



Annex 11

DRAFT CLEAN DEVELOPMENT MECHANISM PROJECT CYCLE PROCEDURE

(Version 01)



DRAFT

CONTENTS

I. INTRODUCTION	4
A. BACKGROUND	4
B. OBJECTIVES	5
II. SCOPE	6
III. TERMS AND DEFINITIONS	6
IV. PRE-REGISTRATION ACTIVITIES.....	6
A. PRIOR CONSIDERATION OF THE CLEAN DEVELOPMENT MECHANISM	6
B. PUBLICATION OF PROJECT DESIGN DOCUMENT	6
1. Submission of project design document	6
2. Submission and treatment of public comments	8
C. REPORTING OF VALIDATION STATUS	8
D. MODALITIES OF COMMUNICATION	9
E. REQUEST FOR DEVIATION FROM APPROVED METHODOLOGY	10
1. Submission of request for deviation	10
2. Processing request for deviation	10
F. APPLICATION OF MULTIPLE METHODOLOGIES IN PROGRAMME OF ACTIVITIES	12
V. REGISTRATION OF PROJECT ACTIVITY OR PROGRAMME OF ACTIVITIES.....	13
A. REQUEST FOR REGISTRATION	13
1. Submission of request for registration	13
2. Processing request for registration	14
3. Requesting review of request for registration	15
4. Finalizing request for registration if no request for review	16
B. REVIEW OF REQUEST FOR REGISTRATION	16
1. Commencement of review	16
2. Assessment	17
3. Consideration by the Board	18
4. Finalization and implementation of the ruling	18
C. INCLUSION OF COMPONENT PROJECT ACTIVITIES IN PROGRAMME OF ACTIVITIES	19
1. Submission of component project activity design documents	19
2. Review of erroneous inclusion or renewal of crediting period of component project activities	20
D. WITHDRAWAL OF REQUEST FOR REGISTRATION	21
1. Submission of request for withdrawal	21
2. Processing request for withdrawal	22
VI. POST-REGISTRATION CHANGES	22
A. CHANGES TO REGISTERED CDM PROJECT ACTIVITY	22
1. Submission of request for approval of changes	22
2. Processing request for approval of changes	23
B. CHANGES TO MODALITIES OF COMMUNICATION	25
VII. PRE-ISSUANCE ACTIVITIES.....	28
A. PUBLICATION OF MONITORING REPORT	28
B. REPORTING OF STATUS OF REGISTERED PROJECT ACTIVITY OR PROGRAMME	28



DRAFT

VIII. ISSUANCE OF CERTIFIED EMISSION REDUCTIONS	29
A. REQUEST FOR ISSUANCE.....	29
1. Submission request for issuance.....	29
2. Processing request for issuance	30
3. Requesting review of request for issuance	31
4. Finalizing request for issuance if no request for review.....	32
B. REVIEW OF REQUEST FOR ISSUANCE	32
1. Commencement of review	32
2. Assessment	33
3. Consideration by the Board.....	34
4. Finalization and implementation of the ruling.....	34
C. WITHDRAWAL OF REQUEST FOR ISSUANCE	36
1. Submission of request for withdrawal	36
2. Processing request for withdrawal.....	36
IX. RENEWAL OF CREDITING PERIOD.....	36
A. PREPARATION OF REVISED PROJECT OR PROGRAMME DESIGN DOCUMENT	36
B. APPLICATION FOR RENEWAL OF CREDITING PERIOD.....	36
C. PROCESSING OF REQUEST FOR RENEWAL OF CREDITING PERIOD	37
X. ADDRESSING SIGNIFICANT DEFICIENCIES IN PAST VALIDATION, VERIFICATION OR CERTIFICATION REPORTS	38

**DRAFT****I. INTRODUCTION****A. Background**

1. The Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (CMP), at its first session, established the basis of a regulatory framework of the clean development mechanism (CDM) to implement Article 12 of the Kyoto Protocol through the annex to decision 3/CMP.1, the annexes II, III and IV to decision 4/CMP.1, the annex to decision 5/CMP.1 and the annex to decision 6/CMP.1. The CMP revised provisions in these decisions through new decisions in subsequent sessions. In addition, the Executive Board of the clean development mechanism (hereinafter referred to as the Board) operationalized the CDM process by adopting various standards, procedures and guidelines and revised them, as appropriate, with a view to improving the CDM process.

2. This document, developed in accordance with “CDM management plan 2011” under its objective 3 b) “Clarification, consolidation and enhancement of the consistencies of all the existing regulatory decisions of the Board that relate to validation and verification of project activities”, consolidates all procedural provisions relating to the project cycle under the CDM: from prior consideration of seeking CDM status, the publication of project design document (PDD) regarding a CDM project activity or programme of activities (PoA) up to the issuance of certified emission reductions (CERs) for the CDM project activity or PoA and the renewal of crediting period. This document replaces the following documents formerly adopted by the Board:

- (a) Procedures for processing and reporting on validation of CDM project activities (version 3.0);
- (b) Guidelines on the demonstration and assessment of prior consideration of the CDM (version 3.0);
- (c) Procedures for modalities of communications between project participants and the Executive Board (version 1.0);
- (d) Procedures for requests to the Executive Board for deviation from an approved methodology (version 1.0);
- (e) Procedures for approval of the application of multiple methodologies to a programme of activities (version 1.0);
- (f) Procedure for requests for registration of proposed CDM project activities (version 2.0);
- (g) Procedures for registration of a programme of activities as a single CDM project activity and issuance of certified emission reductions for a programme of activities (version 4.1);
- (h) Guidelines on the registration fee schedule for proposed project activities under the clean development mechanism (version 2.0);
- (i) Guidelines for requesting a review and making decisions and objections regarding review assessments (version 2.0);
- (j) Guidance for the development, revision and consolidation of standards and procedures related to the CDM project cycle (version 1.0);
- (k) Procedures for review of erroneous inclusion of a CPA (version 3.0);

**DRAFT**

- (l) Procedures for withdrawal of a request for registration (version 1.0);
- (m) Procedure for review of requests for registration (version 1.2);
- (n) Report of the twenty-eighth meeting of the Board, paragraph 96;
- (o) Report of the thirty-first meeting of the Board, paragraph 86;
- (p) Procedures for renewal of the crediting period of a registered CDM project activity (version 5.0);
- (q) Making the monitoring report available to the public in accordance with § 62 of the modalities and procedures for the CDM (version 1.0);
- (r) Procedure for requests for issuance of CERs (version 1.2);
- (s) Procedures for withdrawal of a request for issuance of certified emission reductions (version 1.0);
- (t) Procedure for review of requests for issuance of CERs (version 1.3);
- (u) Procedures for notifying and requesting approval of changes from the project activity as described in the registered PDD (version 1.0);
- (v) Procedures for revising monitoring plans in accordance with paragraph 57 of the modalities and procedures for the CDM (version 2.0);
- (w) Report of the fifty-ninth meeting of the Board, paragraph 66;
- (x) Procedures for requesting post-registration changes to the start date of the crediting period (version 2.0);
- (y) Procedures for requests for deviation prior to submitting request for issuance (version 1.0).

3. This document further provides provisions to address significant deficiencies in validation, verification and certification reports based on the guidance by the CMP through decision 3/CMP.6, paragraphs 25-26.

B. Objectives

4. The objectives of the “Clean development mechanism project cycle procedure” (hereinafter referred to as this procedure) are to:

- (a) Improve the consistency and clarity in processing by the Board and the UNFCCC secretariat (hereinafter referred to as the secretariat) of the submissions of documents relating to the registration of a proposed CDM project activity or PoA and issuance of CERs;
- (b) Enhance the overall efficiency and integrity of the CDM.

**DRAFT****II. SCOPE**

5. This procedure describes the administrative steps to follow for project participants, designated operational entities (DOEs), other stakeholders, the Board and the secretariat for registration of a CDM project activity or PoA, issuance of CERs and related actions.

III. TERMS AND DEFINITIONS

6. For terms used in this procedure, the definitions in the “Glossary of CDM terms” shall apply.

IV. PRE-REGISTRATION ACTIVITIES**A. Prior consideration of the clean development mechanism**

7. For project activities with a start date on or after 2 August 2008, the project participants shall notify designated national authority(ies) (DNAs) of host Party(ies) of the project activity and the UNFCCC secretariat (hereinafter referred to as the secretariat) in writing of the commencement of the project activity and their intention to seek the CDM status within 180 days of the start date of the project activity as defined in the “CDM glossary of terms”, by using the “Prior consideration of the CDM form” (F-CDM-Prior consideration). Such notification is not necessary if:

- (a) A PDD regarding the project activity has been published for global stakeholder consultation in accordance with paragraph 16 below; or
- (b) A new baseline and monitoring methodology is proposed or a revision of an approved baseline and monitoring methodology is requested for the project activity before the start date in accordance with relevant procedures.

8. The secretariat shall maintain a publicly available list of such notifications on the UNFCCC CDM website.

9. For project activities referred to in paragraph 7 above, until they meet a condition in paragraph 7 (a) or 7 (b) above, the project participants shall inform the secretariat of the progress of the project activity every subsequent two (2) years after the initial notification, using the “Prior consideration of the CDM form” (F-CDM-Prior consideration).

10. For project activities with a start date before 2 August 2008, for which the PDD has not been published for global stakeholder consultation or the start date is prior to the date of publication of the PDD for global stakeholder consultation in accordance with paragraph 16 below, the project participants shall provide information to demonstrate that the CDM was seriously considered in the decision to implement the project activity in accordance with the “Clean development mechanism project standard” to the DOE that performs validation of the proposed CDM project activity.

11. Provisions in paragraphs 7-10 above shall not apply to PoAs.

B. Publication of project design document**1. Submission of project design document**

12. The project participants of a proposed CDM project activity or PoA shall complete a PDD or PoA design document (PoA-DD) in accordance with the “Clean development mechanism project standard”(hereinafter referred to as the Project standard), and submit it together with supporting

**DRAFT**

documentation, to the designated operational entity (DOE) contracted by the project participants to perform validation of the project activity or PoA.

13. The DOE shall make the PDD or PoA-DD publicly available through a dedicated interface on the UNFCCC CDM website for global stakeholder consultation. The duration of the period for submission of comments for the global stakeholder consultation shall be 30 days except with respect to large-scale afforestation and reforestation (A/R) project activities or large-scale A/R PoAs, for which the duration shall be 45 days.

14. When submitting the PDD or PoA-DD, the DOE shall, through a dedicated interface on the UNFCCC CDM website, also submit the following information to be made publicly available:

- (a) The name of the proposed CDM project activity or PoA;
- (b) The host Party(ies) of the proposed CDM project activity or PoA;
- (c) The names of the project participants listed in the PDD or PoA-DD with which the DOE has a contractual relationship for validation of the proposed CDM project activity or PoA;
- (d) The estimated annual greenhouse gas (GHG) emission reductions or removal enhancements indicated in the PDD or, in the case of a PoA, the estimated total annual GHG emission reductions or removal enhancements of all component project activities (CPAs) expected to be included in the PoA;
- (e) The approved baseline and monitoring methodology(ies) being applied to the proposed CDM project activity or PoA;
- (f) Reference to any previous publication of the PDD or PoA-DD for public comments on the UNFCCC CDM website;
- (g) The proposed start date and length of the first crediting period.
- (h) In the case of a PoA, in addition to (a)-(g) above:
 - (i) A PoA generic CPA design document (CPA-DD), which specifies the generic information relevant to all CPAs that may be included in the PoA;
 - (ii) A CPA-DD that is based on the application of the PoA to one real case.

15. When submitting a request for registration of the proposed CDM project activity or PoA, all project participants with a contractual relationship with the DOE for validation of the proposed CDM project activity or PoA shall be listed in the PDD or PoA-DD, unless they have provided a letter of voluntary withdrawal from the project activity or PoA. The DOE may remove project participants that are listed in the PDD or PoA-DD published for global stakeholder consultation but do not have a contractual relationship with the DOE for validation from the PDD or PoA-DD at the time of the request for registration.

16. If the DOE is accredited for the validation function in all sectoral scope(s) to which the proposed CDM project activity or PoA is linked through the application of baseline and monitoring methodology(ies), the secretariat, through the CDM information system, shall make the PDD or PoA-DD publicly available on the UNFCCC CDM website. The period for submission of comments for global stakeholder consultation on the PDD or PoA-DD shall commence at midnight GMT subsequent to the

**DRAFT**

publication of the PDD or PoA-DD. The CDM information system shall inform the DOE of the location of the PDD or PoA-DD on the UNFCCC CDM website and the opening and closing dates of the period for submission of comments.

17. If the PDD or PoA-DD applies the previous version of an approved baseline and monitoring methodology, and a request for registration of the proposed CDM project activity or PoA has not been submitted within the grace period for the use of the previous version as defined in the “Procedures for the revision of an approved baseline or monitoring methodology by the Executive Board” or the “Procedures for the revision of an approved small-scale methodology by the CDM Executive Board”, the project participants shall revise the PDD or PoA-DD applying the revised version of the methodology in its entirety or elements of it as required (e.g. in the case of approved deviation). In this case, the DOE shall not publish the revised PDD or PoA-DD for global stakeholder consultation, but shall submit it when it submits a request for registration in accordance with paragraph 58 below, unless otherwise decided by the Board when it approves the revised methodology.

2. Submission and treatment of public comments

18. Parties, stakeholders¹ and UNFCCC accredited observers may submit comments, in English, on the validation requirements for the proposed CDM project activity or PoA to the DOE through the secretariat via a dedicated interface on the UNFCCC CDM website. The submitters of the comments shall provide the name and contact details of the individual or organization on whose behalf the comments are submitted. The DOE shall check the authenticity of this information in case of doubt.

19. The secretariat shall make the comments publicly available on the UNFCCC CDM website where the PDD or PoA-DD is displayed, and shall remove those that the DOE has determined to be unauthentic in accordance with paragraph 18 above.

C. Reporting of validation status

20. At 180 days subsequent to the end of the period for submission of comments on the PDD or PoA-DD, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update on the status of its validation activity, unless it has submitted a request for registration of the proposed CDM project activity or PoA in accordance with paragraph 58 below. The DOE shall include one of the following status in the update:

- (a) The validation contract has been terminated. In this case the DOE shall also provide a reason for the termination to the Board through the secretariat on a confidential basis;
- (b) The DOE has issued a negative validation opinion;
- (c) The DOE has raised one or more corrective action requests or clarification requests, to which no response has been received from the project participants. In this case the DOE shall also provide a summary of the issues raised and update or reconfirm the status of the validation activities at 90-day intervals thereafter;
- (d) The DOE has finalized a positive validation opinion with the exception of the receipt of a valid letter of approval from one or more Party(ies) involved. In this case the DOE shall also indicate from which Party(ies) involved a valid letter of approval has not been received;

¹ For the purpose of this procedure all members of the public are considered to be stakeholders.

**DRAFT**

- (e) The DOE is performing validation activities and it has not yet sent any corrective action or clarification requests to the project participants. In this case the DOE shall also provide an explanation on the length of time taken and update or reconfirm the status of the validation activities at 90-day intervals thereafter.

D. Modalities of communication

21. The project participants of a CDM project activity or PoA shall designate one or more focal point entities (hereinafter referred to as focal points) to communicate on their behalf with the Board and the secretariat within the defined scopes of authority referred to in paragraph 24 below and include this information in a modalities of communication (MoC) statement.
22. After the submission of a request for registration of a proposed CDM project activity or PoA in accordance with paragraph 58 below, all official communication between the project participants and the Board or the secretariat for the specific project activity or PoA shall be conducted in accordance with the MoC statement with the exception of communications undertaken in accordance with paragraph 0 and 166 (b) below.
23. The project participants shall submit to the DOE at the time of validation of the proposed CDM project activity or PoA an initial MoC statement using the latest version of the form for the “Modalities of communication statement” (F-CDM-MOC), including its annex 1. The project participants shall include the contact details of the focal points in the F-CDM-MOC and their contact details in its annex 1.
24. The project participants shall grant the focal points the authority to:
 - (a) Communicate in relation to requests for forwarding of CERs to individual accounts of project participants (scope (a)); and/or
 - (b) Communicate in relation to requests for addition and/or voluntary withdrawal of project participants and focal points, as well as changes to company names, legal status, contact details and specimen signatures (scope (b)); and/or
 - (c) Communicate on all other project or programme related matters not covered by (a) or (b) above (scope (c)).
25. The project participants may designate separate entities for each scope of authority either in a sole, shared or joint focal point role and shall designate two or more focal points for a shared or joint focal point role.
26. The project participants and the focal points may designate one primary authorized signatory and one alternate authorized signatory. The signature of either the primary or alternate authorized signatory shall suffice for authenticating the project participant’s or the focal point’s consent or instruction(s).
27. A project participant that is also a focal point for the same CDM project activity or PoA may designate different authorized signatories for the project participant status and for the focal point status.
28. For CDM PoAs, the coordinating/managing entity shall be either sole or joint focal point for each scope of authority. The number of joint focal points for a PoA shall be limited to five (5), or equal to the number of host Parties if greater than five (5).
29. The project participants shall not include or refer to private contractual arrangements in an MoC statement such as the establishment of conditions for the designation or change of focal points or the

**DRAFT**

purchase and/or sale of CERs. The project participants and focal points shall be solely responsible for honouring such arrangements.

30. The secretariat shall, when conducting the completeness check of the request for registration submission in accordance with paragraph 63 below, consider the contact details included in annex 1 of the F-CDM-MOC to be the valid contact details of the project participants whenever such details differ from the details of the project participants and their representatives included in annex 1 of the PDD or PoA-DD for the CDM project activity or PoA.

31. The secretariat shall publish the F-CDM-MOC together with its annex 1 on the respective CDM project activity or PoA webpage on the UNFCCC CDM website following the registration of the project activity or PoA.

32. The secretariat shall not make available specimen signatures, contact details and other personal information to anyone other than members of the Board, the project participants, the focal points and the DOE involved in the CDM project activity or PoA.

E. Request for deviation from approved methodology**1. Submission of request for deviation**

33. If the DOE, when performing validation for a proposed CDM project activity or PoA, or upon the request from the project participants or coordinating/managing entity before the publication of the PDD or PoA-DD, finds that the project participants deviated from an approved baseline and monitoring methodology when applying it to the proposed project activity or PoA, and the DOE considers that the deviation was due to a project- or programme-specific issue implying that a revision of the methodology would not be required to address the issue, it may seek guidance from the Board on the acceptability of the deviation prior to submission of a request for registration or publication of the PDD or PoA-DD of the proposed CDM project activity or PoA. Alternatively, if the DOE considers that a revision of the methodology would be required to address the project situation, it shall follow the “Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for large scale CDM project activities”, the “Procedures for the revision of an approved small scale methodology by the Executive Board” or the “Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for A/R CDM project activities” depending on the project or programme type and scale.

34. To seek guidance from the Board on the acceptability of the deviation, the DOE shall submit the “CDM: Request for deviation form” (F-CDM-DEV) through a dedicated interface on the UNFCCC CDM website. In the submission the DOE shall provide:

- (a) Clear and precise assessment of the case including demonstration that the deviation does not imply revision of an approved methodology;
- (b) A description of the impact of the deviation on the GHG emission reductions or removal enhancements from the project activity or PoA for the Board to evaluate.

2. Processing request for deviation

35. The secretariat shall maintain a publicly available list of all submitted requests for deviation on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for deviation, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for deviation in accordance with the secretariat’s

**DRAFT**

operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.

36. The secretariat shall commence the processing of the request for deviation in accordance with the schedule. Upon commencement of the processing of the request for deviation the secretariat shall conduct within seven (7) days a completeness check to determine whether the request submission is complete in accordance with paragraph 34 above.

37. If the secretariat, during the completeness check, identifies issues of an editorial nature, it shall request the DOE by email to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days of the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

38. Upon conclusion of the completeness check, the secretariat shall notify the DOE of the conclusion of the completeness check. If the request submission is found incomplete, the secretariat shall also communicate the underlying reasons to the DOE and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit a request for deviation with revised documentation. Upon submission of the revised documentation the request shall be treated as a new submission of a request for deviation.

39. Upon determination by the secretariat that the request submission is complete, the secretariat shall, within 14 days, prepare and send to the Board a summary note on the request including a recommendation on the course of action, or with a notification that the case will be placed on the agenda of the next Board meeting.

40. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE, it shall request the DOE to submit revised documents and/or information to clarify the issues within 14 days of the receipt of the request. In this case, the secretariat shall, notwithstanding the provision in paragraph 39 above, finalize the summary note and send it to the Board within 14 days of the receipt of the requested documents and/or information from the DOE. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.

41. If the request submission is removed from processing in accordance with paragraph 40 above, the DOE may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), to make a telephone call to the DOE to provide clarifications on the issues identified if they are not sufficiently clear to it. Only one such request shall be allowed per request for deviation. In this case, the DOE shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of the receipt of the request. The secretariat shall record the call.

42. If the secretariat, during the preparation of the summary note, identifies issues that require inputs from a relevant panel or working group, it shall place the case on the agenda of the next meeting of the panel or working group. In this case, the secretariat shall, notwithstanding the provisions in paragraphs 39 and 40 above, finalize the summary note and send it to the Board within 14 days of the receipt of the inputs from the panel or working group.

43. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 39 above within 20 days of the receipt of the summary note, the recommended course of action shall be deemed to be the decision adopted by the Board.

**DRAFT**

44. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
45. If a member of the Board objects to the secretariat's recommendation on the course of action more than two (2) weeks prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
46. If the Board considers the case at its meeting in accordance with paragraph 39 or 45 above, it shall decide on the course of action at the meeting.
47. The course of action referred to in paragraph 39 above shall be:
- (a) Approve the deviation and allow submission of a request for registration with the deviation; or
 - (b) Decide that the deviation requires a revision of an approved baseline and monitoring methodology before submitting a request for registration.
48. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision and any guidance provided by the Board as applicable, and make the decision and guidance publicly available on the UNFCCC CDM website.

F. Application of multiple methodologies in programme of activities

49. [If a proposed CDM PoA applies more than one approved baseline and monitoring methodology for each CPA included in the PoA, the DOE shall submit a request for approval of the application of multiple methodologies to PoA to the secretariat together with the latest version of the PoA-DD and CPA-DD.
50. The secretariat shall evaluate the request for approval and place it on the agenda of the next meeting of a relevant panel or working group, if the request has been received and considered complete 28 days prior to the start of the meeting of the relevant panel or working group.
51. The panel or working group shall evaluate the request to determine whether the applied combination of methodologies is sufficient to address all project emissions and leakages that may occur as a result of the implementation of the CPA.
52. If the panel or working group considers the combination to be sufficient, it shall recommend the Board to approve the request.
53. If the panel or working group does not consider the combination to be sufficient, it shall recommend the Board to reject the request and request the coordinating/managing entity to submit a request for new methodology or a revision to an existing methodology to ensure such issues are addressed.
54. The secretariat shall make the recommendation of the panel or working group publicly available, and forward it to the Board for final decision.]

Alternative to paragraphs 49-54

55. [If the DOE, when performing validation for a proposed CDM PoA, or upon the request from the coordinating/managing entity before the publication of the PoA-DD, finds that the proposed CDM PoA

**DRAFT**

applies more than one approved baseline and monitoring methodology and/or technology or measure in the PoA, it shall follow the process in paragraph 56 or 57 below.

56. If the PoA applies only small-scale methodologies, and if “cross effects” as defined in the “Standard for application of multiple CDM methodologies for a programme of activities” exist between the technologies or measures applied, the DOE, shall propose methods to account for such cross effects and request for approval by the Board using the process in section E. above mutatis mutandis. Before submitting such request, the DOE or the coordinating/managing entity may seek clarification from the Board on cross effects in the proposed combination of technologies or measures, using the “Procedure for the submission and consideration of request for clarification on the application of approved small scale methodologies” by submitting the PoA-DD and generic CPA-DD with completed sections for detailed technical descriptions. Where possible, such clarification requests shall be treated under “fast track” of the procedure and the clarification shall be provided within four (4) weeks.

57. If the PoA applies only large-scale methodologies, or both large-scale and small-scale methodologies, and if the combination is explicitly permitted in the methodologies, the DOE may proceed with the publication of the PoA-DD or the request for registration without pre-approval by the Board of the application of the multiple methodologies. If the combination is not explicitly permitted in the methodologies, the DOE shall seek clarification from the Board on the eligibility of the proposed combination, using the “Procedure for the submission and consideration of queries regarding the application of approved methodologies and methodological tools by designated operational entities to the Meth Panel”.]

V. REGISTRATION OF PROJECT ACTIVITY OR PROGRAMME OF ACTIVITIES**A. Request for registration****1. Submission of request for registration**

58. The DOE shall, after determining that a proposed CDM project activity or PoA meets all relevant requirements in the “Clean development mechanism project standard” by following the relevant provisions of the “Clean development mechanism validation and verification standard” and other CDM requirements, submit, through a dedicated interface on the UNFCCC CDM website, a request for registration of the proposed CDM project activity or PoA by using the “CDM project activity registration form” (F-CDM-REG) or the “Programme of activities registration request form” (F-CDM-POA-REG), respectively, and all the required documents listed in the completeness checklist for requests for registration.

59. The secretariat shall issue a unique reference number for the submission of the request for registration and a statement of the registration fee due, or confirmation that no registration fee is due, determined in accordance with the provisions on the registration fee, as contained in appendix 1, and communicate these to the DOE.

60. The DOE shall communicate to the project participants the unique reference number, and the registration fee due or a confirmation that no registration fee is due.

61. The project participants shall pay the registration fee by bank transfer, citing the unique reference number. The DOE shall submit proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC CDM website. If the proposed project activity or PoA applies a methodology that has been revised, withdrawn, or suspended by the Board, either proof of payment must be uploaded within 20 days or payment must be received within 40 days of the end of the grace period for revision or the date of

**DRAFT**

withdrawal or suspension, as defined in the “Procedures for the revision of an approved baseline or monitoring methodology by the Board”.²

2. Processing request for registration

62. The secretariat shall maintain a publicly available list of all submitted requests for registration for which the applicable registration fee has been received on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for registration, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for registration in accordance with the secretariat’s operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.

63. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat may, in accordance with the guidance of the Board, conduct within seven (7) days a completeness check to determine whether the request for registration submission is complete in accordance with the completeness checklist for requests for registration.

64. If, during the completeness check, the secretariat identifies issues of an editorial nature, it shall request the DOE by email, copying the project participants, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days from the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

65. Upon conclusion of the completeness check stage, the secretariat shall notify the project participants and the DOE of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the project participants and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for registration with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.

66. Upon conclusion of the completeness check stage, the secretariat may, in accordance with the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting checklist for requests for registration.

67. If, during the information and reporting check, the secretariat identifies issues of an editorial nature, it shall request the DOE by email, copying the project participants, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days from the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

68. Upon conclusion of the information and reporting check stage, the secretariat shall notify the project participants and the DOE of the conclusion of the information and reporting check stage. If the request submission for which the secretariat conducted an information and reporting check does not meet the requirements of the information and reporting check, the secretariat shall conclude that the request submission is incomplete and communicate the underlying reasons to the project participants and the

² As of the date of adoption of this document, EB 35 report, annex 13 is the latest version of the “Procedures for the Revision of an Approved Baseline or Monitoring Methodology by the Board”.

**DRAFT**

DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for registration with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.

69. Upon positive conclusion of the information and reporting check stage, the secretariat shall publish the request for registration on the UNFCCC CDM website, and the request for registration shall be deemed received by the Board for consideration.

70. If the request submission is found incomplete as a result of the information and reporting check, the DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per request for registration. In this case, the DOE or the project participants shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days from the receipt of the request. The secretariat shall record the call.

71. The secretariat shall notify the project participants, the DNA(s) of the Party(ies) involved, and the DOE that: the Board has received the request for registration for consideration of registration; the secretariat has published the request for registration on the UNFCCC CDM website; and the last day by which members of the Board or a Party involved may request a review of the request for registration, as referred to in paragraph 73 below.

72. The secretariat may, in accordance with the guidance of the Board, prepare and send to the Board a summary note on the request for registration within 14 days of the date of publication of the request for registration.

3. Requesting review of request for registration

73. A Party involved in the proposed CDM project activity or PoA and any member of the Board may request a review of the request for registration within 28 days after the date of publication of the request for registration. If a Party involved wishes to request a review, the relevant DNA shall send the request to the Board, through the secretariat, using the “CDM project activity registration review form” (F-CDM-RR) by official means of communication (such as a letter with recognized official letterhead and signature or an e-mail sent from an official dedicated e-mail account). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the “CDM project activity registration review form” (F-CDM-RR) and following the guidelines contained in appendix 2.

74. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.

75. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the 28-day period following the publication of the request for registration.

76. A request for review shall provide, inter alia, reasons for the request for review based on the “Clean development mechanism project standard”, “Clean development mechanism validation and verification standard” or any other applicable CDM requirements.

**DRAFT****4. Finalizing request for registration if no request for review**

77. The Board shall register the proposed project activity or PoA as a CDM project activity or PoA if the secretariat does not receive a request for review from a Party involved or at least three members of the Board in accordance with the modalities described in paragraphs 73-76 above. The effective date of registration in such cases shall be the day on which the DOE submitted a complete request for registration.

B. Review of request for registration**1. Commencement of review**

78. If a Party involved in a proposed CDM project activity or PoA, or at least three members of the Board request a review of the request for registration, the secretariat shall:

- (a) Notify the project participants and the DOE that validated the proposed CDM project activity or PoA, that a Party involved in a proposed CDM project activity or PoA, or at least three members of the Board have requested a review of the request for registration;
- (b) Mark the request for registration as “under review” on the UNFCCC CDM website and make publicly available an anonymous version of each “CDM project activity registration review form” (F-CDM-RR);
- (c) Establish a team comprising two experts selected from the Registration and Issuance Team (RIT Team) to conduct an assessment of the request for review. The secretariat shall appoint one of the RIT Team members to serve as the lead, who shall be responsible for all communications with the secretariat.

79. The DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for registration. In this case, the DOE or the project participants shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days from the receipt of the request. The secretariat shall record the call.

80. The project participants and the DOE shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for review.

81. For each issue (or sub-issue) raised in the request for review, the project participants and the DOE shall either:

- (a) Respond by making any revisions to the PDD or PoA-DD and/or validation report, that they deem necessary to ensure, inter alia, that all facts are clearly stated and sufficiently validated; or
- (b) Respond in writing by addressing why no revisions to the PDD and/or validation report, are necessary.

82. The secretariat shall schedule the commencement of the review of the request for registration in accordance with its operational plans and any relevant instructions by the Board. The secretariat shall make the schedule of reviews publicly available on the UNFCCC CDM website. Upon scheduling the

**DRAFT**

commencement date, or altering it as applicable, the secretariat shall inform the project participants and the DOE of the scheduled or altered commencement date, respectively.

83. The date of commencement of the review shall be defined as the date on which the secretariat notifies the project participants and the DOE that the review has commenced.

2. Assessment

84. The secretariat shall conduct an assessment of the request for registration in the context of the reasons for the request for review provided in the “CDM project activity registration review form” (F-CDM-RR) and the CDM requirements, taking into account the responses from the project participants and the DOE.

85. Concurrently and independently from the secretariat’s assessment referred to in paragraph 84 above, the RIT Team established in accordance with paragraph 78 (c) above shall conduct an assessment of the request for registration in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the “CDM project activity registration review form” (F-CDM-RR) and the CDM requirements, taking into account the responses of the project participants and the DOE.

86. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.

87. Both the secretariat and the RIT Team shall, in each of their assessments, include a proposed decision, following the guidelines contained in appendix 2. Each proposed decision shall suggest either to:

- (a) Register the proposed project activity or PoA; or
- (b) Reject the request for registration.

88. If a proposed decision is to reject the request for registration, then the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:

- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
- (b) The CDM requirements applied to the facts; and
- (c) The interpretation of the CDM requirements as applied to the facts.

89. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significant importance related to the policies and goals of the CDM arising from the assessment. The secretariat, in consultation with the Chair of the Board, shall bring these issues to the attention of the Board by preparing background notes and policy options and presenting them to the Board at its meetings.

90. The RIT Team shall submit its assessment report to the Board through the secretariat.

91. The secretariat shall inform the Board of the availability of each assessment report, and make each assessment report available to the Board, together with any responses from the project participants and the DOE and any revision to the PDD and/or validation report and other relevant documentation.

**DRAFT****3. Consideration by the Board**

92. If the respective assessment reports of the secretariat and the RIT Team contain the same proposed decision (i.e. both are to register the proposed CDM project activity or PoA, or both are to reject the request for registration), then the proposed decision shall become the final decision of the Board 20 days after the date when the availability of the assessment reports of the secretariat and the RIT Team was communicated to the Board, unless a member of the Board objects to the proposed decision.

93. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing following the guidelines contained in appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.

94. If a member of the Board objects to the proposed decision more than two (2) weeks prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

95. If the assessment reports of the secretariat and the RIT Team contain different proposed decisions (i.e. one is to register the proposed CDM project activity or PoA, and the other is to reject the request for registration) and the Board receives both proposed decisions more than two (2) weeks prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise, it shall be placed on the agenda of the subsequent Board meeting.

96. At the Board meeting for which the case is placed on the agenda, the Board shall, following the guidelines contained in appendix 2, decide to either:

- (a) Register the proposed CDM project activity or PoA; or
- (b) Reject the request for registration.

4. Finalization and implementation of the ruling

97. If a Board's final decision made in accordance with paragraph 92 or 96 above is to register the proposed CDM project activity or PoA, the secretariat shall register it as a CDM project activity or PoA on the first working day subsequent to the finalization of the decision. The effective date of registration in such cases shall be the day on which the latest revisions to the validation report and/or supporting documentation were submitted.

98. If a Board's final decision made in accordance with paragraph 92 or 96 above is to reject the request for registration, the secretariat shall update the information accordingly on the UNFCCC CDM website on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the secretariat shall provide the Chair of the Board with an information note, containing a proposed ruling incorporating the final decision.

99. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision, including, but not limited to:

- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
- (b) The CDM requirements applied to the facts; and
- (c) The interpretation of the CDM requirements as applied to the facts.

100. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days

**DRAFT**

after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.

101. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing following the guidelines contained in appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.

102. If a member of the Board objects to the proposed ruling more than two (2) weeks prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

103. At the Board meeting for which the case is placed on the agenda, the Board shall, following the guidelines contained in appendix 2, finalize the ruling.

104. The secretariat shall make the final ruling publicly available on the UNFCCC CDM website.

C. Inclusion of component project activities in programme of activities**1. Submission of component project activity design documents**

105. A CPA may be included in a registered CDM PoA at any time in the duration of the PoA.

106. To include a CPA in a registered CDM PoA, the coordinating/managing entity shall forward the completed specific CPA-DD to any DOE, after having ensured that the CPA and the specific CPA-DD meet the eligibility criteria for inclusion in the PoA defined in the PoA-DD and its generic CPA-DD. The coordinating/managing entity may forward more than one specific CPA-DD at one time.

107. If the DOE confirms that the CPA meets the eligibility criteria for inclusion in the PoA, it shall include the CPA in the PoA by submitting the specific CPA-DD to the Board via uploading it through a dedicated interface on the UNFCCC CDM website. Such uploads shall be grouped and not occur more frequently than once per month.

108. The CPA identified in the specific CPA-DD uploaded by the DOE will be automatically included in the registered CDM PoA and displayed on the view page of that PoA. The secretariat shall automatically notify the DOE, the coordinating/managing entity and the DNA of the change in the status of the PoA.

109. If the approved baseline and monitoring methodology that is applied to the PoA is put on hold or withdrawn for any reason other than for the purpose of inclusion in a consolidated methodology, no new CPAs shall be included in the PoA, in accordance with the timelines indicated in the "Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for large scale CDM project activities", "Procedures for the revision of an approved small scale methodology by the Executive Board" or "Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for A/R CDM project activities".

110. [If the methodology, subsequent to being placed on hold or withdrawn, is revised or replaced by inclusion in a consolidated methodology, the PoA-DD shall be revised accordingly. The changes shall be subsequently documented in a new version of PoA-DD (e.g. Version 1.1), validated by a DOE and approved by the Board. The Board's approval defines a new version of the PoA-DD and the generic CPA-DD. Such revisions to the PoA-DD are not required in cases where the methodology is revised without being placed on hold or withdrawn.]



DRAFT

Alternative to paragraph 110

111. [If the methodology, subsequent to being placed on hold, is revised, the coordinating/managing entity shall revise the PoA-DD including updating the eligibility criteria for inclusion of CPAs in the PoA to be in line with the revised methodology, and the generic CPA-DD applying the updated eligibility criteria, to be validated by a DOE and approved by the Board. The Board's approval defines a new version of the PoA-DD and the generic CPA-DD. Such revisions to the PoA-DD and the generic CPA-DD are not required in cases where the methodology is revised or withdrawn to be included in a consolidated methodology without being placed on hold, unless otherwise indicated in the report of the Board meeting at which the Board approved the revised or consolidated methodology.]

112. Once the revised PoA-DD and generic CPA-DD have been approved by the Board, the inclusion of all new CPAs shall be based on the new version of the generic CPA-DD.

113. The CPAs that were included before the methodology was put on hold shall apply the latest version of the generic CPA-DD at the time of the renewal of the crediting period.

2. Review of erroneous inclusion or renewal of crediting period of component project activities

114. If a DNA involved in the PoA or a Board member identifies information that may disqualify the CPA from inclusion in the PoA or renewal of its crediting period, it/he/she shall request for review of the inclusion of the CPA by notifying the Secretary of the Board within one (1) year after the inclusion of the CPA into the PoA or renewal of the crediting period of the CPA, or within 180 days after the first issuance of CERs for that CPA, by submitting ["Component project activity inclusion review form" (F-CDM-CPAR)]. Such request for review shall be related to issues associated with the compliance of the CPA with the eligibility criteria specified in the PoA-DD.

115. If the request is received from a Board member, the Chair of the Board, in consultation with the secretariat, shall assess the information referred to in paragraph 114 above and decide, within 14 days, whether to add the request for review to the agenda of the next Board meeting.

116. If the Chair of the Board decides not to add the request to the agenda of the next Board meeting, the secretariat shall inform the relevant Board member of the reasons for this decision.

117. If the Chair of the Board decides to add the request to the agenda of the next Board meeting, or if the request has been received from a Party involved, the secretariat shall accordingly notify the coordinating/managing entity, the DOE that included the CPA in the PoA (hereinafter referred to as including DOE) and the DNAs of all Parties involved. The coordinating/managing entity and the including DOE shall provide initial comments on the request for review no later than 28 days from the date of notification of the review.

118. If the request for review is added to the agenda of the next Board meeting in accordance with paragraph 115 or 117 above, the Board shall, at that meeting, taking into account any comments received from the coordinating/managing entity and the including DOE:

- (a) Exclude the CPA from the PoA with immediate effect if it determines that the CPA was erroneously included in the PoA; and
- (b) Initiate a full review if it determines that the consideration of the request for review raises concerns regarding the processes used to include CPAs in the PoA.

119. If the Board initiates the review referred to in paragraph 118 (b) above, it shall request the secretariat to contract a DOE, that has not performed validation, registration, CPA inclusion or

**DRAFT**

verification functions with regard to this PoA, to review the CPAs that have been included in the PoA in the one (1) year period or have had their first issuance in the 180-day period preceding the request for review. [The DOE shall submit a review report to the secretariat within [X] days.]

120. The Board shall establish an assessment team to analyse the DOE's review report referred to in paragraph 119 above and make findings and recommendations to the Board within 14 days. The assessment team may discuss the findings of the DOE's review report and seek comments from the coordinating/managing entity and including DOE, as appropriate. Based on this assessment, the assessment team shall make a finding as to:

- (a) Whether any CPAs have been erroneously included in the PoA; and
- (b) Whether the compliance of each of the CPAs reviewed with the eligibility criteria for inclusion in the PoA was adequately assessed by the including DOE in accordance with the validation requirements established by the Board and applicable at the time of the inclusion and, if any, validation requirements established in the CDM-PoA-DD.

121. The Board shall consider the DOE's review report and the assessment team's finding at the next Board meeting for which the report and the finding have been made available by the two-week document deadline.

122. The Board shall decide to exclude any of the CPAs from the PoA if it concludes that they have been erroneously included.

123. Any CPA that has been excluded shall not be re-included in that or any other PoA, or qualify as a CDM project activity.

124. Where, for any of the CPAs excluded in accordance with paragraph 118 (a) or 122 above, the Board determines that the including DOE failed to adequately assess their compliance with the eligibility criteria in accordance with the "Clean development mechanism validation and verification standard", the DOE shall acquire and transfer, within 30 days of the exclusion of the CPAs, an amount of reduced tonnes of carbon dioxide equivalent to the amount of CERs issued for the CPAs as a result of the CPAs having been included, to a cancellation account in the CDM registry maintained by the Board.

D. Withdrawal of request for registration**1. Submission of request for withdrawal**

125. For the following cases, the DOE shall submit a request for withdrawal of a request for registration by using the "CDM: Form for withdrawal of request for registration" (F-CDM-WR) and uploading it through a dedicated interface on the UNFCCC CDM website:

- (a) The project participants voluntarily wish to withdraw a proposed CDM project activity or PoA, of which the DOE is requesting for registration³;
- (b) The DOE has revised its validation opinion based on new insights or information and has determined that the proposed project activity or PoA does not meet all relevant requirements for a CDM project activity or PoA.

³ In such cases the DOE shall process the request expeditiously.

**DRAFT****2. Processing request for withdrawal**

126. Upon receipt of the request for withdrawal, the secretariat shall as soon as possible check the documents submitted.
127. If the DOE requests the withdrawal prior to the publication of the request for registration in accordance with paragraph 69 above, the registration fee shall be reimbursed in full to the project participants. In this case, the project activity or PoA shall not be marked as “withdrawn”, but the unique reference number assigned to the withdrawn project activity or PoA shall be blocked from further use.
128. If the DOE requests the withdrawal during the 28-day period for requesting a review of the request for registration in accordance with paragraph 73 above, any registration fee paid above USD 30 000 shall be reimbursed to the project participants and the proposed CDM project activity or PoA shall be marked as “withdrawn” on the UNFCCC CDM website.
129. If the DOE requests the withdrawal subsequent to being notified a request for review of the request for registration in accordance with paragraph 78 (a) above, any registration fee paid above USD 30 000 shall be reimbursed to the project participants and the proposed CDM project activity or PoA shall be marked as “withdrawn” on the UNFCCC CDM website.
130. Submissions of requests for withdrawal shall feed into the framework for performance monitoring of DOEs.

VI. POST-REGISTRATION CHANGES**A. Changes to registered CDM project activity****1. Submission of request for approval of changes**

131. The following changes that have occurred or are expected to occur to a registered CDM project activity or PoA shall be processed in accordance with paragraph 133 or 134 below:
- (a) Temporary deviation from the registered monitoring plan or monitoring methodology;
 - (b) Permanent changes:
 - (i) Corrections;
 - (ii) Changes to the start date of the crediting period;
 - (iii) Permanent changes from the registered monitoring plan or monitoring methodology;
 - (iv) Changes to the project [or programme] design in the registered CDM project activity [or PoA].
132. [For CDM PoAs, with regard to the changes referred in paragraph 131 (b) (iv) above, only changes to the programme boundary to expand geographical coverage or to include additional host Parties shall be allowed. In this case, the coordinating/managing entity shall update the eligibility criteria for inclusion of CPAs in the PoA to reflect the change, and include them in new versions of PoA-DD and generic CPA-DD, to be validated by the DOE and approved by the Board in accordance with paragraph 133 below].

**DRAFT**

133. If a DOE, when performing verification for a registered CDM project activity or PoA, or at the request of the project participants anytime prior to the commencement of a verification, determines that one or more of the changes referred to in paragraph 131 above have occurred or are expected to occur to the project activity or PoA after its registration, the DOE shall request approval of the changes from the Board prior to the submission of the next request for issuance. The DOE may combine such changes in one request for approval of changes. The request shall be processed in accordance with paragraphs 136-153 below.

134. If the changes do not require “prior approval” by the Board in accordance with the “Clean development mechanism project standard”, alternatively to the provision in paragraph 133 above, the DOE that performs the next verification for the project activity or PoA may elect to inform the Board of the changes at the same time when it submits the next request for issuance for the project activity or PoA in accordance with paragraph 181 below.

135. For the change referred to in paragraph 131 (a) above, the notification or request for approval of change may be made only once for each registered CDM project activity or PoA.

136. To obtain approval from the Board for the changes, the DOE shall submit a request for approval of changes to the secretariat through a dedicated interface on the UNFCCC CDM website.

137. The request for approval of changes shall contain:

- (a) A duly completed [“Request for approval of post-registration changes form” (F-CDM-PRCG)];
- (b) An assessment opinion on the changes by the DOE prepared in accordance with the “Clean development mechanism validation and verification standard”;
- (c) Revised PDD, or revised PoA-DD and revised generic CPA-DD (in both clean and track-change versions), as applicable;
- (d) [Letters of approval by the DNAs of the additionally included host Parties in the CDM PoA, as applicable];
- (e) Supplemental documentation, as appropriate.

2. Processing request for approval of changes

138. The secretariat shall maintain a publicly available list of all submitted requests for approval of changes on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for approval of changes, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for approval of changes in accordance with the secretariat’s operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.

139. The secretariat shall commence the processing of the request for approval of changes in accordance with the schedule. Upon commencement of the processing of the request for approval of changes, the secretariat shall conduct within seven (7) days the completeness check to determine whether the request submission is complete in accordance with paragraph 137 above.

140. If the secretariat, during the completeness check, identifies issues of editorial nature, it shall request the DOE by email, copying the project participants, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information

**DRAFT**

within two (2) days of the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

141. Upon conclusion of the completeness check, the secretariat shall notify the project participants and the DOE of the conclusion of the completeness check. If the request submission is found incomplete, the secretariat shall also communicate the underlying reasons to the project participants and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit a request for approval of changes with revised documentation. Upon submission of the revised documentation the request shall be treated as a new submission of a request for approval of changes.

142. Upon determination by the secretariat that the request submission is complete, the secretariat shall, within 14 days, prepare and send to the Board a summary note on the request including a recommendation on the course of action, or with a notification that the case will be placed on the agenda of the next Board meeting.

143. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE or project participants, it shall request the DOE to submit revised documents and/or information to clarify the issues within 14 days of the receipt of the request. In this case, the secretariat shall, notwithstanding the provision in paragraph 142 above, finalize the summary note and send it to the Board within 14 days of receipt of the requested documents and/or information from the DOE. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.

144. If the request submission is removed from processing in accordance with paragraph 143 above, the DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per request for approval of changes. In this case, the DOE or the project participants shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of receipt of the request. The secretariat shall record the call.

145. If the secretariat, during the preparation of the summary note, identifies issues that require inputs from a relevant panel or working group, it shall place the case on the agenda of the next meeting of the panel or working group. In this case, the secretariat shall, notwithstanding the provisions in paragraphs 142 and 143 above, finalize the summary note and send it to the Board within 14 days of receipt of the inputs from the panel or working group.

146. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 142 above within 20 days of the receipt of the summary note, the recommended course action shall be deemed to be the decision adopted by the Board.

147. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Board.

148. If a member of the Board objects to the secretariat's recommendation on the course of action more than two (2) weeks prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

**DRAFT**

149. If the Board considers the case at its meeting in accordance with paragraph 142 or 148 above, it shall decide on the course of action at the meeting.

150. For the changes referred to in paragraph 131 (a) above, the course of action shall be:

- (a) Approve the changes and allow subsequent requests for issuance for the project activity;
- (b) Approve the changes and allow subsequent requests for issuance for the project activity, but limit the CERs up to the level estimated in the originally registered PDD;
- (c) Reject the changes and not allow subsequent requests for issuance for the project activity;
- (d) [Reject the proposed changes but allow subsequent requests for issuance for the project activity only if it is implemented as described in the registered PDD.]

151. For the changes referred to in paragraphs 131 (a) above, the course of action shall be:

- (a) Approve the changes;
- (b) Reject the changes.

152. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision and any guidance provided by the Board as applicable, and make the decision and guidance publicly available on the UNFCCC CDM website.

153. [The secretariat shall make the revised PDD and the validation or assessment opinion by the DOE, as applicable, publicly available on the UNFCCC CDM website. The version of the PDD shall be applied for further requests for issuance.]

Alternative to paragraph 153

154. [The secretariat shall make the revised PDD, or revised PoA-DD and revised generic CPA-DD, and the validation or assessment opinion by the DOE, as applicable, publicly available on the UNFCCC CDM website. This version of the PDD, or PoA-DD and generic CPA-DD shall be applied for future requests for issuance or for inclusion of new CPAs in the PoA.

155. The CPAs that were included before the change to the programme boundary shall apply the latest version of the generic CPA-DD only at the time of the renewal of its crediting period.]

B. Changes to modalities of communication***General requirements***

156. The focal point(s) for scope (b) of the CDM project activity or PoA referred to in paragraph 24 above shall request changes to any modalities of the MoC statement to the secretariat as soon as possible after the changes become effective.

157. The authorized signatories or the legal representatives of the project participants may directly notify the secretariat on any issues regarding the F-CDM-MOC or its annexes through a dedicated e-mail account made available on the CDM Registry section of the UNFCCC CDM website. In this case, the secretariat may request additional clarifications and shall advise on further actions to the notifying party.

**DRAFT**

158. The secretariat shall request a new submission of an F-CDM-MOC and its annex 1 through the validating DOE whenever the secretariat identifies inconsistencies or inaccuracies in an initial MoC statement. The secretariat may provide specific guidance for the re-submission.

159. The secretariat may request a new F-CDM-MOC in cases where the existing MoC statement was submitted prior to the introduction of the F-CDM-MOC and does not clearly define the role(s) of focal point(s) and their respective scopes of authority.

160. Focal point(s) shall use the latest version of the form for the F-CDM-MOC and its annexes to request changes to MoC statements and shall submit them to the secretariat through a dedicated interface on the UNFCCC CDM website. Project participants shall use the same interface to submit F-CDM-MOCs in accordance with paragraph 166 (b) below.

161. Focal point(s) for scope (b) or project participants who submit F-CDM-MOCs in accordance with paragraph 166 (b) below shall ensure that:

- (a) Supporting documentation, including powers of attorney, extracts from board meeting minutes or company association documentation, extracts/certificates from national company registries that cannot be verified online, is dated or notarized within two (2) years from the time of submission of a request for change to established modalities of communication. This time limitation does not apply to letters of approval issued by DNAs nor to copies of national personal identity documents;
- (b) To the extent possible, changes applicable to more than one CDM project activity or PoA or multiple changes affecting the same CDM project activity or PoA, are consolidated in a single form in accordance with the instructions provided in the CDM Registry section of the UNFCCC CDM website.

162. Legal representatives signing on behalf of entities shall provide written evidence that they are authorized to sign on behalf of the respective entities.

163. The secretariat may request additional clarification and/or documentation if submissions do not clearly provide evidence in support of a specific request.

164. The secretariat shall make detailed guidance available on the CDM Registry section of the UNFCCC CDM website on how to request changes to project participants and focal points.

165. The secretariat shall display the effective dates of updated F-CDM-MOCs on the corresponding CDM project activity and PoA view pages.

Specific requirements on changes to focal points

166. The project participants for a registered CDM project activity or PoA may change the designation of any of the focal points for any reason and at any time by submitting a new F-CDM-MOC either:

- (a) Through the focal point(s) for scope of authority (b); or
- (b) Directly to the secretariat:
 - (i) For CDM project activities, by any of the project participants;
 - (ii) For CDM PoAs, by the coordinating/managing entity.

167. The focal point(s) for scope of authority (b) shall submit:

**DRAFT**

- (a) A new F-CDM-MOC for changes related to designation of focal points with the exception of changes affecting only contact details and specimen signatures;
- (b) Annex 2 of the F-CDM-MOC, for changes related only to contact details and specimen signatures.

168. When a focal point who is not a project participant is added to represent the project participants for any or for all scopes of authority in accordance with paragraph 167 (a) above, the focal point(s) for scope of authority (b) or the project participant who makes the submission in accordance with paragraph 166 (b) above shall provide written evidence of:

- (a) The new focal point's corporate identity, and
- (b) The personal identity and employment status of the new focal point's authorized signatory(ies), including their specimen signature(s).

169. The legal representative of a project participant may sign an F-CDM-MOC submitted in accordance with paragraph 167 (b) above.

170. The legal representative of a focal point for scope of authority (b) may submit annex 2 of the F-CDM-MOC in accordance with paragraph 166 (b) above if the authorized signatory(ies) of the focal point concerned is(are) no longer available.

Specific requirements on changes of coordinating/managing entity for PoAs

171. In addition to the requirements for changes to focal points as referred in paragraphs 0-170, if the coordinating/managing entity for a registered CDM PoA has changed after the registration of the PoA, the DOE undertaking the next inclusion of a CPA shall submit:

- (a) New letter(s) of authorization from each respective host Party stating the change of coordinating/managing entity;
- (b) A confirmation from the new coordinating/managing entity that the PoA will be developed and implemented with the same set framework as originally described in the PoA-DD; and
- (c) A validation opinion from a DOE regarding the compliance of the new coordinating/managing entity with the relevant requirements in the "Clean development mechanism project standard".

Specific requirements on changes to project participants

172. If the project participants of a registered CDM project activity or PoA have changed after the registration of the project activity or PoA, the focal point(s) for scope of authority (b) shall submit annex 2 of the F-CDM-MOC for each of the following changes:

- (a) Addition of a project participant. The submission shall be accompanied by a new letter of approval from the DNA authorizing participation;
- (b) Changes related to entity names/legal status. The submission shall be accompanied by a letter of approval or validating letter confirming the change of name/legal status from the DNA authorizing participation;

**DRAFT**

- (c) Withdrawal of a project participant. If a project participant has ceased operations due to bankruptcy or other reasons, the submission shall be accompanied by a written proof of the cessation;
- (d) Changes related only to contact details and specimen signatures.

173. A project participant added to a registered CDM project activity or PoA shall accept the existing MoC statement unless a new MoC statement is submitted simultaneously.

VII. PRE-ISSUANCE ACTIVITIES**A. Publication of monitoring report**

174. The project participants of a registered CDM project activity or PoA shall prepare a monitoring report in accordance with the “Clean development mechanism project standard”, and submit it together with supporting documentation to the DOE contracted by the project participants to perform verification of the monitored GHG emission reductions or removal enhancements.

175. The DOE shall make the monitoring report publicly available through a dedicated interface on the UNFCCC CDM website no later than 14 days before undertaking the site-visit for the verification.

176. When submitting the monitoring report, the DOE shall, through a dedicated interface of the UNFCCC CDM website:

- (a) Select the CDM project activity or PoA that the monitoring report concerns from a list of registered CDM project activities or PoAs;
- (b) Specify the start and end dates of the monitoring period covered by the monitoring report.

177. If the DOE is accredited for the verification function in all sectoral scopes to which the CDM project activity or PoA is linked through the application of baseline and monitoring methodology(ies), the secretariat, through the CDM information system, shall make the monitoring report publicly available on the UNFCCC website.

178. The UNFCCC CDM web page where the monitoring report is made available shall contain the following information:

- (a) The name and reference number of the CDM project activity or PoA;
- (b) A link to the monitoring report;
- (c) The name of the DOE contracted by the project participants for the verification;
- (d) The name of the DOE that performed the validation of the CDM project activity or PoA.

B. Reporting of status of registered project activity or programme

179. At two (2) years subsequent to the registration of a CDM project activity or PoA, the project participants shall provide, through a dedicated interface on the UNFCCC CDM website, an update of the status of its implementation of the project activity or PoA, unless a DOE contracted by the project participants to perform a verification has made a monitoring report for the project activity or PoA publicly available in accordance with paragraph 174 above. The project participants shall include one of the following statuses in the update:

**DRAFT**

- (a) The project activity or PoA is under implementation, but has not reached the stage of monitoring of GHG emission reductions or removal enhancements. In this case the project participants shall also provide an update of the status at 180-day intervals thereafter;
- (b) The project activity or PoA has not yet been implemented, but is still planned to be implemented. In this case the project participants shall also provide an update of the status at 180-day intervals thereafter;
- (c) The project activity or PoA has been implemented, but the project participants have not yet decided to proceed with the request for issuance stage;
- (d) The implementation of the project activity or PoA has been cancelled;
- (e) Any other reason for not having submitted a monitoring report for the project activity or PoA.

180. At 180 days subsequent to the publication of the monitoring report, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update of the status of its verification activity, unless it has submitted a request for issuance of CERs for the registered CDM project activity or PoA in accordance with paragraph 181 below. The DOE shall include one of the following statuses in the update:

- (a) The verification contract has been terminated. In this case the DOE shall also provide a reason for the termination to the Board through the secretariat on a confidential basis;
- (b) The DOE has issued a negative verification opinion;
- (c) The DOE has raised one or more corrective action requests or clarification requests, for which no response has been received from the project participants. In this case the DOE shall also provide a summary of the issues raised and update or reconfirm the status of the verification activities at 90-day intervals thereafter;
- (d) The DOE is performing verification activities and it has not yet sent any corrective action or clarification requests to the project participants. In this case the DOE shall also provide an explanation on the length of time taken and update or reconfirm the status of the verification activities at 90-day intervals thereafter.

VIII. ISSUANCE OF CERTIFIED EMISSION REDUCTIONS**A. Request for issuance****1. Submission request for issuance**

181. The DOE shall submit a request for issuance of CERs by using the “CDM form to submit verification and certification reports and request issuance” (F-CDM-REQCERS) or “CDM form to submit verification and certification reports and to request issuance for a PoA”(F-CDM-POA-REQCERS) only after it verifies that the monitored GHG emission reductions or removal enhancements meet the relevant requirements in the “Clean development mechanism project standard” and certifies the quantity of CERs claimed in the monitoring report, by following the relevant provisions of the “Clean development mechanism validation and verification standard” and other CDM requirements.

**DRAFT**

182. The DOE shall submit the required documents listed in the completeness checklist for requests for issuance. The DOE shall submit the required documents through a dedicated interface on the UNFCCC CDM website.

183. For a PoA, the request for issuance shall relate to all CPAs included in the PoA during the specified monitoring period and shall not be submitted within 90 days of the previous request for issuance. The monitoring periods shall be consecutive. A request for issuance shall relate to the CERs verified as per above.

184. For a PoA, the coordinating/managing entity shall submit a request for forwarding of CERs issued in accordance with the modalities of communication as agreed between project participants.

185. If the DOE notifies the Board of the changes to a registered CDM project activity or PoA in accordance with paragraph 134 above, it shall also submit the documentation and information listed in paragraph 137 above, in addition to those referred to in paragraph 182 above.

2. Processing request for issuance

186. The secretariat shall maintain a publicly available list of all submitted requests for issuance on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for issuance, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for issuance in accordance with the secretariat's operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.

187. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat may, in accordance with the guidance of the Board, conduct within seven (7) days a completeness check to determine whether the request for issuance submission is complete in accordance with the completeness checklist for requests for issuance.

188. If the secretariat, during the completeness check, identifies issues of editorial nature, it shall request the DOE by email, copying the project participants, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

189. Upon conclusion of the completeness check stage, the secretariat shall notify the project participants and the DOE of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the project participants and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for issuance with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.

190. Upon conclusion of the completeness check stage, the secretariat may, in accordance with the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting checklist for requests for issuance.

191. If the secretariat, during the information and reporting check, identifies issues of an editorial nature, it shall request the DOE by email, copying the project participants, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents

**DRAFT**

and/or information within two (2) days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

192. Upon conclusion of the information and reporting check stage, the secretariat shall notify the project participants and the DOE of the conclusion of the information and reporting check stage. If the request submission for which the secretariat conducted an information and reporting check does not meet the requirements of the information and reporting check, the secretariat shall conclude that the request submission is incomplete and communicate the underlying reasons to the project participants and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for issuance with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.

193. Upon positive conclusion of the information and reporting check stage, the secretariat shall publish the request for issuance on the UNFCCC CDM website, and the request for issuance shall be deemed received by the Board for consideration.

194. If the request submission is found incomplete as a result of the information and reporting check, the DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per request for issuance. In this case, the DOE or the project participants shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of receipt of the request. The secretariat shall record the call.

195. The secretariat shall notify the project participants, the DNA(s) of the Party(ies) involved, and the DOE that: the Board has received the request for issuance for consideration of issuance; the secretariat has published the request for issuance on the UNFCCC CDM website; and the last day by which members of the Board or a Party involved may request a review of request for issuance, as referred to in paragraph 197 below.

196. The secretariat may, in accordance with the guidance of the Board, prepare and send to the Board a summary note on the request for issuance within 14 days of the date of publication of the request for issuance.

3. Requesting review of request for issuance

197. A Party involved in the CDM project activity or PoA and any member of the Board may request a review of the request for issuance within 28 days after the date of publication of the request for issuance for the project activity or 42 days from the receipt of request for issuance for the PoA, respectively. If a Party involved wishes to request a review, the relevant DNA shall send the request to the Board, through the secretariat, using the “CDM project activity issuance review form” (F-CDM-IR) by official means of communication (such as a letter with recognized official letterhead and signature or an e-mail sent from official dedicated e-mail account). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the “CDM project activity issuance review form” (F-CDM-IR) and following the guidelines contained in appendix 2.

198. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.

199. A request for review shall be considered to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received

**DRAFT**

after 5 p.m. GMT of the last day of the request for review period referred to in paragraph 197 above following the publication of the request for issuance.

200. A request for review shall provide, inter alia, reasons for the request for review based on the “Clean development mechanism project standard”, “Clean development mechanism validation and verification standard” or any other applicable CDM requirements:

4. Finalizing request for issuance if no request for review

201. The Board shall instruct the CDM registry administrator to issue a quantity of CERs claimed in the request for issuance, into the pending account of the Board in the CDM registry, in accordance with decision 3/CMP.1, annex, paragraph 66, if the secretariat does not receive a request for review from a Party involved or at least three members of the Board in accordance with the modalities described in paragraphs 197-200 above.

202. The secretariat shall inform the project participants of the Board’s instruction to the CDM registry administrator and of any share of proceeds payable by the project participants to cover administrative expenses of the CDM in accordance with the provisions contained in appendix 1. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.

203. The project participants shall pay the share of proceeds and instruct the CDM registry administrator on the distribution of the CERs using the “CDM form to request forwarding of CERs from pending account to holding account(s)” (F-CDM-FORWCERS). After receiving the share of proceeds and the instruction from the project participants, the secretariat shall forward the CERs to the project participants accordingly.

B. Review of request for issuance

1. Commencement of review

204. If a Party involved in a proposed CDM project activity or PoA, or at least three members of the Board request a review of the request for issuance, the secretariat shall:

- (a) Notify the project participants and the DOE that verified and certified the claimed CERs, that a Party involved in a proposed CDM project activity or PoA, or at least three members of the Board have requested a review of the request for issuance;
- (b) Mark the request for issuance as “under review” on the UNFCCC CDM website and make publicly available an anonymous version of each “CDM project activity issuance review form” (F-CDM-IR);
- (c) Establish a team comprising two experts selected from the Registration and Issuance Team (RIT Team) to conduct an assessment of the request for review. The secretariat shall appoint one of the RIT Team members to serve as the lead, who shall be responsible for all communications with the secretariat.

205. The DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for issuance. In this case, the DOE or the project participants shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of receipt of the request. The secretariat shall record the call.

**DRAFT**

206. The project participants and the DOE shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for review.

207. For each issue (or sub-issue) raised in the request for review, the project participants and the DOE shall either:

- (a) Respond by making any revisions to the monitoring report and attached spreadsheets, verification report, and/or certification report that they deem necessary to ensure, inter alia, that all facts are clearly stated and sufficiently verified; or
- (b) Respond in writing by addressing why no revisions to the monitoring report, verification report, and/or certification report are necessary.

208. The secretariat shall schedule the commencement of the review of the request for issuance in accordance with its operational plans and any relevant instructions from the Board. The secretariat shall make the schedule of review publicly available on the UNFCCC CDM website. Upon scheduling the commencement date, or altering it as applicable, the secretariat shall inform the project participants and the DOE of the scheduled or altered commencement date, respectively;

209. The date of commencement of the review shall be defined as the date on which the secretariat notifies the project participants and the DOE that the review has commenced.

2. Assessment

210. The secretariat shall conduct an assessment of the request for issuance in the context of the reasons for the request for review provided in the “CDM project activity issuance review form” (F-CDM-IR) and the CDM requirements, taking into account the responses from the project participants and the DOE.

211. Concurrently and independently from the secretariat’s assessment referred to in paragraph 210 above, the RIT Team established in accordance with paragraph 204 (c) above shall conduct an assessment of the request for issuance in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the “CDM project activity issuance review form” (F-CDM-IR), taking into account the responses of the project participants and the DOE.

212. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.

213. Both the secretariat and the RIT Team shall, in their assessment reports, include a proposed decision, following the guidelines contained in appendix 2. Each proposed decision shall suggest either to:

- (a) Issue the CERs; or
- (b) Reject the request for issuance.

214. If a proposed decision is to reject the request for issuance, then the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:

- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
- (b) The CDM requirements applied to the facts; and

**DRAFT**

- (c) The interpretation of the CDM requirements as applied to the facts.

215. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significant importance related to the policies and goals of the CDM arising from the assessment. The secretariat, in consultation with the Chair of the Board, shall bring these issues to the attention of the Board by preparing background notes and policy options and presenting them to the Board at its meetings.

216. The RIT Team shall submit its assessment report to the Board through the secretariat.

217. The secretariat shall inform the Board of the availability of each assessment report, and make each assessment report available to the Board, together with any responses from the project participants and the DOE and any revision to the monitoring report and/or verification report.

3. Consideration by the Board

218. If the assessment reports of the secretariat and the RIT Team contain the same proposed decision (i.e. both are to issue the CERs, or both are to reject the request), then the proposed decision shall become the final decision of the Board 20 days after the date when the availability of the assessment report of the secretariat or the RIT Team, whichever the later, was communicated to the Board, unless a member of the Board objects to the proposed decision.

219. An objection by a member of the Board shall be made by notifying the Chair of the Board, through the secretariat, giving reasons in writing following the guidelines contained in appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.

220. If a member of the Board objects to the proposed decision more than two (2) weeks prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

221. If the assessment reports of the secretariat and the RIT Team contain different proposed decisions (i.e. one is to issue the claimed CERs and the other is to reject the request for issuance) and the Board receives both proposed decisions more than two (2) weeks prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise, the case shall be placed on the agenda of the subsequent Board meeting.

222. At the Board meeting for which the case is placed on the agenda, the Board shall, following the guidelines contained in appendix 2, decide either to:

- (a) Issue the CERs; or
- (b) Reject the request for issuance.

4. Finalization and implementation of the ruling

223. If a Board's final decision made in accordance with paragraph 218 or 222 above is to issue the CERs, the Board shall instruct the CDM registry administrator to issue a specified quantity of CERs into the pending account of the Board in the CDM registry, in accordance with decision 3/CMP.1, annex, paragraph 66.

224. The secretariat shall communicate the project participants of the Board's instruction to the CDM registry administrator and of any share of proceeds payable by the project participants to cover

**DRAFT**

administrative expenses of the CDM. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.

225. The project participants shall pay the share of proceeds and instruct the CDM registry administrator on the distribution of the CERs using the “CDM form to request forwarding of CERs form pending account to holding account(s)” (F-CDM-FORWCERS). After receiving the share of proceeds and the instruction from the project participants, the secretariat shall forward the CERs to the project participants accordingly.

226. If a Board’s final decision made in accordance with paragraph 218 or 222 above is to reject the request for issuance, the secretariat shall update the information on the UNFCCC CDM website accordingly on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the secretariat shall provide the Chair of the Board with an information note containing a proposed ruling incorporating the final decision.

227. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision, including, but not limited to:

- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
- (b) The CDM requirements applied to the facts; and
- (c) The interpretation of the CDM requirements as applied to the facts.

228. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.

229. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing following the guidelines contained in appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.

230. If a member of the Board objects to the proposed ruling more than two (2) weeks prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

231. The secretariat shall make the final ruling publicly available on the UNFCCC CDM website.

232. If the request for issuance is rejected in accordance with paragraph 218 or 222 above, the DOE may re-submit the request for issuance with revised documentation if the reasons for the rejection can be addressed by means of a revised verification report, based on a revised monitoring report as appropriate. In this case, the DOE shall submit a request for re-submission of the request for issuance, justifying that the re-submission falls under such case. The Board shall consider such request at its subsequent meeting following receipt of the request and decide whether to allow the re-submission on a case-by-case basis. The Board may provide further guidance, as appropriate. In cases where the re-submitted request for issuance is also rejected by the Board, further re-submission of a request for issuance for the same monitoring period shall not be allowed.

**DRAFT****C. Withdrawal of request for issuance****1. Submission of request for withdrawal**

233. For the following cases, the DOE shall submit a request for withdrawal of a request for issuance by using the “CDM: Form for submission of requests for withdrawal of request for issuance” (F-CDM-WI) and uploading it through a dedicated interface on the UNFCCC CDM website:

- (a) The project participants voluntarily wish to withdraw a request for issuance for the specified monitoring period⁴;
- (b) The DOE has revised its verification report and/or certification report based on new insights or information.

2. Processing request for withdrawal

234. Upon receipt of the request for withdrawal, the secretariat shall as soon as possible check the documents submitted.

235. Type 1: If the DOE requests the withdrawal prior to the publication of the request for issuance in accordance with paragraph 193 above, the request for issuance for the specified monitoring period will not be marked as “withdrawn”. If the DOE re-submits the request for issuance for the same monitoring period after such withdrawal, the request for issuance shall be treated as a new submission.

236. Type 2: If the DOE requests the withdrawal during the 28-day period for requesting a review of the request for issuance in accordance with paragraph 197 above, the request for issuance for the specified monitoring period will be marked as “withdrawn”. The DOE may re-submit the request for issuance without requesting permission from the Board.

237. Type 3: If the DOE requests the withdrawal subsequent to being notified a request for review of the request for issuance in accordance with paragraph 204 (a) above, the request for issuance for the specified monitoring period shall be marked as “withdrawn”. The DOE may re-submit the request for issuance for the same monitoring period after such withdrawal. In this case, the DOE shall request permission from the Board to re-submit such request.

238. Submissions of requests for withdrawal shall feed into the framework for monitoring performance of DOEs.

IX. RENEWAL OF CREDITING PERIOD**A. Preparation of revised project or programme design document**

239. Project participants wishing to renew the crediting period of a registered CDM project activity or PoA shall update the PDD or prepare a new PoA-DD and new generic CPA-DD in accordance with the Project standard.

B. Application for renewal of crediting period

240. The project participants shall notify the secretariat, by e-mail or through a dedicated interface on the UNFCCC CDM website, of their intention to request a renewal of crediting period of the registered CDM project activity or PoA by submitting an updated PDD or new PoA-DD and new generic CPA-DD, and informing the secretariat of their selection of a DOE to request the renewal of crediting period and to

⁴ In such cases the DOE shall process the request expeditiously.

**DRAFT**

perform related tasks referred to in paragraph 244, within 270 to 180 days prior to the date of expiration of the current crediting period. For this purpose, the project participants may select any DOE. However, for large-scale CDM project activities or PoA, the DOE that submitted a request for renewal of crediting period shall not perform the verification function for the same CDM project activity or PoA for the renewed crediting period.

241. No fee is due for requests of a renewal of crediting period.

242. When submitting the request for renewal of crediting period, the project participants shall ensure that any changes to the list of project participants in the PDD or PoA-DD have been notified to the secretariat in accordance with section VI. B. above.

243. For the purpose of renewal of crediting period it is not necessary to obtain a new letter of approval from Parties involved.

244. The secretariat shall make the best effort to inform project participants in advance of the period for requesting renewal of crediting period in accordance with the registered modalities of communication. It remains the responsibility of project participants to ensure that all actions are taken in accordance with the current section of this procedure in a timely manner. If the notification of the intention to request a renewal of crediting period is not received by the secretariat 180 days prior to the date of expiration of the current crediting period, the project participants shall not be entitled to claim the issuance of CERs for the period from the expiration date of the current crediting period until the last date before the crediting period is deemed renewed.

245. The DOE shall submit a request for renewal of crediting period of a registered CDM project activity or PoA using the form “Renewal of the crediting period of a registered CDM project activity” (F-CDM-REN) along with the updated PDD, or new PoA-DD and new generic CPA-DD, and updated validation report.

246. [For renewal of crediting period of a registered CDM PoA, the coordinating/managing entity shall update the eligibility criteria for inclusion of CPAs in the PoA as per the latest applicable version of methodology(ies) and include them in new versions of PoA-DD and generic CPA-DD, to be validated by the DOE and approved by the Board.]

247. For renewal of crediting period of CPAs in a registered CDM PoA, if the DOE confirms that the information in the CPA-DD of a CPA included in the PoA complies with the latest version of the PoA and documentation requirements, it shall renew the crediting period of the CPA by submitting the CPA-DD to the Board by uploading it through a dedicated interface on the UNFCCC CDM website. Such uploads shall be grouped and shall not occur more frequently than once per month.

248. The CPA-DDs uploaded by the DOE will automatically have their crediting period renewed and displayed on the view page of that PoA. The DOE, the coordinating/managing entity and the DNA are automatically notified of the change in the status of the PoA.

C. Processing of request for renewal of crediting period

249. Upon receipt of a request for renewal of crediting period, the secretariat shall determine whether all information and documentation requested in the form “Renewal of the crediting period of a registered CDM project activity” (F-CDM-REN) has been provided by the DOE.

250. Upon determination by the secretariat that the request is complete, the secretariat shall make it publicly available on the UNFCCC CDM website for a period of 28 days. The secretariat shall notify the

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requesting DOE, the project participants and the DNAs of the Parties involved in the CDM project activity or PoA in question.

251. The crediting period of the registered CDM project activity or PoA shall be deemed renewed 28 days after the publication of the request for renewal on the UNFCCC CDM website, unless a Party involved or at least three members of the Board request a review of the request for renewal.

252. For reviews of the request for renewal of crediting period, the provisions in section V. B. above shall apply *mutatis mutandis*.

253. The start date of the renewed crediting period shall be the first day after the end date of the previous crediting period, provided that the project participants have complied with the notification step referred to in paragraph 240 above.

X. ADDRESSING SIGNIFICANT DEFICIENCIES IN PAST VALIDATION, VERIFICATION OR CERTIFICATION REPORTS

[to be developed]



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Appendix 1: Registration fee schedule [to be inserted]

Appendix 2: Guidelines for requesting a review and making decisions and objections regarding review assessments [to be inserted]
