, the number of certificates issued, etc. as restrictions on providing services. CGC does not raise requirements to applicants that are irrelevant to testing, certification, and validation / verification activities, and does not seek improper benefits.
- 4) CGC and its personnel are independent of all parties involved in inspection, testing, certification, and validation / verification work, and are not subject to any interference from business, human resources, financial resources and stability, or any other aspects. All CGC personnel ensure that they do not engage in any activities that may violate the independence and integrity of


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inspection, testing, certification, and validation / verification, and shall not engage in activities that undermine impartiality such as consultation, technical development, design, production, supply, installation, procurement, marketing, ownership, use or maintenance of inspection, testing, and certification objects. Full-time personnel engaged in certification activities shall not work in more than two certification bodies at the same time, full-time personnel engaged in inspection and testing activities shall not work in more than two inspection and testing institutions at the same time, and full-time personnel engaged in validation / verification activities shall not work in more than two validation / verification bodies at the same time.

- 5) All staff of CGC (including personnel from various departments, members of the Committee, members of the Committee, inspectors, verifiers, technical experts, subcontractors, etc.) have the obligation to keep national secrets, commercial secrets and technical secrets they become aware of during the course of their work.
- 6) CGC has complete policies and procedures for accepting and handling appeals, complaints and disputes from customers or other parties regarding inspection and testing, certification, validation / verification or other related matters, and accepts and cooperates with the administration and supervision from all relevant parties in society.

为保证本机构审定与核查工作的公正性、独立性和保密性，本机构郑重声明如下：

- 1) 鉴衡是不以营利为目的独立第三方检验检测、认证、审定/核查机构，鉴衡从事检验检测、认证、审定/核查活动遵循诚实守信、客观独立、公开公正的原则，维护社会信用体系，建立和维护公正诚信的企业文化和工作氛围。
- 2) 鉴衡严格遵守国家相关法律法规，内部各项规章制度，以及鉴衡加入的国际、国内组织认证认可、检验检测、审定/核查方面的规章要求，坚持原则，秉公办事，不得以任何形式受贿、索贿，确保以可信、独立、不歧视、透明的方式开展工作，以保证对所有客户提供同等质量的服务。
- 3) 鉴衡检验检测、认证、审定/核查所遵循的方针、原则、程序以及对它们的管理均以公正、非歧视性的方式运行实施。在检验检测、认证、审定/核查范围内，鉴衡向所有申请人提供方便、及时的检验检测、认证、审定/核查服务，不拖延、歧视、刁难、妨碍、阻止申请人，不以申请人未参加认证、审定/核查咨询或者认证、审定/核查培训、不合理的财务条件、客户的规模、某一协会或团体的成员、已颁发证书的数量等作为检验检测、认证、审定/核查的限制条件，不向申请人提出与检验检测、认证、审定/核查活动无关的要求，不牟取不当利益。
- 4) 鉴衡及本机构人员在开展检验检测、认证、审定/核查工作时独立于所涉及的各方，不受任何来自的商业、人力资源、财务资源和稳定性、或任何其它方面的干预。鉴衡所有人员确保不从事任何可能违背检验检测、认证、审定/核查判断的独立性和完整性的活动，不得从事检验检测、认证对象的技术开发、设计、生产、供应、安装、采购、营销、拥有、使用或维护等有损公正性的活动。从事认证活动的专职人员不同时在两个以上认证机构从

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业，从事检验检测活动的专职人员不同时在两个以上检验检测机构从业，从事审定/核查活动的专职人员不同时在两个以上审定/核查机构从业。

- 5) 鉴衡所有工作人员（包括中心各部门人员、理事会成员、技术委员会成员、检查员、核查员、技术专家、分包方等）对其从业活动中所知悉的国家秘密、商业秘密和技术秘密负有保密义务。
- 6) 鉴衡具有完善的受理和处理来自申请人或其他方面有关检验检测、认证、审定/核查业务或其他相关事项的申诉、投诉和争议的方针和程序，接受和配合社会各相关方的管理监督。

CGC commits to strictly complying with the relevant regulations of the administrative authorities for validation and verification, providing fair and objective validation / verification services to clients. CGC further commits to maintaining the confidentiality of technical information provided by clients and/or responsible parties and any non-public information learned during the validation / verification process. Such information shall not be disclosed or provided to external parties, except when required for reporting to relevant national authorities or disclosure mandated by such authorities or by law.

鉴衡承诺严格遵守审定与核查行政主管机构的相关规定，公正、客观地为委托方提供审定/核查服务。鉴衡承诺对委托方和/或责任方提供的技术资料以及在审定/核查中了解到的委托方非公开性的资料保密，不向鉴衡所属范围之外的其他方提供和透露，但向国家相关部门报备或者根据国家相关部门的要求或法律有要求需予以公开的除外。

## 8 Information for Clients 委托方须知

### 8.1 Application and engagement 申请受理

#### 8.1.1 Application 提出申请

Any potential client and/or responsible party intending to entrust CGC with validation and verification services shall submit the Validation / verification Application (CGC-VVF0202), which is available for download on CGC's official website.

任何拟委托鉴衡开展审定与核查服务的潜在委托方，需首先填写并提交《审定/核查服务申请表》(CGC-VVF0202)。申请表在官方网站提供下载。


#### 8.1.2 Contract review 申请的评估

CGC shall conduct contract review after receiving any validation and/or verification application. The result of the contract review shall be either acceptance or rejection of the validation / verification application, and officially notify the potential client.

鉴衡在收到审定/核查服务申请单后对该申请进行签约前评估。鉴衡对审定与核查服务申请的评估结果为接受或不接受（谢绝）本次审定/核查活动申请，并书面告知潜在委托方。

#### 8.1.3 Engagement 签署合同


For applications evaluated as accepted, CGC shall sign a validation/verification contract with the client. Client Rights and Obligations:

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- 1) Always comply with relevant regulations for validation / verification to ensure CGC can conduct fair, independent, and objective validation / verification and reach opinions.
- 2) Prepare the responsible party's claim subject to validation / verification.
- 3) The client and/or responsible party shall submit all required documents and evidence to CGC within the agreed timeframe as requested. The client guarantees the legality, authenticity, accuracy, completeness, and timeliness of the information provided; otherwise, the client assumes any resulting liability.
- 4) Pay the relevant fees to CGC as stated in the contract.
- 5) Provide CGC with safe and legally compliant working conditions necessary for validation / verification. To meet national, industry, or CGC's regulations or management procedures for validation / verification, CGC may assign observers or internal / external witnessing personnel for the validation / verification. With prior notification, the client and/or responsible party shall also ensure safe and legally compliant working conditions for these personnel.
- 6) Inform CGC of any actual or potential health and safety risks present at the site and necessary measures to address them before or during the validation / verification process.
- 7) Notify CGC promptly of any changes that may significantly impact the validation / verification process.
- 8) If there are objections to the validation / verification team members, plans, processes, actions, or opinions, the client and/or responsible party may resolve them through discussion with the relevant personnel involved in the activity. If no consensus is reached, the client and/or responsible party may raise a complaint or dispute to CGC within 20 working days after the closure of the validation / verification. If dissatisfied with CGC's decision, further appeals can be submitted to CGC's administrative authority or the mechanism's supervisory body.
- 9) Comply with CGC's regulations on the reference of validation / verification statements or the use of associated marks.
- 10) Unless CGC conducts validation / verification with malice or gross negligence, the client and/or responsible party shall indemnify CGC against any third-party claims or rights arising from CGC's activities or actions under the validation / verification contract. If such claims arise, the client and/or responsible party shall compensate CGC for all resulting losses.

对于评估结果为接受的申请，鉴衡将与委托方签订审定/核查合同。委托方的权利和义务为：

- 1) 始终遵守审定/核查的有关规定，确保鉴衡能够公正、独立、客观地开展审定/核查活动并得到结论；
- 2) 准备拟接受审定/核查的责任方宣称；
- 3) 委托方和/或责任方应按鉴衡要求在约定的时间内向鉴衡提交开展工作所需的全部文件资料，委托方承诺并保证向鉴衡提供信息的合法性、真实性、准确性、完整性、及时性，否则委托方将承担由此而引发的责任。
- 4) 按合同的约定向鉴衡支付相关费用；

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- 5) 为鉴衡提供审定/核查所需的安全的、符合法律法规要求的工作条件；为符合审定与核查相关国家、行业或鉴衡法律法规或管理程序，鉴衡可能为本次审定/核查项目安排观察员或内外部见证评审人员，在鉴衡事先告知的前提下，委托方和/或责任方也需为这些人员提供所需的安全的、符合法律法规要求的工作条件；
- 6) 在审定/核查之前或过程中，告知鉴衡存在于项目现场的实际或潜在的健康和安全风险以及需采取的必要措施；
- 7) 及时告知鉴衡可能对审定/核查产生重大影响的变化；
- 8) 如对审定/核查组成员、计划、过程、行为或结论有异议，可与本次审定/核查事项相关人员协商解决。如不能达成一致意见，委托方和/或责任方可于审定/核查结束后 20 个工作日内向鉴衡提出书面投诉或申诉。如对鉴衡的投诉或申诉决定仍有异议，可进一步向鉴衡的行政主管机构或机制的主管机构提出复议；
- 9) 遵守鉴衡关于审定与核查陈述引用或标识使用的相关规定；
- 10) 除非鉴衡开展的审定/核查活动存有恶意或重大过失，否则委托方和/或责任方应保证鉴衡依据审定/核查合同开展的活动或行为不受任何第三人的权利主张或索赔，如出现第三人的权利主张或索赔，委托方和/或责任方应赔偿鉴衡因此而遭受的一切损失。

## 8.2 Business conditions 商务事宜

### 8.2.1 Validation / verification timeline and fees 审定/核查周期和收费


The validation / verification timeline and fees are determined based on the following factors:

- 1) The assurance level, materiality, standards, objectives, and scope agreed upon between CGC and the client and/or responsible party.
- 2) The complexity of the responsible party's claim subject to validation / verification.
- 3) The complexity of the measurement / monitoring processes for the quantitative information in the responsible party's claim.
- 4) The actual circumstances of client and/or responsible party, including the organizational structure established to manage the responsible party's claim.
- 5) The technical difficulty of the validation and/or verification (e.g., baseline scenarios, including selection and quantification applicable to the baseline scenarios).
- 6) Monitoring activities conducted for achieving quantitative information in the responsible party's claim.
- 7) The processes of information and data collection in the responsible party's claim.
- 8) Organizational relationships and interactions among stakeholders, responsible parties, clients, and intended users.
- 9) Requirements specific to the SS/TAs of the validation / verification.

The validation / verification timeline may change during the validation / verification process.

Fees for validation / verification shall be determined and specified in the contract. If additional



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work is required due to reasons of the client and/or responsible party during the validation / verification process, CGC may charge additional fees.

Payment terms in the validation / verification contract are prohibited to be tied to the validation / verification opinions.

审定/核查周期和收费根据以下因素决定：

- 1) 鉴衡和委托方和/或责任方商定的保证等级、实质性、准则、目标和范围；
- 2) 拟接受审定/核查的责任方宣称的复杂程度；
- 3) 责任方宣称中量化指标的测量/监视过程的复杂程度；
- 4) 委托方和/或责任方的环境，包括建立和管理责任方宣称的组织结构；
- 5) 审定和/或核查的技术难度（例如基准线情景，包括适用于基准线情景的选择和量化）；
- 6) 为责任方宣称中的量化指标而进行的监测；
- 7) 责任方宣称的信息和数据收集管理过程；
- 8) 利益相关方、责任方、委托方和潜在用户之间的组织联系和相互作用；和
- 9) 审定/核查行业/技术领域的要求

审定/核查周期可能在审定/核查过程中发生变化。

审定/核查的费用以合同中约定的费用为准，如果在审定/核查过程中由于委托方和/或责任方的原因导致额外的工作量，鉴衡可能会收取额外的费用。

审定/核查合同中的付款条件禁止与审定/核查结论存在相关性。

## **9 Validation / verification process 审定/核查流程**

### **9.1 Agreed-upon process 商定流程的管理**

Due to the special nature of the Agreed-Upon Procedures (AUP), the validation / verification shall be carried out based on the processes agreed upon between the client and CGC, and the subsequent provisions of this document do not apply.

由于商定流程（AUP）的特殊性质，其审定/核查活动按照委托方和鉴衡商定的流程开展，不执行本文件后续内容。

### **9.2 Process diagram 审定/核查流程图**

Typical validation / verification process diagram is as below:

鉴衡审定/核查的标准流程如下图：



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Establishment of validation /  
verification team 组建审定/核查小组

Planning 制定审定/核查计划

- Strategic analysis 开展策略分析  
- Risk assessment 开展风险评价  
- Design Evidence collection plan 设计证据收集活动  
- Determination and planning of on-site visit 识别需求并计划现场检查  
- Approval and agreement of validation / verification plan and evidence collection plan 批准和商定排放核查和证据收集计划

Implementation 开展审定/核查活动

- Execution of validation / verification plan 根据计划开展审定/核查  
- Execution of evidence collection plan 根据证据收集计划开展证据收集活动

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**Typical validation / verification process diagram 审定/核查工作流程图**

### 9.3 Description and explanation 流程说明

#### 9.3.1 Conditions for starting validation / verification 审定/核查开始的条件

Based on the type of validation / verification, the client and/or responsible party shall provide qualified claims that comply with the selected standards; otherwise, validation / verification shall not be proceed. The common requirements for qualified claims can be found in Annex 3 of this document.

根据审定/核查类型，委托方和/或责任方需要提供合格的，符合所选用的责任方宣称，否则审定/核查工作不会开展。本机构对常见的合格责任方宣称的要求请见本文件的附 3。

#### 9.3.2 Establishment of validation / verification team 组建审定/核查组

CGC shall establish a competent validation / verification team based on the purpose, scope, SS/TAs, and complexity of the validation / verification matters.

鉴衡将根据审定/核查的目的、范围、所处行业/技术领域、复杂程度等，组建充足且具备能力的审定/核查组。

#### 9.3.3 Planning 制定审定/核查计划

The validation / verification team shall develop a plan at the beginning of each validation / verification, take into account following aspects:

审定/核查组将在每次审定/核查活动开始时，考虑以下方面，制定本次审定/核查的计划：

- 1) Strategic analysis: based on the type, SS/TA, applicable validation and verification standards, standards / guidelines / norms / methodologies and/or mechanism requirements referenced in the responsible party's claim, as well as the client and/or responsible party's purpose, scope, intended users, the validation / verification team shall understand the nature and complexity of the validation / verification and plan it correspondingly.


策略分析。根据本次审定/核查的类型、行业/技术领域、责任方宣称所依据的标准/指南/规范/方法学和/或相关机制要求、委托方和/或责任方的目的、范围、潜在的目标用户、抽样（如需要）、实质性和保证等级等要素，理解本次审定/核查的本质和复杂程度，从而确定本次审定/核查所需要开展的活动；

- 2) Review the responsible part's claims and the applicable standards / guidelines / norms / methodologies and/or related mechanism requirements to identify and evaluate any potential inconsistencies between the claims and these requirements.

阅读责任方宣称和所依据的标准/指南/规范/方法学和/或相关机制要求，识别、评估责任方宣称与标准/指南/规范/方法学和/或相关机制要求可能存在的不一致；

- 3) Understand the claims to pinpoint key areas requiring attention and plan corresponding validation / verification activities.

阅读并理解责任方宣称，识别其中需要重点关注的内容，并计划相应的审定/核查活动；

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- 4) Identify potential risks of material misstatements in the claims and plan corresponding validation / verification activities accordingly.

阅读并理解责任方宣称，识别其中可能存在实质性失实陈述的风险点，并计划相应的审定/核查活动；

- 5) Assess the necessity of on-site visits. If required, plan the on-site activities; if not, plan alternative approaches to on-site visits.

判定现场访问的必要性，如需开展现场访问，计划现场访问活动；如果不需要，计划现场访问的替代方案；

- 6) Define evidence collection activities, which may include (but are not limited to): requesting evidence from the client and/or responsible party; searching publicly available literature; conducting on-site visits; interviewing relevant personnel of the client and/or responsible party; consulting external third-party experts; performing tests or measurements. If the validation / verification activity involves sampling, determine the sampling methodology and the number of samples.

确定证据收集活动。证据收集活动包括（但不限于）向委托方和/或责任方索取证据材料、搜索公开的文献资料、现场访问、对委托方和/或责任方的相关人员开展面谈、外部咨询第三方专家或学者、实施检测或计量等。如果本次审定/核查活动涉及抽样，还需要确定抽样方法和样本数；

- 7) Developing an evidence collection plan. The evidence collection plan shall aim to eliminate and/or minimize the risks of potential errors, omissions, or misstatements affecting the claims. It shall, at minimum, include a list of required evidence. If the activity involves sampling, prepare an evidence collection plan for each sample.


制订证据收集计划，证据收集计划应旨在消除和/或最大程度降低潜在错误、遗漏、失实陈述对宣传造成的风险。证据收集计划应至少包括需要收集的证据材料清单。如果本次审定/核查活动涉及抽样，应针对每个样本制定证据收集计划；

The validation / verification plan shall be prepared or signed off by the team leader. According to relevant validation and verification standards, any content from the plan to be disclosed shall be agreed upon with the client and/or responsible party. If new findings arise during the validation / verification process, the plan may be updated. Any update on the plan shall also be agreed upon with the client and/or responsible party.

审定/核查计划由组长制定或签字批准。根据相关审定与核查标准，审定/核查计划中可对外的内容将与委托方和/或责任方商定。商定后的审定/核查计划可能因为审定/核查活动新发现而变更。变更后的审定/核查计划也需要再次与委托方和/或责任方商定。

#### 9.3.4 Execution according to the plan 开展审定/核查活动

The validation / verification team shall implement the activity according to the agreed plan, including but not limited to:

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- 1) Collect evidence, including original data and information, striving to obtain sufficient objective evidence. Ensure the traceability of original data and information through process management, conduct further analysis and calculations on the collected original data and information, and evaluate the client and/or responsible party's analysis of data uncertainty.
- 2) Identify misstatements and consider their impact on materiality.
- 3) Assess whether other specific requirements outlined in the validation / verification programme have been met.

审定/核查组应按照经商定后的审定/核查计划实施本次审定/核查活动，包括但不限于按照计划完成以下工作：

- 1) 收集证据材料，包括原始数据和信息，获取充分的客观证据，通过数据和信息的过程管理确保原始数据和信息的可追溯性，对收集的原始数据和信息进一步的分析和计算；
- 2) 识别失实陈述并考虑其对实质性的影响；
- 3) 评估依据审定/核查方案其它特定要求是否得到了满足。

#### 9.3.4.1 On-site visits 现场访问

On-site visits are a part of validation / verification activities, the validation / verification team shall determine whether to conduct an on-site visit based on the requirements of different validation / verification programmes and the actual situation of the responsible party's claims.

The regular process for on-site visits shall be as follows:


- 1) Opening meeting.
- 2) Inspection of facilities / equipment / buildings / production lines / project sites (if necessary).
- 3) Interviews with relevant personnel (if necessary).
- 4) Evidence Review
- 5) Discussions within the validation / verification team.
- 6) Closing Meeting.

现场访问是审定/核查活动之一，审定/核查组应根据不同审定/核查方案的要求，结合责任方宣称的实际情况，决定是否开展现场访问。

通常情况下，鉴衡现场访问的流程如下：

- 1) 首次会议；
- 2) 现场设施/设备/建筑物/生产线/项目发生地走访（如果需要）；
- 3) 相关人员访谈（如果需要）；
- 4) 证据文件检查；
- 5) 组内讨论；
- 6) 末次会议。

If unforeseen or unavoidable factors make on-site visits infeasible, the validation / verification team shall firstly negotiate with the client and/or responsible party to adjust the timing and arrangements for the on-site visit. If on-site visits remain impossible, the team shall communicate with the client

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and/or responsible party to adopt alternative solutions for validation / verification, for example remote visit.

如由于不可预见或不可抗力因素导致现场访问难以实施，审定/核查组将与委托方和/或责任方协商调整现场访问的时间和安排。如果现场访问始终无法开展，审定/核查组长将与委托方/或责任方协商并征得委托方同意后计划并实施线上检查或其它替代方案。

9.3.4.2 Misstatements, non-conformity, and forward action requests 失实陈述、不符合项和观察项  
Misstatements include (but are not limited to): descriptions in the responsible party's claim that are inconsistent with evidence and/or actual circumstances; calculation errors; unreasonable assumptions; and predictions or estimates based on unreasonable assumptions.

失实陈述包括（但不限于）责任方宣称中与证据材料和/或实际情况不一致的内容；计算的错误；不合理的假设以及基于不合理假设做出的预测或估算等。

For issues identified by the validation / verification team, including but not limited to the following, the team shall issue a non-conformity to the client and/or responsible party:

- 1) Deviation: the responsible party's claim is inconsistent with the applicable standards / guidelines / norms / methodologies and/or relevant mechanism requirements.
- 2) Clarification: the responsible party's claim, evidence, or on-site actual conditions cannot enable the validation / verification team to accurately understand or reach a clear conclusion.
- 3) Supplement: the validation / verification team considers the responsible party's claim, evidence, or on-site actual conditions insufficient to support the team in reaching a conclusion, additional evidence shall be necessary.


针对审定/核查组发现的包括但不限于以下问题，审定/核查组应向委托方和/或责任方开具不符合项：

- 1) 偏离。即责任方宣称的内容与依据的标准/指南/规范/方法学和/或相关机制要求不一致。
- 2) 澄清。即责任方宣称的内容、证据文件或现场实际情况无法让审定/核查组准确理解或得到清晰的结论；
- 3) 补充。即审定/核查组认为责任方宣称的内容、证据文件或现场实际情况不足以支持审定/核查组获得结论，需要委托方和/或责任方提供更多证据文件；

Forward action requests refer to issues identified by the validation / verification team that the client and/or responsible party shall focus on or improve in future claim. It also shall include issues to be noted in subsequent validation / verification. FARs shall not affect the conclusions of the current validation / verification.

NOTE: the *Non-conformity* and *FAR* may be named differently under various mechanisms. For example, under the CCER mechanism, errors, clarifications, and supplements are collectively referred to as *Rectification Requirements*. Under the A6.4 mechanism, they are classified as *Corrective Action Requests (CAR)*, *Clarification Requests (CL)*, and *Forward Action Requests (FAR)*. In organizational-level emissions verification, they are referred to as the *Non-conformities*.

观察项。即审定/核查组认为委托方和/或责任方在今后的责任方宣称中需要重点关注或提高的

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事项，

也包括在后续的审定/核查中需要注意的事项。观察项不影响本次审定/核查的结论。

注：不符合项和观察项在不同机制下可能以不同的名称出现。例如在 CCER 机制下，错误、澄清、补充统称为“整改要求”；A6.4 机制下分为纠正要求（CAR）、澄清要求（CL）、后续活动要求（FAR）；组织层面排放核查称为不符合项。

The client and/or responsible party shall respond to the non-conformities or revise the responsible party's claim. If the validation / verification team considers the response from the client and/or responsible party sufficient to eliminate the cause or concern of the non-conformity, the non-conformity can be closed. Validation / verification shall only proceed once all non-conformities are closed or converted to FARs.

委托方/或责任方需针对失实陈述不符合项进行回复或修改责任方宣称。当审定/核查组认为委托方/或责任方的回复能够消除某项不符合项提出的原因或考虑，该不符合项可被关闭。只有当全部不符合项关闭或转为观察项后，审定/核查活动才能继续进行。


The validation / verification team shall require the client and/or responsible party to complete responses to the non-conformities or revise the claim within a reasonable time. The client and/or responsible party may negotiate changes or extensions to the deadline, but such changes shall not lead to uncontrolled or unreasonably delayed validation / verification.

审定/核查组应要求委托方/或责任方在合理的时间内完成不符合项的回复或修改责任方宣称。委托方/或责任方可以与审定/核查组商定变更或延长回复时间，但不得导致审定/核查活动不可控或不合理地停滞。

### 9.3.5 Completion of validation / verification 完成审定/核查活动

The validation / verification team shall make one of following opinions for each matter:

- 1) Unmodified: this opinion shall indicate that the validation / verification team confirms the responsible party's claim, and it is accurate, requiring no modifications. Depending on the validation / verification programme, this opinion may also be described as *unreserved, positive, satisfactory*, etc.
- 2) Modified: this opinion shall indicate that the validation / verification team confirms the responsible party's claim, but it contains non-material misstatements. The intended users shall refer to the validation / verification statement to understand the claim accurately. Depending on the validation / verification programme, this opinion may also be described as *reserved, reserved positive, conditionally satisfactory* etc. When issuing this opinion, the validation / verification team shall specify the modifications and their reasons and inform the client and/or responsible party of the non-material misstatements.
- 3) Negative: this opinion shall indicate that the responsible party's claim contains material misstatements, and the client and/or responsible party refuses to make revisions, the validation / verification team denies the responsible party's claim accordingly. Depending on the validation / verification programme, this opinion may also be described as *negative, unsatisfactory*, etc. When issuing this opinion, the validation / verification team shall explain the reasons for the

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denial.

审定/核查组将对每次审定/核查事项做出如下之一结论:

- 1) 未经改动的。此项结论代表审定/核查组确认责任方宣称, 且其内容是准确的, 不需要进行任何改动。根据不同的审定/核查方案, 该项结论也可能表述为“无保留的”、“正面的”、“令人满意的”等;
- 2) 经改动的。此项结论代表审定/核查组确认责任方宣称, 但其内容存在非实质性的失实陈述, 潜在用户需要结合审定/核查陈述方能准确理解。根据不同的审定/核查方案, 该项决定也可能表述为“持保留态度的”、“持保留态度正面的”、“附条件令人满意的”等。审定/核查组出具该结论时应说明包括何种改动及其理由, 并告知委托方和/或责任方非实质性的失实陈述;
- 3) 否定的。此项决定代表责任方宣称存在实质性的失实陈述且委托方和/或责任方拒绝修订, 或审定/核查组无法确认责任方宣称中的部分或全部内容, 审定/核查组据此否认责任方宣称。根据不同的审定/核查方案, 该项决定也可能表述为“负面的”、“不令人满意的”等。审定/核查组出具该结论时应说明否认的理由。

During the process of addressing misstatements and non-conformities and/or revising the responsible party's claim, the validation / verification team shall maintain communication with the client and/or responsible party and require feedback within a reasonable time. If the validation / verification team determines that the client and/or responsible party cannot provide feedback within a reasonable time, the team shall notify the client and/or responsible party or take one of the following actions:

- 1) Issue a modified or negative validation / verification opinion; or
- 2) Terminate the validation / verification activity and not to issue an opinion.

在失实陈述和不符合项回复和/或修改责任方宣称过程中, 审定/核查组需与委托方和/或责任方保持及时沟通, 并要求委托方和/或责任方在合理的时间内予以反馈。如果审定/核查组判断委托方和/或责任方无法在合理的时间内予以反馈, 审定/核查组需告知委托方和/或责任方, 或采取以下行动:

- 1) 出具一个保留或否定的审定/核查结论; 或者
- 2) 终止审定/核查, 不出具审定/核查结论。


### 9.3.6 Technical review 复核

Review (also referred to as technical review) is a mandatory step in the validation / verification process. To ensure the independence and impartiality of the review, CGC shall assign personnel who were not involved in the planning or implementation of the current validation / verification to conduct the review. The review typically takes place after the validation / verification team drafts the statement and/or report and shall be completed before the decision.

The review includes the following content:

- 1) Whether the validation / verification has been completed all required activities in accordance



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with the validation / verification contract and the corresponding validation / verification programme.

- 2) Whether the evidence supporting the validation / verification opinions is sufficient and applicable.
- 3) Whether significant findings have been identified, resolved, and documented.
- 4) Whether the validation / verification team possesses the necessary competence to carry out the validation / verification.
- 5) Whether the significant decisions made during the validation / verification process are correct.
- 6) Whether the opinions have been effectively stated.
- 7) Whether the responsible party's claim is complete, fairly presented, and complies with applicable standards / guidelines / norms / methodologies and/or relevant mechanism requirements.
- 8) For the review of environmental information validation and verification, confirmation that the validation / verification plan is reasonable, including whether the following aspects reflect the objectives, scope, materiality (if applicable), and assurance levels:
  - a) Strategic analysis and risk assessment.
  - b) Validation / verification plan.
  - c) Evidence collection plan.


复核（也称技术复核）是审定/核查活动的必须环节。为保证复核的独立性和公正性，鉴衡将安排未参与本次审定/核查活动策划和实施的人员进行复核。复核通常在审定/核查组起草完审定/核查陈述和/或报告后进行，且必须在审定/核查的最终陈述决定前完成。

复核的内容如下：

- 1) 是否已按照协议和方案完成审定与核查活动；
- 2) 支持作出审定/核查结论的证据的充分性和适宜性；
- 3) 重要的审定/核查发现是否已被识别、解决和形成文件；
- 4) 审定/核查组成员具备所审定和核查活动的的能力；
- 5) 审定/核查组在审定/核查过程中做出的重大决定；
- 6) 是否有效陈述了决定；
- 7) 责任方宣称是否完整、表达公正、并符合标准/指南/规范/方法学和/或相关机制要求；
- 8) 环境信息审定与核查复核还需确认制订的审定/核查计划是否合理，包括以下方面体现了目标、范围、实质性（如有）、和保证等级：
  - a) 进行战略分析和风险评估；
  - b) 审定/核查计划；
  - c) 证据收集计划；

### 9.3.7 Decision 决定

The decision shall refer to whether CGC confirms the responsible party's claim. Based on the

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decision made, CGC shall either issue or decline to issue the validation / verification statement. If the statement is not issued, CGC shall officially notify the client.

决定是指鉴衡是否确认接受审定/核查的责任方宣称。基于作出的决定，鉴衡将签发或不签发审定/核查陈述。如果不签发审定/核查陈述，鉴衡将书面通知委托方。

If the validation / verification has participated in or is intended to participate in a specific mechanism, CGC shall proceed with or discontinue the subsequent processes required by the mechanism based on the decision. It shall be specifically noted that certain mechanisms may not accept a modified statement. In such cases, CGC shall communicate with the responsible party and/or client. If the responsible party and/or client refuses to revise the declaration, CGC shall approve and issue the validation / verification statement and/or report solely to the responsible party and/or client, but shall not support the participation in the mechanism of the object nor proceed with subsequent processes required by the mechanism.

如果本次审定/核查事项已参与/拟参与某机制，鉴衡将根据决定进行或不进行相关机制要求的后续流程。需要特别指出的是，某机制可能不接受结论为“经改动的”的审定/核查事项。在此情况下，本机构将与责任方和/或委托方沟通，如果责任方和/或委托方依然拒绝修改责任方宣称，本机构将仅对责任方和/或委托方批准并签发审定/核查陈述和/或报告，但不会支持本次审定/核查事项参与该机制，也不会实施机制要求的后续流程。


#### **9.4 Facts discovered after the issue of the validation/verification statement 审定/核查陈述签发后的事实发现**

After the validation / verification statement is issued, new facts may emerge that could have a material impact on the issued statement, including but not limited to newly discovered evidence.

审定/核查陈述签发后，可能出现新的对已签发的审定/核查陈述产生实质性影响的事实发现，包括但不限于新出现的证据文件。

CGC shall take the following actions when it becomes aware of any discovered facts:

- 1) Immediately communicate with the client and/or responsible party, inform them of the discovered facts and explain the follow-up process.
- 2) Notify relevant parties that the original validation / verification statement is temporarily invalid, as the new facts may undermine its credibility and CGC may adjust the original statement. Relevant parties include, but are not limited to, the client and/or responsible party, users of the statement, mechanism administration, and administrative agencies.
- 3) Conduct a re-evaluation to determine whether the new findings have a material impact on the original validation / verification statement. If the re-evaluation concludes that there is no material impact, CGC shall notify all relevant parties to reinstate the original validation / verification statement. If the re-evaluation concludes that there is a material impact, CGC shall conduct re-validation / re-verification, review, and make a decision based on the new findings.
- 4) Based on the decision from the re-validation / re-verification, CGC shall amend or revoke the original validation / verification statement and notify all relevant parties.

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5) If the re-validation / re-verification is not completed within two years after the re-evaluation begins, CGC shall notify the relevant parties to revoke the original statement.

当鉴衡知晓了任何事实发现，将采取以下行动：

- 1) 立即与委托方和/或责任方取得沟通，告知其事实发现和本机构后续的工作流程；
- 2) 通知各相关方原审定/核查陈述暂时失效，新的事实发现可能使原审定/核查陈述的可信度受到损害，鉴衡可能会对原陈述进行调整。通知对象包括但不限于委托方和/或责任方、审定/核查陈述的用户、机制的主管机关、行政主管部门等。
- 3) 针对新发现是否对原审定/核查陈述产生实质性影响进行重评估。如果重评估的结论为无实质性影响，鉴衡将通知各相关方恢复原审定/核查陈述；如重评估的结论为存在实质性影响，鉴衡将对新的事实发现开展重审定/核查活动、复核并做出决定；
- 4) 鉴衡将根据重审定/核查的决定变更或撤销原审定/核查陈述并通知各相关方；
- 5) 如果该审定/核查事项在开始重评估后两年仍未能完成重审定/核查，本机构将通知各相关方撤销原陈述。

#### 10 Handling of comments 意见处理

CGC shall investigate and address any comments raised by the client and/or responsible party during the validation and verification and communicate the outcome to the client and/or responsible party.

审定与核查过程中对委托方和/或责任方提出的任何意见，鉴衡将进行调查和处理，并将结果告知委托方和/或责任方。

#### 11 Handling of disputes 申诉处理


Disputes shall be handled in accordance with the *Procedure for Complaints, Appeals and Disputes (CGC-QP-G06)*.

鉴衡的申诉处理参照《投诉、申诉和争议处理程序》(CGC-QP-G06) 执行。

#### 12 Handling of complaints 投诉处理

Complaints shall be handled in accordance with the *Procedure for Complaints, Appeals and Disputes (CGC-QP-G06)*.

鉴衡的投诉处理参照《投诉、申诉和争议处理程序》(CGC-QP-G06) 执行。

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## Annex 1: Sectoral scope / technical area 附 1: 业务领域

### 1、Organizational level GHG emissions verification (CGC-VV-GHG P01- Verification / Certification programme for organization level GHG emissions and removals)

组织温室气体排放核查 (CGC-VV-GHG P01-组织温室气体排放和清除核查方案)


Sectoral scope ID 行业编号	Sectoral scope name 行业名称	Accreditation status 获认可情况	Technical area ID 技术领域编号	Technical area name 技术领域名称
SK-01	Energy and energy trading 发电与电力交易	Accredited by CNAS 获 CNAS 认可	SK-01.1	Power generation 发电
			SK-01.2	Power transmission and distribution 电网
			SK-01.3	Thermal power generation and supply 热力生产和供应
SK-02	General manufacturing (transforming materials or substances into new products through physical or chemical processes) 一般制造 (将材料或物质通过物理或化学方式转化为新产品)	Accredited by CNAS 获 CNAS 认可	SK-02.1	Mechanical and electronical manufacturing 机械及电子设备制造
			SK-02.2	Food and pharmacy manufacturing 食品及药品制造
			SK-02.3	Construction 建筑业
			SK-02.4	General manufacturing 通用制造
SK-03	Oil and gas exploration, extraction, production, and refining, as well as pipeline transportation and distribution, including petrochemical products. 石油和天然气勘探、开采、生产和炼油, 以及管道运输, 包括石化产品		SK-03.1	Oil and gas exploration 石油和天然气生产
			SK-03.2	Petrochemical products 石油化工生产
			SK-03.3	Oil and gas transfer and delivery 石油、天然气运输和配送
SK-04	Metal production (excl. aluminum) 金属生产	Accredited by CNAS 获 CNAS 认可	SK-04.1	Coke production 焦炭生产
			SK-04.2	Iron&steel smelting 钢铁的冶炼生产
			SK-04.3	Iron&steel processing and product 钢铁的压延加工
			SK-04.4	Magnesium smelting and processing 镁冶炼
			SK-04.5	Other ferrous metals smelting and processing 其他黑色金属冶炼和压延加工
			SK-04.6	Other nonferrous metals smelting and processing 其他有色金属冶炼和压延加工
SK-05	Aluminum production	Accredited by	SK-05.1	Aluminum smelting



	铝生产	CNAS 获 CNAS 认可		铝冶炼
SK-06	Mining and mineral production 采矿和矿物生产	Accredited by CNAS 获 CNAS 认可	SK-06.1	Non-coal mining and mineral processing 黑色金属矿、有色金属 矿、非金属矿和其他矿物 的采矿、选矿和加工
			SK-06.2	Coal mining and processing 煤炭开采和洗选
			SK-06.3	Cement production 水泥生产
			SK-06.4	Other nonmetal mining and mineral processing 其他非金属矿物制品的 生产
SK-07	Plup, paper, and paper production 纸浆、纸和印刷		SK-07.1	Plup production 纸浆的制造
			SK-07.2	Paper and paper production 造纸和纸制品生产
SK-08	Chemical industry 化工生产		SK-08.1	Oxalic acid and nitric acid 己二酸和硝酸制造
			SK-08.2	Fluorine industry 氟化工
			SK-08.3	Soda ash and caustic soda 纯碱、烧碱
			SK-08.4	Methanol and ammonia 甲醇、合成氨
			SK-08.5	Calcium carbide 电石
			SK-08.6	Other chemical processing 其它化工
SK-09	Carbon capture and storage 碳捕获封存		SK-09.1	Carbon capture and storage 碳捕获封存
SK-10	Transportation 运输		SK-10.1	General transportation 普通运输
			SK-10.2	Aviation 航空运输
SK-11	Waste handling and disposal 废物处理和处置	Accredited by CNAS 获 CNAS 认可	SK-11.1	Waste handling and disposal 废物处理和处置
SK-12	Agriculture, forestry, and other land use 农业、林业和其它土地利用		SK-12.1	Planting 种植业
			SK-12.2	Animal breeding 养殖业
SK-13	General scenario 通用	Accredited by CNAS 获 CNAS 认可	SK-13.1	General scenario 通用

Note: Certain technical areas within accredited sectors may not be accepted if qualified assessors are not available.

注: 已获得认可的行业下, 某些技术领域可能因本机构无具备能力的审核员而无法受理。

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2、Project level GHG emission reductions or removal enhancements validation and/or verification (CGC-VV-GHG P02-Validation and verification / certification programme for project level GHG emission reductions or removal enhancements)

项目温室气体减排/移除增加审定与核查 (CGC-VV-GHG P02-项目温室气体减排或清除增加审定核查方案)

Sectoral scope ID 行业编号	Sectoral scope name 行业名称	Accreditation status 获认可情况	Technical area ID 技术领域编号	Technical area name 技术领域名称
SS 1	Energy industries (renewable/ non-renewable sources) 能源工业 (可再生/非可再生资源)		TA-01.1	Thermal energy 热能生产
			TA-01.2	Renewables 可再生能源
SS 2	Energy distribution 能源输配		TA-02.1	Energy distribution 能源分配
SS 3	Energy demand 能源需求		TA-03.1	Energy demand 能源需求
SS 4	Manufacturing industries 制造业		TA-04.1	Cement and lime production 水泥和石灰生产
SS 5	Chemical industry 化学工业		TA-05.1	Chemical industry 化学工业
			TA-05.2	Caprolactam, nitric and adipic acid 己内酰胺和脂肪酸
SS 6	Construction 建筑		TA-06.1	Construction 建筑
SS 7	Transport 运输		TA-07.1	Transport 交通
SS 8	Mining/mineral production 采矿/矿物生产		TA-08.1	Mining/mineral production 采煤/采矿
SS 9	Metal production 金属生产		TA-09.1	Aluminium and magnesium production 铝和镁的生产
			TA-09.2	Iron, steel and ferro-alloy production 钢铁和铁合金生产
SS 10	Fugitive emissions from fuels (solid, oil and gas) 燃料 (固体、石油和天然气) 的逸散性排放		TA-10.1	Fugitive emissions from oil and gas 油气的逸散排放
SS 11	Fugitive emissions from production and consumption of halocarbons and sulphur hexafluoride 卤化碳和六氟化硫在生产和消 耗过程中的逸散性排放		TA-11.1	Emissions of fluorinated gases 含氟气体的排放
			TA-11.2	Refrigerant gas production 制冷剂生产
SS 12	Solvents use 溶剂使用		TA-12.1	Chemical industry 化学工业
SS 13	Waste handling and disposal 废物处理及处置		TA-13.1	Solid waste and wastewater 固体废弃物和废水



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			TA-13.2	Manure 动物粪便
SS 14	Afforestation and reforestation 植树造林和再造林		TA-14.1	Afforestation and reforestation 植树造林和再造林
SS 15	Agriculture 农业		TA-15.1	Agriculture 农业
SS 16	Carbon capture and storage of CO2 in geological formation 二氧化碳的碳捕获和地质构造中的储存		TA-16.1	Carbon Capture and Storage 碳捕集和封存
SS 17	Other activities involving removals 包括移除的其它活动		TA-17.1	Other activities involving removals 包括移除的其它活动

Note: Certain technical areas within accredited sectors may not be accepted if qualified assessors are not available.

注: 已获得认可的行业下, 某些技术领域可能因本机构无具备能力的审核员而无法受理。

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3、Agreed-upon-procedure verification (CGC-VV-AUP P01-Agreed-upon-procedures verification programme)

商定程序（AUP）核查（CGC-VV-AUP P01-商定流程（AUP）核查方案）

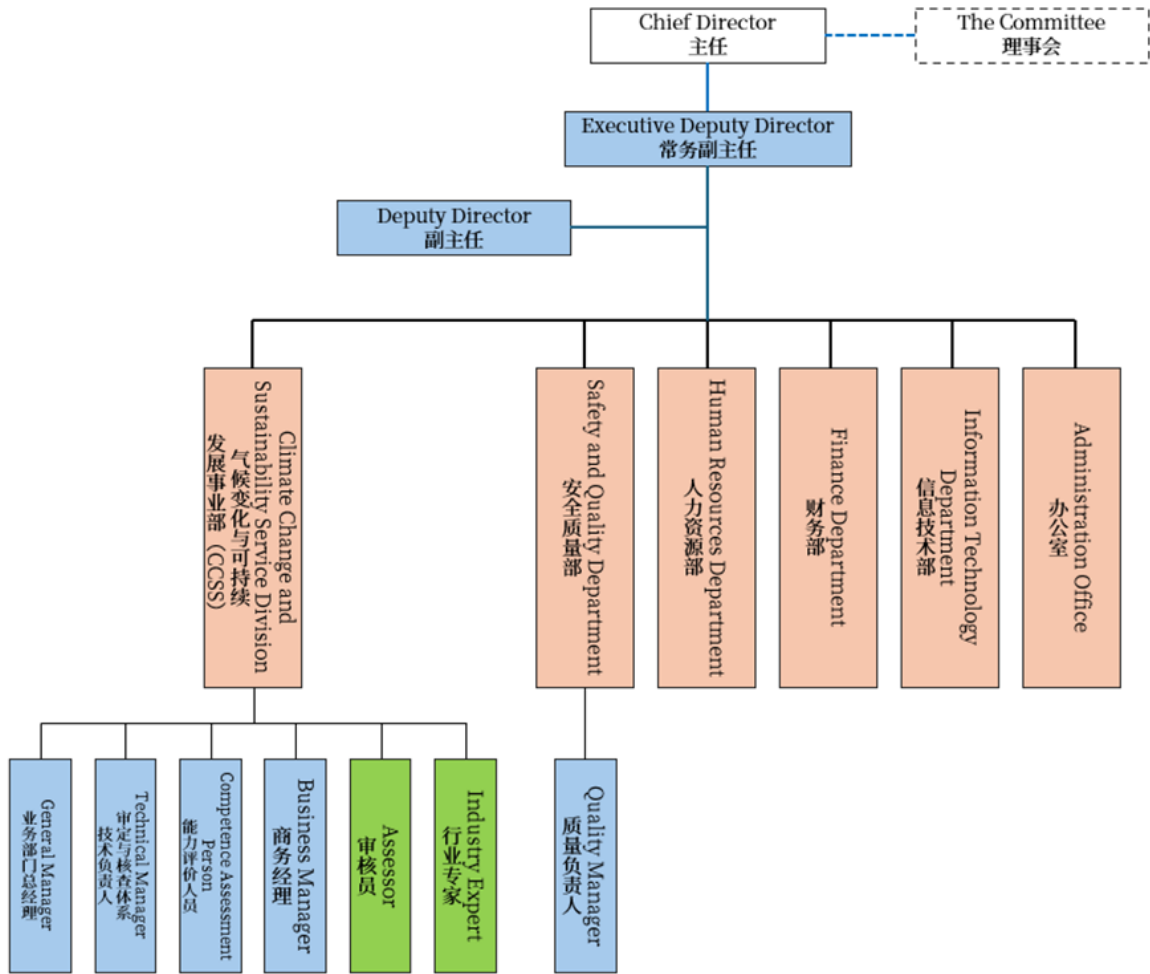
Please refer to the SS/TA of organizational level GHG emissions verification

参考组织温室气体排放核查的行业/技术领域。



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**Annex 2: Management structure 附 2: 管理结构**



Name 姓名	Title 职务	Responsibilities 职责
Mr. Qin Haiyan 秦海岩	Chief Director of CGC 鉴衡主任	Top management 最高管理者
Mr. Wang Wei 王巍	Executive Deputy Director 常务副主任	Manage the daily operations and monitor operational performance 对审定与核查日常运行进行管理，并监督运行绩效
Mr. Chen Xuesong 陈雪松	Deputy Director 副主任	Manage the branches and subsidiaries and be responsible for external communication 对分、子公司进行管理，负责对外联络
Ms. Lu Yang	Quality Manager	Establish, document, implement, and




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芦洋	质量负责人	maintaine the validation / verification quality management system 建立、编制、实施、和维持审定与核查标准管理体系
Mr. Li Haoran 李浩然	General Manager of CCSS 气候变化与可持续发展事业部总经理	Manage the daily operations of the business division, supervise operational performance, and sign relevant documents and records 业务部门日常管理；监督运行绩效；签署相关文件和记录

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### Annex 3: General requirements of responsible party claim 附 3: 常见责任方宣称的要求

The responsible party claim (claim) shall prioritize and fully comply with the standards / guidelines / norms / methodologies and/or relevant mechanism requirements on which it is based. On this premise, CGC requires qualified claims to include at least the following:

责任方宣称应优先、完全遵守所依据的标准/指南/规范/方法学和/或相关机制要求。在此的前提下，鉴衡要求合格的相关文件至少应包括以下内容：


#### Requirements for Organization-Level Greenhouse Gas (GHG) Emissions or Removal Claims (Emissions Report):

- 1) Basic information: Including the name and type of the entity, the person or department responsible for the emissions report, the date of report completion, version, etc.
- 2) GHG emissions information: Including the applied accounting standards / guidelines / norms / methodologies, reporting timeframe, boundaries, GHG types, emission sources, and the rationale for their inclusion or exclusion.
- 3) Changes (if any) from the baseline or previous GHG accounting period: Including changes to applied accounting standards / guidelines / norms / methodologies and reasons, boundary changes and reasons, GHG type changes and reasons, and emission source changes and reasons.
- 4) Monitoring and collection of GHG data: Including monitoring methods for GHG-related parameters, data acquisition processes, data aggregation / reporting / management processes, and compilation and reporting processes for the emissions report.
- 5) GHG emissions data: Total emissions (in tCO<sub>2</sub>e), emission break downs (if any), separate information on biomass-related emissions (if any), activity level data and sources, emission factors and sources, selected global warming potential (GWP) values.
- 6) Analysis of GHG emissions (if applicable): Including an analysis of the current GHG emissions and changes from the baseline or previous accounting periods, along with the reasons.
- 7) Uncertainty analysis: Including the extent of uncertainty and its impact on emissions data.
- 8) Authenticity declaration: A commitment to the authenticity of the information provided in the emissions report.

The above content may be fully included in the emissions report or provided as attachments or supplements as needed.

#### 组织层面温室气体排放或清除量宣称（暨排放报告）的要求

- 1) 基本信息：包括排放主体的名称和类型、排放报告责任人或部门、报告完成日期、版本等；
- 2) 温室气体排放信息：包括应用的核算标准/指南/规范/方法学、报告时间范围、边界、温室气体种类、排放源及选择和排除的理由；
- 3) （如果有）与基准时期或上一时期温室气体排放核算的变化：包括应用的核算标准/指南/

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规范/方法学的变化及理由、边界的变化及理由、温室气体种类的变化及理由、排放源的变化及理由;

- 4) 温室气体数据的监测和收集: 包括温室气体相关各参数的监测方法、数据读取或获取流程、数据汇总/报告/管理流程、排放报告的编制和报告流程;
- 5) 温室气体排放数据: 总排放量(以吨二氧化碳当量为单位)、分范围排放量(如果进行了量化)、单列的生物质相关排放信息(如果有)、活动水平数据及其来源、排放因子及其来源、全球温升潜势(GWP)值的选取;
- 6) (如果适用)温室气体排放量的分析: 本次温室气体排放量的分析、与基准时期或上一时期温室气体排放核算的变化及原因;
- 7) 不确定性分析: 包括不确定性的程度和对排放量的影响;
- 8) 真实性声明: 对排放报告中信息的真实性进行承诺。

视需要, 上述内容可全部编制于排放报告中, 也可以附件或支撑材料的方式提供给本机构。

#### **Requirements for Project-Level GHG Emissions Reductions and/or Removal Enhancements Project Design Documents (PDDs):**

- 1) Basic information: Including the project name, name of the responsible party, basic project information, scale, location, technology overview, project design life, project status at the expected start of validation (e.g., not started, under construction, operational), PDD completion date, version, etc.
- 2) GHG emissions information: Including applied standards / guidelines / norms / methodologies and/or relevant mechanism requirements, reasons for their application, boundaries, GHG types, emission sources, estimated annual GHG reductions and/or removal enhancements (in tCO<sub>2</sub>e), selected GWP values, crediting period, etc.
- 3) Baseline justification: Including baseline scenarios and the justification process, data and information used, assumptions, and reasons for judgments.
- 4) Additionality justification (if required): Including the process, data, assumptions, and reasons for judgments used in justifying additionality.
- 5) GHG emissions reductions and/or removal enhancements calculations: Including calculation formulas, selection of parameters (including assumptions or predictions), and their reasons, as well as the impact of uncertainties on reductions and/or removal enhancements.
- 6) Monitoring plan: Including ex-anti fixed parameters throughout the crediting period and ex-post monitored parameters, monitoring methods, (if any) installation and maintenance requirements for monitoring instruments, data acquisition processes, data aggregation / reporting / management processes, and compilation and reporting processes for monitoring reports.
- 7) Authenticity declaration: A commitment to the authenticity of the information provided in the PDD.

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The above content may be fully included in the PDD or provided as attachments or supplements as needed.


### 项目层面温室气体减排量和/或清除增加量项目设计文件（暨项目设计文件）的要求

- 1) 基本信息：包括项目名称、责任方的名称、项目基本信息、规模、所在地、技术简述、项目设计寿命、预计审定开始时项目的状态（例如未建设、在建、投运等）、项目设计文件完成日期、版本等；
- 2) 温室气体排放信息：包括应用的标准/指南/规范/方法学和/或相关机制要求、应用的理由、边界、温室气体种类、排放源、预计的年度温室气体减排量和/或清除增加量（以吨二氧化碳当量为单位）、选用的全球温升潜势（GWP）值、计入期等；
- 3) 基准线论证：包括基准线情形和论证过程、论证过程中应用的数据和信息、论证过程中应用的假设条件和判断理由；
- 4) （如果需要）额外性论证：包括额外性的论证过程、论证过程中应用的数据和信息、论证过程中应用的假设条件和判断理由；
- 5) 温室气体减排量和/或清除增加量的计算过程：包括计算公式和各参数的选取，包括使用的假设或预测的参数，和选取的理由、假设或预测的参数对不确定性的影响；
- 6) 监测计划：包括在整个计入期固定的参数和需要进行监测的参数、各参数的监测方法、（如果有）监测仪表的安装和维护要求、数据读取或获取流程、数据汇总/报告/管理流程、监测报告的编制和报告流程；
- 7) 真实性声明：对排放报告中信息的真实性进行承诺。

视需要，上述内容可全部编制于项目设计文件中，也可以附件或支撑材料的方式提供给本机构。

### Requirements for Project-Level GHG Emissions Reductions and/or Removal Enhancements Monitoring Reports:

- 1) Basic information: Including the project name, name of the responsible party, basic project information, project scale during the monitoring period, location, technology overview, applied accounting standards / guidelines / norms / methodologies and/or relevant mechanism requirements, monitoring period start and end dates, project operating status during the monitoring period, report completion date, version, etc.
- 2) Project changes (if any): Including changes in scale, location, technology, etc., compared to the PDD or previous monitoring period, and the reasons; changes in applied accounting standards / guidelines / norms / methodologies and their reasons; changes in boundaries, GHG types, and emission sources and their reasons.
- 3) Implementation of monitoring activities: Including changes (if any) from the monitoring plan and reasons; parameter acquisition processes during the monitoring period; (if any) installation,

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operation, and maintenance of monitoring instruments; data aggregation / reporting / management processes; and final parameter values during the monitoring period.

- 4) GHG emissions reductions and/or removal enhancements: Including calculation formulas, actual data for each parameter during the monitoring period, selection of non-monitored parameters, use of assumptions or predictions (if any) with explanations and reasons, total reductions and/or removal enhancements (in tCO<sub>2</sub>e), selected GWP values, etc.
- 5) Analysis of GHG emissions reductions and/or removal enhancements (if applicable): Including changes and reasons for the reductions and/or removal enhancements compared to the PDD or previous monitoring periods.
- 6) Uncertainty analysis: Including the extent of uncertainty and its impact on reductions and/or removal enhancements.
- 7) Authenticity declaration: A commitment to the authenticity of the information provided in the monitoring report.

The above content may be fully included in the monitoring report or provided as attachments or supplements as needed.

#### 项目层面温室气体减排量和/或清除增加量监测报告（暨监测报告）的要求

- 1) 基本信息：包括项目名称、责任方的名称、项目基本信息、本监测期内项目规模、所在地、技术简述、应用的核算标准/指南/规范/方法学和/或相关机制要求、本监测期的起止时间、本监测期内项目的运行状况、报告完成日期、版本等；
- 2) 项目变化情况（如果有）：包括（与项目设计文件或上一监测期相比）规模、所在地、技术等的变化和原因、应用的核算标准/指南/规范/方法学和/或相关机制要求的变化及理由、边界的变化及理由、温室气体种类的变化及理由、排放源的变化及理由；
- 3) 监测活动的实施：包括实际监测活动与监测计划的变化（如果有）及理由、本监测期内各参数的获取流程、（如果有）各监测仪表的安装和运行维护情况、数据汇总/报告/管理流程、本监测期内各参数的最终值；
- 4) 温室气体减排量和/或清除增加量：包括计算公式、各参数本监测期的实际数据、非监测参数的选取、使用的假设或预测的参数（如果有）及其说明和理由、总减排量和/或清除增加量（以吨二氧化碳当量为单位）、选用的全球温升潜势（GWP）值等；
- 5) （如果适用）温室气体减排量和/或清除增加量的分析：本监测期减排量和/或清除增加量与设计文件或上一时期温室气体减排量和/或清除增加量的变化及原因；
- 6) 不确定性分析：包括不确定性的程度和对减排量和/或清除增加量的影响；
- 7) 真实性声明：对监测报告中信息的真实性进行承诺。

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