

CDM-EB84-AA-A12

Revision of procedure for development, revision, clarification and update of standardized baselines

Version 01.0

DRAFT



United Nations
Framework Convention on
Climate Change

COVER NOTE

1. Procedural background

2. The Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board), at its seventy-sixth meeting (EB 76), requested the secretariat, as part of the lessons learned from processing standardized baselines, to prepare, for consideration at a future meeting, a draft revision of the “Procedure for development, revision, clarification and update of standardized baselines” (hereafter referred to as “this procedure” or “the procedure”), with a view to:
 - (a) Clarifying that the form for proposed standardized baselines (PSBs) should be updated when revised versions of the standardized baselines are submitted by the participants;
 - (b) Including a new section for submission of standardized baselines with deviations from the guidelines/methodology/tool used to derive the standardized baseline;
 - (c) Revising the form for submission of standardized baselines to introduce a section for justifications for deviations.
3. The Board, at EB 78, considered a concept note on criteria for requesting a revision or a clarification to a methodology or methodological tool and requested the secretariat to prepare a proposal for recommendation to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its tenth session, in order to revise the provisions related to requests for revision of methodologies and methodological tools. The Board requested the secretariat to prepare a draft revision of the procedure for consideration at EB 81, taking into account the inputs provided by the Board. Since EB 81 was occupied with other prioritized agenda items, it was decided to defer the consideration of this agenda item to a later date.
4. The Board, at EB 83, considered the initial draft of the revised procedure and provided the following key inputs (EB 83 report, para. 51) and requested the secretariat to submit a modified draft of the revised procedure for consideration at EB 84:
 - (a) Analyse whether a proposed standardized baseline can be submitted without reference to the methodology(ies) which is/are used for the purpose of calculation of emission reductions of CDM projects. The analysis should assess various combinations of using a methodology, methodological tool or relevant guideline or standard for submission of standardized baselines;
 - (b) The assessment report by a DOE shall include a validation opinion on the standardized baseline with regard to the following:
 - (i) That the quality assurance and quality control system is in compliance with the provisions and data quality objectives of the “Guidelines for quality assurance and quality control of data in the establishment of standardized baselines”;
 - (ii) That the proposed standardized baseline is in compliance with the relevant standards, tools and guidelines;

- (c) A standardized baseline shall be sent by the secretariat for the approval of the Board after the relevant standards, tools and guidelines are approved;
- (d) Provide for a process for consideration and approval of deviation from the applicable standard, tool or guideline, including the consideration by the DOE.

2. Purpose

- 5. Two documents are now being presented, contained in appendix 1 and appendix 2. Appendix 1 contains the draft revised procedure and appendix 2 contains the analysis requested by the Board at EB 83 (EB 83 report, para. 51(a)). The draft revision is intended to implement the requests of the Board as described above, as well as to improve the procedure taking into account the lessons learned from evaluation and processing of standardized baselines.

3. Key issues and proposed solutions

- 6. The following revisions have been included in response to the Board's request at EB 76:
 - (a) Clarification that the form for submission of PSBs (CDM-PSB-FORM) should be highlighted when inputs with revised version of standardized baselines are submitted by the designated national authority (DNA) (reflected in several paragraphs (e.g. new paragraph 18_{quater} and revised paragraph 26) of the draft revised procedure);
 - (b) Inclusion of a new process for submission of standardized baselines with deviations from the guideline/methodology/tool used to derive the standardized baseline (reflected in paragraph 11_{bis} of the draft revised procedure). The deviation from an approved approach shall be submitted together with the PSB. The reason why the submission of a request for deviation prior to submission of a standardized baseline should not be allowed is that at present there is not enough experience that can provide insights into whether a deviation can be evaluated without the knowledge of details of the standardized baseline submission.
- 7. In response to the Board's request at EB 78, principles for revision and clarification are included (reflected in attachment 3 to the draft revised procedure).
- 8. The following revisions have been included in response to the Board's request at EB 83:
 - (a) The scope of assessment report is clarified (reflected in paragraph 16(d) of the draft revised procedure). The term "validation" has a very specific meaning in 3/CMP.1 (the CDM M&P), where it is used to refer to the review of a CDM project activity. It is also used in relation to validation of programmes of activities (PoAs) and component project activities. It has thus acquired a specific usage within the CDM. In order to avoid confusion, the opinion to be provided by the DOE at the end of the assessment is named "assessment opinion" in the draft revised procedure.
 - (b) It is clarified that the secretariat shall forward the draft standardized baseline to the Board for its approval after ensuring that the proposed new or revised approach and/or the proposed new or revised methodology have been approved by the Board (reflected in paragraph 33_{bis}(b) of the draft revised procedure);

- (c) It is clarified that, if the DOE assesses a proposed standardized baseline with a proposed deviation, it shall check the compliance of the proposed standardized baseline with the deviated approach(es), and that the assessment of the proposed deviation is not required (reflected in paragraph 16(d)(ii) and footnote 6 of the draft revised procedure);
 - (d) An analysis has been prepared for the Board's consideration to explore whether the submission of a proposed standardized baseline is possible without referring to the methodology(ies) which is/are used for the purpose of monitoring and calculation of emission reductions of CDM project activities and PoAs. This analysis is included in appendix 2.
9. The following revisions have been included to reflect lessons learned while using the procedure, especially to enhance clarity, flexibility, simplicity and consistency of the procedure:
- (a) It is clarified that a combination of approaches referred to in paragraphs 9_{bis} may be used to develop new standardized baselines if justification is provided (reflected in paragraph 11_{bis} of the draft revised procedure). The respective changes will be made in the form for the submission of a PSB to clarify this;
 - (b) Flexibility is incorporated in the procedure for submission of a new methodological approach for development of a standardized baseline. The proponent can now propose: (i) a new methodology or methodological tool and new standardized baseline that follows the proposed new methodology or methodological tool at the same time (footnote 4); (ii) a standardized baseline with a proposed revised approach, and a revised approach at the same time (footnote 4); (iii) a new methodology or revised methodology for calculation of emission reduction of project activities or PoAs using a standardized baseline, at the same time as proposed standardized baseline (footnote 5);
 - (c) Another feature incorporated for enhanced flexibility is that the revised procedure allows the proponent to request the secretariat to propose to the Board the top-down development of a new methodology or methodological tool or a top-down revision to an existing approved methodology or methodological tool. Since the proponent is unlikely to have a project design document (PDD) at the time of development of a standardized baseline, this option will allow the DNA to use the approach/methodology without having the need to submit a draft PDD that is required by the procedure for bottom-up development of a new methodology/tool or revision of approved methodology/tool. The submission/evaluation of the revision of the standardized baseline can be done in parallel to the submission/evaluation of the revised approach (reflected in paragraphs 11_{ter}(b) and 13(b) of the draft revised procedure);
 - (d) To ensure consistency with the latest approved version of the "Guideline: Quality assurance and quality control of data used in the establishment of standardized baselines", the following changes are made: (i) in cases where the standardized baseline is developed using a methodology or a tool, the DNA may use its own or other available data templates in accordance with the approved methodologies/tools (reflected in paragraph 12(b)(ii) of the revised procedure); (ii) a new requirement is added for the submission of quality control report along with submission of proposed standardized baseline;
 - (e) Additional clarity is included for the omission of the assessment report. In the existing approved procedure, if a standardized baseline is developed by a group

of Parties with 10 or fewer registered CDM project activities as of 31 December 2010, the DNA(s) cannot use the option of omission of assessment report. It is now clarified that DNA(s) of a group of Parties with 10 or fewer registered CDM project activities as of 31 December 2010 can omit an assessment report for up to three submissions, provided that all Parties in the group have not used the option of omission of assessment report for more than two submissions of standardized baselines (reflected in paragraph 14 of the draft revised procedure);

- (f) The draft revised procedure includes the steps for preparation of an assessment report by the secretariat (reflected in section 5.1.2_{bis} of the draft revised procedure);
- (g) The revision reflects the current practices/steps related to the top-down development of standardized baselines. The top-down development of standardized baselines can be initiated following the receipt of an expression of interest by DNA(s). The agreement of DNA(s) will be requested before the secretariat prepares the development plan for the standardized baseline (reflected in paragraphs 42 and 42_{bis} of the draft revised procedure).
- (h) The revision clarifies that in case the standardized baseline has been put on hold, only the revision to the standardized baseline can take place for the current period (reflected in paragraphs 166 and 167 of the draft revised procedure).

4. Impacts

- 10. The revised procedure, if approved, will fulfil the mandates by the Board and enhance clarity and flexibility of the procedure in order to improve its usability.

5. Subsequent work and timelines

- 11. Upon adoption of the draft revised procedure, the procedure will become effective as of 1 September 2015. The effective date takes into account the further work to develop and revise relevant forms to operationalize the revised procedure.
- 12. It is anticipated that a further revision to the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” will be required to reflect some of the elements of increased simplicity and flexibility of this revision.

6. Recommendations to the Board

- 13. The Board may wish to adopt the draft revised “Procedure for development, revision, clarification and update of standardized baselines” and make it effective as of 1 September 2015.

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Appendix 1. Procedure: Development, revision, clarification and update of standardized baselines

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CDM-EB84-AA-A12

Draft Procedure

Development, revision, clarification and
update of standardized baselines

Version 04.0

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United Nations
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Climate Change

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1. Introduction

1. At its sixth session, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) decided that Parties, project participants, as well as international industry organizations or admitted observer organizations through the host country's designated national authority (DNA), may submit proposals for standardized baselines applicable to new or existing methodologies, for consideration by the Executive Board of the clean development mechanism (hereinafter referred to as the Board).
2. At its sixty-third meeting, the Board adopted the "Procedure for the submission and consideration of standardized baselines" with a view to introducing the process to develop proposed new standardized baselines.
3. At its seventy-first meeting, the Board adopted the "CDM two-year business plan and management plan 2013–2014", which defines the "Procedure on revision, clarifications and update of standardized baselines" under its "Objective 3: Reduced effort, cost and time for project development/assessment; scaled-up emission reductions from underrepresented countries, regions and sub-regions". In order to further operationalize standardized baselines for Objective 3, the "Procedure for the submission and consideration of standardized baselines" was revised to include all procedural provisions for development, revision, clarification and update of standardized baselines through both bottom-up and top-down processes.

2. Scope, applicability and entry into force

2.1. Scope

4. The "Procedure: ~~for d~~Development, revision, clarification and update of standardized baselines" (hereinafter referred to as this Procedure) defines the process to develop new standardized baselines as well as to revise, clarify and update approved standardized baselines.

2.2. Applicability

5. This Procedure applies to standardized baselines that may be applied for a CDM project activity or programme of activities (PoA).~~The process to develop new standardized baselines in this Procedure applies only to proposed new standardized baselines developed using:~~
 - ~~(a) The the "Guidelines for the establishment of sector specific standardized baselines";~~
 - ~~(b) A methodological approach contained in an approved baseline and monitoring methodology;~~
 - ~~(c) A methodological approach contained in an approved methodological tool; or~~
 - ~~(d) The the "Guideline: Establishment of standardized baselines for afforestation and reforestation project activities under the CDM".~~

6. This Procedure does not contain the process to develop or revise a baseline and monitoring methodology or methodological tool for the purpose of developing a proposed standardized baseline or using the methodology together with a proposed standardized baseline to estimate emission reductions. ~~a new standardized baseline using new methodological approaches. Those who wish to develop a new standardized baseline using such a new methodological approach may submit the proposed new methodological approach in accordance with the “Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools”.~~

2.3. Entry into force

7. Version 04.0 of this Procedure shall be effective from ~~1 December 2013~~ 1 September 2015.

3. Normative references

8. The following referenced documents are indispensable for the application of this Procedure:
- (a) ~~“Clean development mechanism-CDM project cycle procedure”;~~
 - (b) ~~“Guidelines for quality assurance and quality control of data used in the establishment of standardized baselines”;~~
 - (c) “Standard for determining coverage of data and validity of standardized baselines”;
 - (d) “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools”.

4. Definitions

9. In addition to the definitions in the “Glossary of CDM terms”, the following terms apply in this Procedure:
- (a) “Shall” is used to indicate requirements to be followed;
 - (b) “Should” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
 - (c) “May” is used to indicate what is permitted;
 - (d) “Proponent” may be a Party, project participant, international industry organization or admitted observer organization.¹

¹ The definition of “admitted observer organization” can be found at http://unfccc.int/resource/ngo/art7_6.pdf.

5. Development of standardized baseline

5.1^{bis}. Approaches to develop standardized baseline

9^{bis}. A standardized baseline shall be developed using one of the following approaches:

- (a) The approach of the “Guidelines for the establishment of sector specific standardized baselines”;
- (b) A methodological approach contained in an approved, proposed new or revised baseline and monitoring methodology;
- (c) A methodological approach contained in an approved, proposed new or revised methodological tool; or
- (d) The approach of the “Guideline: Establishment of standardized baselines for afforestation and reforestation project activities under the CDM”.

5.1. Bottom-up process

5.1.1. Submission of proposed standardized baselines

10. ~~Parties, project participants, international industry organizations or admitted observer organizations² (hereinafter in section 5.1 referred to as the proponent)~~ A proponent may propose a standardized baseline through the DNA of a Party for which the standardized baseline is proposed. The DNA ~~shall~~ ^{should} subsequently submit the proposed standardized baseline to the secretariat using the form “Proposed standardized baseline submission form” (CDM-PSB-FORM).
11. Where the proposed standardized baseline is developed for a group of Parties, it shall be approved by the DNAs of all these Parties. In this case, following the receipt of approval from all these DNAs, any one of the DNAs shall submit the proposed standardized baseline to the secretariat ~~in accordance with this Procedure~~.
- 11^{bis} Notwithstanding the provision in paragraph 9^{bis} above, if the proponent wishes to use a combination of the approaches for the development of the proposed standardized baseline, or deviate from the selected approach due to a specific issue of the sector or geographical area (e.g. country or region),³ the proponent shall provide a justification for the necessity of such combination or deviation in the submission of the proposed standardized baseline. In case of deviation from the approach referred to in paragraph 9^{bis}(b) or 9^{bis}(c) above, the proponent shall also justify why a revision of the approved methodology or methodological tool is not necessary.

² ~~The definition of “admitted observer organization” can be found at~~
~~<http://unfccc.int/resource/nao/art7_6.pdf>.~~

³ The following are examples of specific issues of the sector or geographical area: (i) the data available for the development of a proposed standardized baseline have a different vintage than that required by the approved approach(es); (ii) the default values of baseline and additionality threshold as per the “Guideline for establishment of sector specific standardized baselines” are not applicable in their sector-specific context and therefore a different value(s) of the threshold is justified.

- 11^{ter} If the proponent wishes to use a new or revised approach to be contained in an methodology or methodological tool in accordance with paragraph 9_{bis}(b) or 9_{bis}(c) above, it shall, through the DNA of a Party for which the standardized baseline is proposed, request approval from the Board of a new or revised methodology or methodological tool in accordance with the "Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools", through one of the following processes:
- (a) Propose a new methodology or methodological tool or a revision of an approved methodology or methodological tool through the bottom-up process.⁴ In this case, this proposal shall be referred to in the submission of the proposed standardized baseline; or
 - (b) Request the secretariat to propose to the Board top-down development of a new methodology or methodological tool or top-down revision of an approved methodology or methodological tool. In this case, this request shall be referred to in the submission of the proposed standardized baseline.
12. The DNA submitting the proposed standardized baseline shall ~~upload~~ submit the following documentation to the secretariat through a specified e-mail account made available on the UNFCCC CDM website ~~the following documentation~~:
- (a) The duly completed ~~"Proposed standardized baseline submission form"~~ {CDM-PSB-FORM};
 - (b) All additional documentation supporting the submission (e.g. relevant data, and documentation including a quality control report, statistics, studies, etc.), where applicable. Data used to establish the proposed standardized baseline shall be provided in ~~a one of the following~~ sector-specific data templates:
 - (i) A sector-specific data template published by the secretariat on the UNFCCC CDM website in accordance with the modalities in attachment 1 to this Procedure. The proponent may request a revision or clarification of the published data template in accordance with the modalities in attachment 1 to this Procedure ~~If no applicable data template is available on the UNFCCC CDM website at the time of the DNA's submission of data collection for the proposed standardized baseline; the proponent of the standardized baseline shall propose a new sector-specific data template for its publication, or, if applicable, request the revision or clarification of a published data template in accordance with the modalities in Appendix 1 to this Procedure; or~~
 - (ii) A sector-specific data template prepared in accordance with an approved methodology or methodological tool (e.g. "Tool to calculate the emission factor for an electricity system"), if the proposed standardized baseline is developed using the approach referred to in paragraph 9_{bis}(b) or 9_{bis}(c) above;

⁴ Proposed new or revised methodology or methodological tool and the proposed standardized baseline following the proposed new or revised methodology or methodological tool may be submitted to the secretariat at the same time in accordance with the "Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools" and this Procedure respectively.

- (c) An assessment report on the quality of the data management system collection, processing and compilation to for establishing the proposed standardized baseline in accordance with the “Guidelines: for quality assurance and quality control of data used in the establishment of standardized baselines” containing the information referred to in paragraph 16(d) below. The assessment report shall be prepared by a designated operational entity (DOE) contracted by either the DNA or any other entity under the agreement with the DNA. If the DNA is of a Party that has 10 or fewer registered CDM project activities as of 31 December 2010, or represents a group of Parties, each of which has 10 or fewer registered CDM project activities as of 31 December 2010, the DNA may apply for funding from the secretariat for the DOE to prepare the assessment report in accordance with the modalities described in attachment 2 to this Procedure;
 - (d) Letters of approval on the proposed standardized baseline from all the DNAs of the Parties to which it applies, where if it applies to a group of Parties.
13. If there is no approved methodology available that the proposed standardized baseline can use to estimate emission reductions, to be used together with the proposed standardized baseline to estimate emission reductions, the proponent, through the DNA of a Party for which the standardized baseline is proposed, may request approval from the Board of a new or revised methodology in accordance with the “Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools” through one of the following processes:
- (a) a proposed a new or revised methodology or a proposed revision to an existing approved methodology through the bottom-up process shall be submitted in accordance with the “Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools”. In this case, the DNA shall refer to the proposed new methodology or proposed revised methodology shall be referred to in the CDM-PSB-FORM referred to in paragraph 12(a)-submission of the proposed standardized baseline;⁵ or
 - (b) Request the secretariat to propose to the Board the top-down development of a new methodology or top-down revision of an approved methodology. In this case, this request shall be referred to in the submission of the proposed standardized baseline.
14. Notwithstanding the provision in paragraph 12(c) above, for a Party with 10 or fewer registered CDM project activities as of 31 December 2010, the assessment report referred to in paragraph 12(c) may be omitted in up to the first three submissions of a proposed standardized baseline regardless of the sector for the Party. This exception shall not apply for the submissions of proposed standardized baselines for a group of Parties made in accordance with paragraph 11 if:

⁵ The proposed standardized baseline and the proposed new or revised methodology to be used together with the proposed standardized baseline to estimate emission reductions may be submitted to the secretariat at the same time in accordance with this Procedure and the “Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools” respectively.

- (a) The Party had 10 or fewer registered CDM project activities as of 31 December 2010, or a group of Parties, each of which had 10 or fewer registered CDM project activities as of 31 December 2010 and has not availed itself of the option to omit the assessment report more than twice in past submissions of a proposed standardized baseline, decides not to submit the assessment report; or
- (b) No data collection/processing is required to establish the proposed standardized baseline (e.g. since a proposed standardized baseline for landfill methane destruction requires only information on regulations on the mandatory destruction level, no data collection/processing is further required).

15. No fee shall be payable to the secretariat for the submission of the proposed standardized baseline.

5.1.2. Initial assessment

16. The secretariat shall undertake an initial assessment of the submission using the "Proposed standardized baseline initial assessment form" (CDM-PSBA-FORM) within 21 days of receipt of the submission. ~~The secretariat shall assess to determine whether:~~

- (a) The CDM-PSB-FORM, including the name and contact details of the proponent ~~of the proposed standardized baseline~~, has been duly completed;
- (b) The proposed standardized baseline was derived from ~~an approach(es) referred to in paragraph 9_{bis} above;~~
 - ~~(i) The "Guidelines for the establishment of sector specific standardized baselines";~~
 - ~~(ii) A methodological approach contained in an approved baseline and monitoring methodology;~~
 - ~~(iii) A methodological approach contained in an approved methodological tool; or~~
 - ~~(iv) The "Guideline: Establishment of standardized baselines for afforestation and reforestation project activities under the CDM";~~
- (c) The DNA submitted all the information required for consideration of the proposed standardized baseline (e.g. studies referred to in the proposed standardized baseline documents);
- (d) Except for the cases referred to in paragraph 14 above, the DNA submitted ~~An assessment report was submitted that presents how the data were collected, processed and compiled to establish the proposed standardized baseline and that includes a the DOE's positive assessment opinion on whether the data were collected and processed in accordance with relevant procedures or guidelines adopted by the Board on the compliance of:~~
 - (i) The quality assurance and quality control system with the provisions and data quality objectives of the "Guidelines for quality assurance and quality control of data in the establishment of standardized baselines";

(ii) The proposed standardized baseline with either:

- a. One of the approaches referred to in paragraph 9_{bis} above;
- b. A combination of the approaches referred to in paragraph 9_{bis} above with justification; or
- c. One of the approaches referred to in paragraph 9_{bis} above with a proposed deviation from the approach.⁶

17. The secretariat shall inform the DNA and the proponent of the outcome of the initial assessment. If the secretariat finds that the required documentation or information is incomplete, it shall notify the DNA and the proponent ~~of the proposed standardized baseline~~ accordingly. In this case, the DNA should provide the missing documents or information within 42 days of the notification.

18. The secretariat shall conclude the initial assessment within 14 days of receipt of missing documents or information and inform the DNA and the proponent of the conclusion of the initial assessment. If the DNA fails to provide the missing documents or information within the deadline, the secretariat shall suspend processing the submission ~~any further~~ until it receives the missing documents or information.

18_{bis} Upon successful conclusion of the initial assessment, the secretariat shall assign a reference number to the proposed standardized baseline and make the submitted documentation publicly available on the UNFCCC CDM website with the exception of information declared confidential and/or proprietary by the DNA. Aggregated data and information used to derive the standardized baseline shall not be considered as confidential or proprietary.

5.1.2_{bis} Preparation of assessment report by the secretariat

18_{ter}. If the submission of assessment report is omitted in accordance with paragraph 14 above, the secretariat shall prepare an assessment report containing information referred to in paragraph 16(d) above.

18_{quater}. Within 14 days of the successful conclusion of the initial assessment, the secretariat shall request input from the DNA and the proponent on the secretariat's findings related to information referred to in paragraph 16(d) above. The DNA should submit the requested input within 14 days of each notification on the findings by the secretariat. When submitting the input on the findings, the DNA should use the CDM-PSB-FORM highlighting the revisions to the proposed standardized baseline. If the DNA fails to provide the requested input within the deadline, the secretariat shall suspend processing the submission until it receives the requested input.

18_{quinquies} The secretariat shall assess the input submitted by the DNA within 14 days of receipt of the input. If the secretariat finds that it is still not sufficient to conclude on all the findings, it may initiate a direct communication with the DNA and the proponent via e-mail or telephone conference to clarify remaining issues.

⁶ If the DOE assesses a proposed standardized baseline with a proposed deviation from an approved approach(es), the assessment of the proposed deviation is not required.

18^{sexies} Only upon the conclusion on all the findings, the secretariat shall finalize the assessment report.

5.1.3. Preparation of recommendation

19. Within 28 days of the successful conclusion of the initial assessment or the completion of the assessment report by the secretariat, the secretariat shall prepare a draft recommendation on the proposed standardized baseline using either:
 - ~~(a) Assign a reference number to the proposed standardized baseline;~~
 - ~~(b) Make the submitted documentation publicly available on the UNFCCC CDM website with the exception of information declared confidential and/or proprietary by the DNA. Information used to derive the standardized baseline shall not be considered proprietary or confidential;~~
 - ~~(c) In the case referred to in paragraph 13, prepare an assessment report presenting how the data were collected, processed and compiled to establish the proposed standardized baseline in accordance with the "Guidelines for quality assurance and quality control of data used in the establishment of standardized baselines";~~
 - (a) Prepare a draft recommendation on the proposed standardized baseline using the "Proposed standardized baseline recommendation form" (CDM-PSBR-FORM);
 - (b) The "Proposed standardized baseline recommendation form" (CDM-PSBR-FORM) for a recommended course of action referred to in paragraph 20(a) or 20(c) below; or
 - (c) The CDM-PSB-FORM form for a recommended course of action referred to in paragraph 20(b) below.
20. The secretariat shall include in its draft recommendation one of the following courses of action:
 - (a) To approve the proposed standardized baseline;
 - (b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA and the proponent; or
 - (c) Not to approve the proposed standardized baseline.
21. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the proposed standardized baseline and the availability of expertise in the secretariat, by selecting a maximum of two independent external experts from the Methodologies Roster of Experts for desk reviews. If the secretariat does not find suitable and available experts in the roster, it may use the services of experts not included in the roster.
22. The secretariat shall select two members of a relevant panel or working group⁷ and forward its draft recommendation to them.

⁷ Methodologies Panel, Small-Scale Working Group, Afforestation and Reforestation Working Group or Carbon Dioxide Capture and Storage Working Group.

5.1.4. Consideration by ~~two~~ selected members of panel or working group ~~and/or by panel or working group~~

23. The two selected members of the relevant panel or working group shall, within seven days of receipt of the draft recommendation, independently assess the proposed standardized baseline and the draft recommendation, and inform the secretariat of the outcome of their assessment.
24. If both of the selected members of the relevant panel or working group agree to the draft recommendation to approve or not to approve the proposed standardized baseline, the secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
- ~~25. If the draft recommendation is to approve the proposed standardized baseline in paragraphs 24, 30 and 33, before forwarding it as the recommendation to the Board, the secretariat shall reformat the proposed standardized baseline into the form of draft standardized baseline (hereinafter referred to as DSB). Upon receipt of an agreement on the DSB from either the two selected panel or working group members or the relevant panel or working group, depending on which considered the draft recommendation last, the secretariat shall communicate the DSB to the DNA. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt thereof. If the DNA does not respond accordingly by this deadline, the forwarding of the recommendation to the Board may be delayed accordingly. In cases where the DNA does not accept the DSB and/or request modification to it in its response, the secretariat shall forward the DSB, to either the two selected panel or working group members, or the relevant panel or working group, depending on which considered the draft recommendation last. In these cases, taking into account the DNA's response, the relevant panel or working group shall finalize the DSB at its next meeting while the two selected panel or working group members shall finalize the DSB within seven days of receipt thereof.~~
26. If both of the selected members of the relevant panel or working group agree ~~that to~~ the draft recommendation ~~that the proposed standardized baseline~~ requires further input from the DNA, the secretariat shall notify the DNA and the proponent ~~of the proposed standardized baseline~~ accordingly ~~using the CDM-PSB-FORM~~. The DNA should submit the requested inputs within 28 days of the notification. ~~All the input shall be highlighted in the CDM-PSB-FORM. If the DNA submits inputs including new data, the DNA should resubmit the a revised assessment report referred to in paragraph 16(d) above, as applicable, within the same deadline in accordance with the "Guidelines: for Quality assurance and quality control of data used in the establishment of standardized baselines". If the DNA fails to provide the requested inputs and a revised assessment report, as applicable within the deadline, the secretariat shall suspend processing the submission any further until it receives the requested inputs and a revised assessment report, as applicable.~~
27. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to recommend that the proposed standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA ~~and/or the proponent of the proposed standardized baseline~~ via e-mail or telephone conference to clarify remaining issues.
28. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA ~~and/or the proponent of the proposed~~

~~standardized baseline~~, as applicable, to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 24 above or 29–33 below shall ~~apply follow~~.

5.1.4_{bis} Consideration by panel or working group

29. If at least one selected member of the relevant panel or working group disagrees with the draft recommendation or requests that it be considered by the relevant panel or working group, the secretariat shall forward the draft recommendation to the relevant panel or working group. The relevant panel or working group shall consider the proposed standardized baseline and the draft recommendation at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
30. The relevant panel or working group shall finalize its consideration within two meetings, unless it finds that further input from the DNA or guidance from the Board is required. In case further input from the DNA or guidance from the Board is sought, the relevant panel or working group shall finalize its consideration at the meeting immediately following receipt of such input or guidance. In its finalization of consideration, the relevant panel or working group shall conclude to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
31. If the relevant panel or working group finds that further input from the DNA is required, the secretariat shall notify the DNA and the proponent ~~of the proposed standardized baseline~~ accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA fails to submit the requested input within the deadline, the secretariat shall suspend processing the submission ~~any further~~ until it receives the requested input.
32. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to recommend that the proposed standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and ~~or the proponent of the proposed standardized baseline~~ via e-mail or telephone conference to clarify remaining issues.
33. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and ~~or the proponent of the proposed standardized baseline~~, as applicable, to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the relevant panel or working group for its final consideration. The relevant panel or working group shall conclude to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.

5.1.4_{ter} Preparation of draft standardized baseline

33_{bis}. If the recommendation is to approve the proposed standardized baseline, before forwarding it to the Board in accordance with paragraph 24, 30 or 33 above, the secretariat shall:

- (a) Reformat the proposed standardized baseline into the form of draft standardized baseline (hereinafter referred to as DSB) and send it to the two selected panel or working group members or to the relevant panel or working group, whichever considered the draft recommendation last. Upon receipt of an agreement on the DSB from the two selected panel or working group members, or from the relevant panel or working group, as applicable, the secretariat shall communicate the DSB to the DNA and the proponent. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt thereof. If the DNA does not respond by this deadline, the forwarding of the recommendation to the Board may be delayed accordingly. In case where the DNA does not accept the DSB and/or request modification to it in its response, the secretariat shall forward the DSB and the response from the DNA to the two selected panel or working group members, or to the relevant panel or working group, whichever considered the draft recommendation last. In this case, taking into account the DNA's response, the two selected panel or working group members shall finalize the DSB within seven days of receipt thereof, or the relevant panel or working group shall finalize the DSB at its next meeting;
- (b) Ensure that the proposed new or revised approach(es) to develop the proposed standardized baseline and/or the proposed new or revised methodology to be used together with the proposed standardized baseline to estimate emission reductions have been approved by the Board if they have been submitted to the secretariat in accordance with paragraph 11_{ter} and/or 13 above, respectively;
- (c) Make the assessment report publicly available on the UNFCCC CDM website if it has been prepared by the secretariat in accordance with section 5.1.2_{bis} above.

5.1.5. Consideration by the Board

- 34. If no member of the Board objects to the recommendation received in accordance with paragraph 24, 30 ~~and or~~ 33 above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Board.
- 35. 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.
- 36. If a member of the Board objects to the recommendation more than 14 days 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.
- 37. If the Board considers the case at its meeting, it shall decide on **one of the following** courses of action at the meeting:

~~38. The course of action referred to in paragraph 37 above shall be:~~

- (a) To approve the DSB;
 - (b) Not to approve the DSB;
 - (c) To continue the consideration of the DSB at the next Board meeting; or
 - (d) To request a relevant panel or working group to review the recommendation and provide guidance on the issues for the review.
39. Once a decision has been made by the Board, the secretariat shall inform the DNA **and the proponent** 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.
40. If the DSB is not approved, the DNA or any other DNA of Parties for which the standardized baseline is proposed may at any time resubmit a proposed standardized baseline with revised documentation. Upon submission of the revised documentation the submission shall be treated as a new submission of a proposed standardized baseline.

5.2. Top-down process

5.2.1. Initiation

~~41. The Board may decide to develop a DSB at any time following the receipt of the agreement with the DNA(s) of a Party(ies) for which the DSB is proposed using the “DSB development agreement” form (CDM-DSBA-FORM).~~

42. The secretariat may propose to the Board that **if the secretariat develops a DSB at any time following the receipt of the agreement with the DNA(s) of a Party(ies) for which the DSB is proposed using the CDM-DSBA-FORM an expression of interest by the DNA(s) of a Party(ies) for which the DSB will be proposed. In this case, The Board shall consider the proposal and decide on one of the following courses of action whether to develop a DSB:**

- (a) To approve the proposed development of the DSB including, if required during the course of the preparation of the DSB, the top-down development of or revision to or deviation from:
 - (i) An approach to develop the DSB; and/or
 - (ii) A methodology to be used together with the DSB for the purpose of estimation of emission reductions;
- (b) Not to approve the proposed development of the DSB; or
- (c) To continue the consideration of the proposed development of the DSB at the next Board meeting.

5.2.2. Preparation of **DSB-draft standardized baseline**

~~42^{bis}.~~ If the Board decides to develop a DSB in accordance with paragraph 42(a) above, the DNA(s) shall submit the duly completed “DSB development agreement” form

(CDM-DSBA-FORM) to the specified UNFCCC e-mail account made available on the UNFCCC CDM website.

43. ~~If the Board decides to develop a DSB in accordance with paragraph 41 or 42~~ Upon receipt of the duly completed CDM-DSBA-FORM, the secretariat shall prepare a draft development plan of the DSB in consultation with the DNA(s) using the “DSB development plan” form (CDM-DSBP-FORM), identifying defining, inter alia, the scope, applicability, approach(es), data collection process, data quality assurance process, necessity of a new or revised methodology or methodological tool, necessity of a deviation from the selected approach(es) and time frame for development of the DSB.
44. The secretariat shall select two members of the relevant panel or working group and forward the draft development plan to them for their review. The selected members shall provide input on the draft development plan within five days of receipt thereof.
45. The secretariat shall finalize the development plan taking into account the input from the selected members of the relevant panel or working group within five days of receipt of the input.
46. The secretariat shall prepare ~~a the~~ DSB in accordance with the development plan.
47. In preparing the DSB, the secretariat may draw upon external expertise, depending on the technical complexity of the DSB and the availability of expertise in the secretariat, by selecting a maximum of two independent external experts from the Methodologies Roster of eExperts for desk reviews. If the secretariat does not find suitable and available experts in the roster, it may use the services of experts not included in the roster.
48. The secretariat shall select two members of a relevant panel or working group and forward the DSB to ~~the two selected members them~~.

5.2.3. Consideration by ~~two~~ selected members of panel or working group ~~and/or by panel or working group~~

49. The two selected members of the relevant panel or working group shall, within seven days of receipt of the DSB, independently assess the DSB, and inform the secretariat of their recommendation indicating one of the following courses of action:
 - (a) To approve the DSB;
 - (b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA(s); or
 - (c) To request that the DSB be considered by the relevant panel or working group.
50. If both of the selected members of the relevant panel or working group recommend that the DSB be approved, the secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.
51. ~~In the cases referred to in paragraphs 50, 56 and 59, before forwarding it to the Board, the secretariat shall communicate the DSB to the DNA. The DNA shall confirm that it is acceptable or request modifications to it within 14 days of receipt thereof. If the DNA does not respond accordingly by this deadline, the forwarding of the DSB to the Board may be delayed accordingly. In cases where the DNA does not accept the DSB and/or~~

~~request modification to it in its response, the secretariat shall forward the DSB, to either the two selected panel or working group members, or the relevant panel or working group, depending on which considered the DSB last. In these cases, taking into account the DNA's response, the relevant panel or working group shall finalize the DSB at its next meeting while the two selected panel or working group members shall finalize the DSB within seven days of receipt thereof.~~

52. If both of the selected members of the relevant panel or working group recommend that the DSB requires further input from the DNA(s), the secretariat shall notify the DNA(s) accordingly. The DNA(s) should submit the requested input within 28 days of the notification. If the DNA(s) fails to provide the requested input within the deadline, the secretariat shall suspend processing the development ~~any further~~ until it receives the requested input.
53. The secretariat shall assess the further input submitted by the DNA(s). If the secretariat finds that it is still not sufficient to develop the DSB, the secretariat may initiate a direct communication with the DNA(s) via e-mail or telephone conference to clarify remaining issues.
54. The secretariat shall revise the DSB taking into account the further input and direct communication with the DNA(s), as applicable. The secretariat shall forward the revised DSB to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 50 above or 55–59 below shall ~~apply~~ follow.

5.2.3_{bis} Consideration by panel or working group

55. If at least one selected member of the relevant panel or working group requests that the DSB be considered by the relevant panel or working group, the secretariat shall forward the DSB to the relevant panel or working group. The relevant panel or working group shall consider the DSB at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
56. The relevant panel or working group shall finalize the DSB within two meetings, unless it finds that further input from the DNA(s) or guidance from the Board is required. In case further input from the DNA(s) or guidance from the Board is sought, the relevant panel or working group shall finalize the DSB at the meeting immediately following receipt of such input or guidance. The secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.
57. If the relevant panel or working group finds that further input from the DNA(s) is required, the secretariat shall notify the DNA(s) accordingly. In this case, the DNA(s) should submit the requested input within 28 days of the notification. If the DNA(s) fails to submit the requested input within the deadline, the secretariat shall suspend ~~processing~~ the development ~~of the DSB~~ any further until it receives the requested input.
58. The secretariat shall assess the further input submitted by the DNA(s). If the secretariat finds that the further input is still not sufficient to develop the DSB, the secretariat may initiate a direct communication with the DNA(s) via e-mail or telephone conference to clarify remaining issues.
59. The secretariat shall revise the DSB taking into account the further input and direct communication with the DNA(s), as applicable. The secretariat shall forward the revised

DSB to the relevant panel or working group for its final consideration. The relevant panel or working group shall finalize the DSB. The secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.

5.2.3_{ter} Finalization of draft standardized baseline

59_{bis}. Before forwarding the DSB to the Board in accordance with paragraph 50, 56 or 59 above, the secretariat shall communicate the DSB to the DNA(s). The DNA(s) shall confirm that it is acceptable or request modifications to it within 14 days of receipt thereof. If the DNA(s) does not respond by this deadline, the forwarding of the DSB to the Board may be delayed accordingly. In case where the DNA(s) does not accept the DSB and/or request modification to it in its response, the secretariat shall forward the DSB and the response from the DNA(s) to the two selected panel or working group members, or to the relevant panel or working group, whichever considered the DSB last. In this case, taking into account the DNA(s)' response, the two selected panel or working group members shall finalize the DSB within seven days of receipt thereof, or the relevant panel or working group shall finalize the DSB at its next meeting, as applicable.

5.2.4. Consideration by the Board

60. If no member of the Board objects to approving the DSB received in accordance with paragraphs 50, 56 ~~and or~~ 59 above within 28 days of receipt of the DSB, the DSB shall be deemed to be approved by the Board.
61. 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.
62. If a member of the Board objects to approving the DSB more than 14 days 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.
63. If the Board considers the case at its meeting, it shall decide on **one of the following** courses of action at the meeting:
- ~~64. The course of action referred to in paragraph 63 above shall be:~~
 - (a) To approve the DSB;
 - (b) Not to approve the DSB;
 - (c) To continue the consideration of the DSB at the next Board meeting; or
 - (d) To request a relevant panel or working group to review the DSB and provide guidance on the issues for the review.
65. Once a decision has been made by the Board, the secretariat shall inform the DNA(s) 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.

6. Revision of standardized baseline

6.1. Bottom-up process

6.1.1. Submission of proposed revised standardized baseline

66. ~~Parties, project participants, international industry organizations or admitted observer organizations (hereinafter in section 6.1 referred to as the proponent) A proponent may, taking into account the principles for revisions referred to in attachment 3 to this procedure, propose revision to an approved standardized baseline through the DNA of a Party for which the revised standardized baseline is proposed. The DNA should subsequently may request the Board to revise an approved standardized baseline by submitting the proposed revised standardized baseline to the secretariat following documents to the secretariat through a specific interface on the UNFCCC CDM website:~~

66^{bis}. Where the proposed revised standardized baseline is developed for a group of Parties, it shall be approved by the DNAs of all these Parties. In this case, following the receipt of approval from all these DNAs, any one of the DNAs shall submit the proposed revised standardized baseline to the secretariat in accordance with this Procedure.

66^{ter}. The DNA submitting the proposed revised standardized baseline shall submit the following documentation to the secretariat through a specified e-mail account made available on the UNFCCC CDM website:

- (a) The duly completed "Approved standardized baseline revision request" form (CDM-ASR-FORM);
- (b) The proposed revised standardized baseline, highlighting the proposed changes to the approved standardized baseline;
- (c) All additional documentation supporting the submission (e.g. relevant data, and documentation including a quality control report, statistics, studies, etc.), where applicable. ~~In the event that If new or additional data were used to establish the proposed revised standardized baseline, all these data used shall be provided in a sector-specific data template in accordance with paragraph 12(b) above; published by the secretariat on the UNFCCC CDM website. If no applicable data template is available on the UNFCCC CDM website at the time of the submission of the proposed revised standardized baseline, the proponent of the proposed revised standardized baseline shall propose a sector-specific data template for its publication, or, if applicable, request the revision or clarification of a published data template in accordance with the modalities in Appendix 1 to this Procedure;~~
- (d) ~~In the event that If new or additional data were used to establish the proposed revised standardized baseline as referred to in subparagraph 66(e)(c) above, an assessment report on the quality of the data collection, processing and compilation to establish the proposed revised standardized baseline containing the information referred to in paragraph 16(d) above in accordance with the "Guidelines: for quality assurance and quality control of data used in the establishment of standardized baselines". The assessment report shall be prepared by a DOE contracted by either the DNA or any other entity under the agreement with the DNA;~~

- (e) Letters of approval on the proposed revised standardized baseline from all the DNAs of the Parties to which it applies, where it applies to a group of Parties.

67. ~~Where the proposed revised standardized baseline is developed for a group of Parties, it shall be approved by the DNAs of all these Parties. In this case, following the receipt of approval from all these DNAs, any one of the DNAs shall submit the proposed revised standardized baseline to the secretariat in accordance with this Procedure.~~

67^{bis}. No fee shall be payable to the secretariat for the submission of the proposed revised standardized baseline.

6.1.2. Initial assessment

68. The secretariat shall undertake an initial assessment of the submission using the “Approved standardized baseline revision request initial assessment form” (CDM-ASIA-FORM) within 21 days of receipt of the submission. ~~The secretariat shall assess to determine~~ whether:

- (a) The CDM-ASR-FORM, including the name and contacts of the ~~proponent of the proposed revised standardized baseline~~, has been duly completed;
- (b) The proposed revised standardized baseline was derived from the same approach ~~(i.e. the “Guidelines for the establishment of sector specific standardized baselines”, a methodological approach contained in an approved baseline and monitoring methodology, a methodological approach contained in an approved methodological tool, or the “Guideline: Establishment of standardized baselines for afforestation and reforestation project activities under the CDM”)~~ as the one used in the approved standardized baseline that ~~was~~ ~~is~~ ~~being~~ proposed to be revised;
- (c) The DNA has submitted all the information required for consideration of the proposed revised standardized baseline (e.g. studies referred to in the proposed revised standardized baseline documents);
- (d) In the case referred to in paragraph 66^{ter}(d) above, an assessment report was submitted ~~presenting how the data were collected, processed and compiled to establish the proposed revised standardized baseline and includes a positive opinion on whether the data were collected and processed in accordance with relevant procedures or guidelines adopted by the Board containing the information referred to in paragraph 16(d) above.~~

69. The secretariat shall inform the DNA ~~and the proponent~~ of the outcome of the initial assessment. If the secretariat finds that the required documentation or information is incomplete, it shall notify the DNA and the proponent ~~of the proposed revised standardized baseline~~ accordingly. In this case, the DNA should provide the missing documents or information within 42 days of the notification.

70. The secretariat shall conclude the initial assessment within 14 days of receipt of missing documents or information and inform the DNA ~~and the proponent~~ of the conclusion of the initial assessment. If the DNA fails to provide the missing documents or information within the deadline, the secretariat shall suspend processing the submission ~~any further~~ until it receives the missing documents or information.

70^{bis} Upon successful conclusion of the initial assessment, the secretariat shall assign a reference number to the proposed revision and make the submitted documentation publicly available on the UNFCCC CDM website with the exception of information declared confidential and/or proprietary by the DNA. Aggregated data and information used to derive the standardized baseline shall not be considered as confidential or proprietary.

6.1.3. Preparation of draft recommendation

71. Within 28 days of the successful conclusion of the initial assessment, the secretariat shall prepare a draft recommendation on the proposed revised standardized baseline using either:

~~(a) Make the submitted documentation publicly available on the UNFCCC CDM website with the exception of information declared confidential and/or proprietary by the DNA. Information used to derive the proposed revised standardized baseline shall not be considered proprietary or confidential;~~

~~(b) Prepare a draft recommendation on the proposed revised standardized baseline using the "Approved standardized baseline revision recommendation" form (CDM-ASRR-FORM);~~

(a) The "Approved standardized baseline revision recommendation" form (CDM-ASRR-FORM) for a recommended course of action referred to in paragraph 72(a) or 72(c) below; or

(b) The CDM-ASR-FORM for a recommended course of action referred to in paragraph 72(b) below.

72. The secretariat shall include in its draft recommendation one of the following courses of action:

(a) To approve the proposed revised standardized baseline, indicating that:

(i) The revision is a major revision; or

(ii) The revision is a minor revision;

(b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA and the proponent; or

(c) Not to approve the proposed revised standardized baseline.

73. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the proposed revised standardized baseline and the availability of expertise in the secretariat, by selecting a maximum of two independent external experts from the Methodologies Roster of eExperts for desk reviews. If the secretariat does not find suitable and available experts in the roster, it may use the services of experts not included in the roster.

74. The secretariat shall select two members of a relevant panel or working group and forward its draft recommendation to them.

6.1.4. Consideration by two selected members of panel or working group and/or by panel or working group

75. The two selected members of the relevant panel or working group shall, within seven days of receipt of the draft recommendation, independently assess the proposed revised standardized baseline and the draft recommendation, and inform the secretariat of the outcome of their assessment.
76. If both of the selected members of the relevant panel or working group agree to the draft recommendation ~~to approve or not to approve that~~ the proposed revised standardized baseline ~~be either approved indicating that the revision is major,⁸ approved indicating that the revision is minor,⁹ or not approved~~, the secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
- ~~77. If the draft recommendation is to approve the proposed revised standardized baseline in paragraphs 76, 82 and 85 before forwarding it as the recommendation to the Board, the secretariat shall reformat the proposed revised standardized baseline. Upon receipt of an agreement on the reformatted revised standardized baseline from either the two selected panel or working group members, or the relevant panel or working group, depending on which considered the draft recommendation last, the secretariat shall communicate the reformatted revised standardized baseline to the DNA. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt thereof. If the DNA does not respond accordingly by this deadline, the forwarding of the recommendation to the Board may be delayed accordingly. In cases where the DNA does not accept the reformatted revised standardized baseline and/or request modification to it in its response, the secretariat shall forward the reformatted revised standardized baseline, to either the two selected panel or working group members, or the relevant panel or working group, depending on which considered the draft recommendation last. In these cases, taking into account the DNA's response, the relevant panel or working group shall finalize the reformatted revised standardized baseline at its next meeting while the two selected panel or working group members shall finalize the reformatted revised standardized baseline within seven days of receipt thereof.~~
78. If both of the selected members of the relevant panel or working group agree ~~that to~~ the draft recommendation ~~that the proposed revised standardized baseline~~ requires further input from the DNA, the secretariat shall notify the DNA and the proponent ~~of the proposed revised standardized baseline~~ accordingly ~~using the CDM-ASR-FORM~~. The DNA should submit the requested input within 28 days of the notification. ~~All the input shall be highlighted in the CDM-ASR-FORM~~. If the DNA fails to provide the requested input within the deadline, the secretariat shall suspend processing the submission ~~any further~~ until it receives the requested input.
79. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to recommend that the proposed revised standardized baseline be approved ~~indicating that the revision is major or minor~~ or not approved, the secretariat may initiate a direct communication with the DNA ~~and/or the proponent of the~~

⁸ See paragraph 167.

⁹ See paragraph 168.

~~proposed revised standardized baseline~~ via e-mail or telephone conference to clarify remaining issues.

80. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and/or the proponent ~~of the proposed revised standardized baseline~~, as applicable, to recommend that the proposed revised standardized baseline be either approved **indicating that the revision is major or minor** or not approved. The secretariat shall forward the revised draft recommendation to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 76 above or 81–85 below shall **apply follow**.

6.1.4_{bis} Consideration by panel or working group

81. If at least one selected member of the relevant panel or working group disagrees with the draft recommendation or requests that it be considered by the relevant panel or working group, the secretariat shall forward the draft recommendation to the relevant panel or working group. The relevant panel or working group shall consider the proposed revised standardized baseline and the draft recommendation at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
82. The relevant panel or working group shall finalize its consideration within two meetings, unless it finds that further input from the DNA or guidance from the Board is required. In case further input from the DNA or guidance from the Board is sought, the relevant panel or working group shall finalize its consideration at the meeting immediately following receipt of such input or guidance. In its finalization of consideration, the relevant panel or working group shall conclude to recommend that the proposed revised standardized baseline be either approved **indicating that the revision is major or minor** or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
83. If the relevant panel or working group finds that further input from the DNA is required, the secretariat shall notify the DNA and the proponent ~~of the proposed revised standardized baseline~~ accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA fails to submit the requested input within the deadline, the secretariat shall suspend processing the submission **any further** until it receives the requested input.
84. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to recommend that the proposed revised standardized baseline be approved **indicating that the revision is major or minor** or not approved, the secretariat may initiate a direct communication with the DNA and/or the proponent ~~of the proposed revised standardized baseline~~ via e-mail or telephone conference to clarify remaining issues.
85. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and/or the proponent ~~of the proposed revised standardized baseline~~, as applicable, to recommend that the proposed revised standardized baseline be either approved **indicating that the revision is major or minor** or not approved. The secretariat shall forward the revised draft recommendation to the relevant panel or working group for its final consideration. The relevant panel or working group shall conclude to recommend that the proposed revised standardized baseline be

either approved indicating that the revision is major or minor or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.

6.1.4^{ter} Preparation of draft revised standardized baseline

85^{bis}. If the draft recommendation is to approve the proposed revised standardized baseline in accordance with paragraph 76, 82 or 85 above, the secretariat shall, before forwarding it as the recommendation to the Board, reformat the proposed revised standardized baseline and send it to the two selected panel or working group members or to the relevant panel or working group, whichever considered last. Upon receipt of an agreement on the reformatted revised standardized baseline from the two selected panel or working group members, or from the relevant panel or working group, as applicable, the secretariat shall communicate the reformatted revised standardized baseline to the DNA and the proponent. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt thereof. If the DNA does not respond by this deadline, the forwarding of the recommendation to the Board may be delayed accordingly. In case where the DNA does not accept the reformatted revised standardized baseline and/or request modification to it in its response, the secretariat shall forward the reformatted revised standardized baseline and the response from the DNA, to the two selected panel or working group members, or to the relevant panel or working group, whichever considered the draft recommendation last. In this case, taking into account the DNA's response, the two selected panel or working group members shall finalize the reformatted revised standardized baseline within seven days of receipt thereof, or the relevant panel or working group shall finalize the reformatted revised standardized baseline at its next meeting, as applicable.

6.1.5. Consideration by the Board

86. If no member of the Board objects to the recommendation received in accordance with paragraphs 76, 82 or 85 above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Board.
87. 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.
88. If a member of the Board objects to the recommendation more than 14 days 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.
89. If the Board considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:

~~90. The course of action referred to in paragraph 89 above shall be:~~

- (a) To approve the proposed revised standardized baseline, indicating that:
 - (i) The revision is a major revision; or
 - (ii) The revision is a minor revision;
- (b) Not to approve the proposed revised standardized baseline;

- (c) To continue the consideration of the proposed revised standardized baseline at the next Board meeting; or
 - (d) To request a relevant panel or working group to review the recommendation and provide guidance on the issues for the review.
91. Once a decision has been made by the Board, the secretariat shall inform the DNA and the proponent 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.
92. If the proposed revised standardized baseline is not approved, the DNA or any other DNA of Parties for which the revised standardized baseline is proposed may at any time resubmit a proposed revised standardized baseline with revised documentation. Upon submission of the revised documentation the submission shall be treated as a new submission of a proposed revised standardized baseline.

6.2. Top-down process

6.2.1. Initiation

93. The Board may, taking into account the principles for revisions referred to in attachment 3 to this Procedure, decide to revise an approved standardized baseline at any time. If the Board decides to revise an approved standardized baseline, the Board shall also decide to either:
- (a) Put on hold the approved standardized baseline with immediate effect. In this case, DOEs shall not submit, through a dedicated interface on the UNFCCC CDM website, any project design document (PDD) or programme of activities design document (PoA-DD) for global stakeholder consultation, any request for registration or any request for renewal of crediting period of a project activity or PoA applying the approved standardized baseline from the day following the date of publication of the Board's meeting report containing the decision;
 - (b) Put on hold the approved standardized baseline with a grace period of 28 days. In this case, DOEs shall not submit, through a dedicated interface on the UNFCCC CDM website, any PDD or PoA-DD for global stakeholder consultation, any request for registration or any request for renewal of crediting period of a project activity or PoA applying the approved standardized baseline any more than 28 days following the date of publication of the Board's meeting report containing the decision; or
 - (c) Maintain the current version of the approved standardized baseline until the expiry of its validity in accordance with section 9 below.
94. A relevant panel or working group, or the secretariat, may, taking into account the principles for revisions referred to in attachment 3 to this Procedure, at any time propose that the Board revise an approved standardized baseline. If the panel or working group or the secretariat considers that the current version of the approved standardized baseline should be put on hold, it shall recommend so to the Board. In these cases, the Board shall consider the proposal and/or the recommendation, and decide whether to revise and/or to put on hold the current version of the approved standardized baseline in accordance with paragraph 93 above.

6.2.2. Preparation of draft revised standardized baseline

95. If the Board decides to revise an approved standardized baseline in accordance with paragraphs 93 or 94 above, the secretariat shall inform the decision to the DNA(s) of a Party(ies) for which a revised standardized baseline will be proposed and seek their agreement to the initiation of the revision. Following receipt of the agreement with the DNA(s) of a Party(ies) for which the revised standardized baseline is proposed using the "Approved standardized baseline revision agreement" form (CDM-ASRA-FORM), the secretariat shall prepare a draft revised standardized baseline using the "Approved standardized baseline revision" form (CDM-ASRD-FORM).
96. In preparing the draft revised standardized baseline, the secretariat may draw upon external expertise, depending on the technical complexity of the revision and the availability of expertise in the secretariat, by selecting a maximum of two independent external experts from the Methodologies Roster of Experts for desk reviews. If the secretariat does not find suitable and available experts in the roster, it may use the services of experts not included in the roster.
97. The secretariat shall select two members of a relevant panel or working group and forward the draft revised standardized baseline to them.

6.2.3. Consideration by two selected members of panel or working group and/or by panel or working group

98. The two selected members of the relevant panel or working group shall, within seven days of receipt of the draft revised standardized baseline, independently assess the draft revised standardized baseline, and inform the secretariat of their recommendation indicating one of the following courses of action:
- (a) To approve the draft revised standardized baseline, indicating that:
 - (i) The revision is a major revision; or
 - (ii) The revision is a minor revision;
 - (b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA(s); or
 - (c) To request that the draft revised standardized baseline be considered by the relevant panel or working group.
99. If both of the selected members of the relevant panel or working group recommend that the draft revised standardized baseline be approved indicating that the revision is either major or minor, the secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.
- ~~100. In the cases referred to in paragraphs 99, 105 and 108, before forwarding it to the Board, the secretariat shall communicate the draft revised standardized baseline to the DNA. The DNA shall confirm that it is acceptable or request modifications to it within 14 days of receipt thereof. If the DNA does not respond accordingly by this deadline, the forwarding of the draft revised standardized baseline to the Board may be delayed accordingly. In cases where the DNA does not accept the draft revised standardized baseline and/or request modification to it in its response, the secretariat shall forward the draft revised standardized baseline, to either the two selected panel or working group~~

~~members, or the relevant panel or working group, depending on which considered the draft revised standardized baseline last. In these cases, taking into account the DNA's response, the relevant panel or working group shall finalize the draft revised standardized baseline at its next meeting while the two selected panel or working group members shall finalize the draft revised standardized baseline within seven days of receipt thereof.~~

101. If both of the selected members of the relevant panel or working group recommend that the draft revised standardized baseline requires further input from the DNA(s), the secretariat shall notify the DNA(s) accordingly. The DNA(s) should submit the requested input within 28 days of the notification. If the DNA(s) fails to provide the requested input within the deadline, the secretariat shall suspend processing the development ~~any further~~ until it receives the requested input.
102. The secretariat shall assess the further input submitted by the DNA(s). If the secretariat finds that it is still not sufficient to develop the draft revised standardized baseline, the secretariat may initiate a direct communication with the DNA(s) via e-mail or telephone conference to clarify remaining issues.
103. The secretariat shall revise the draft revised standardized baseline taking into account the further input and direct communication with the DNA(s), as applicable. The secretariat shall forward the revised draft revised standardized baseline to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 99 above or 104–108 below shall ~~apply follow~~.

6.2.3_{bis} Consideration by panel or working group

104. If at least one selected member of the relevant panel or working group requests that the draft revised standardized baseline be considered by the relevant panel or working group, ~~or if both of the selected members of the relevant panel or working group recommend that the draft revised standardized baseline be approved but one recommends a major revision while the other recommends a minor revision,~~ the secretariat shall forward the draft revised standardized baseline to the relevant panel or working group. The relevant panel or working group shall consider the draft revised standardized baseline at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
105. The relevant panel or working group shall finalize the draft revised standardized baseline within two meetings, unless it finds that further input from the DNA(s) or guidance from the Board is required. In case further input from the DNA(s) or guidance from the Board is sought, the relevant panel or working group shall finalize the draft revised standardized baseline at the meeting immediately following receipt of such input or guidance. The secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.
106. If the relevant panel or working group finds that further input from the DNA(s) is required, the secretariat shall notify the DNA(s) accordingly. In this case, the DNA(s) should submit the requested input within 28 days of the notification. If the DNA(s) fails to submit the requested input within the deadline, the secretariat shall suspend ~~processing~~ the development ~~of the draft revised standardized baseline~~ any further until it receives the requested input.

107. The secretariat shall assess the further input submitted by the DNA(s). If the secretariat finds that the further input is still not sufficient to develop the draft revised standardized baseline, the secretariat may initiate a direct communication with the DNA(s) via e-mail or telephone conference to clarify remaining issues.
108. The secretariat shall revise the draft revised standardized baseline taking into account the further input and direct communication with the DNA(s), as applicable. The secretariat shall forward the revised draft revised standardized baseline to the relevant panel or working group for its final consideration. The relevant panel or working group shall finalize the draft revised standardized baseline. The secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.

6.2.3_{ter} Finalization of draft revised standardized baseline

- 108_{bis}. Before forwarding the draft revised standardized baseline in accordance with paragraph 99, 105 or 108 above, the secretariat shall communicate the draft revised standardized baseline to the DNA(s). The DNA(s) shall confirm that it is acceptable or request modifications to it within 14 days of receipt thereof. If the DNA(s) does not respond by this deadline, the forwarding of the draft revised standardized baseline to the Board may be delayed accordingly. In case where the DNA(s) does not accept the draft revised standardized baseline and/or request modification to it in its response, the secretariat shall forward the draft revised standardized baseline and the response from the DNA(s) to the two selected panel or working group members, or to the relevant panel or working group, whichever considered the draft revised standardized baseline last. In this case, taking into account the DNA's response, the two selected panel or working group members shall finalize the draft revised standardized baseline within seven days of receipt thereof, or the relevant panel or working group shall finalize the draft revised standardized baseline at its next meeting, as applicable.

6.2.4. Consideration by the Board

109. If no member of the Board objects to approving the draft revised standardized baseline received in accordance with paragraphs 99, 105 ~~and or~~ 108 above within 28 days of receipt of the draft revised standardized baseline, the draft revised standardized baseline shall be deemed to be approved by the Board.
110. 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.
111. If a member of the Board objects to approving the draft revised standardized baseline more than 14 days 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.
112. If the Board considers the case at its meeting, it shall decide on **one of the following courses** of action at the meeting:

~~113. The course of action referred to in paragraph 112 shall be:~~

- (a) To approve the draft revised standardized baseline, indicating that:
 - (i) The revision is a major revision; or

- (ii) The revision is a minor revision;
 - (b) Not to approve the draft revised standardized baseline;
 - (c) To continue the consideration of the draft revised standardized baseline at the next Board meeting; or
 - (d) To request a relevant panel or working group to review the draft revised standardized baseline and provide guidance on the issues for the review.
114. Once a decision has been made by the Board, the secretariat shall inform the DNA(s) 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.

6.2.5. Other

115. The secretariat may propose an editorial revision to an approved standardized baseline at any time. In this case, the secretariat shall submit a draft revised standardized baseline to the Chair of the Board for his/her review. If the Chair agrees to the draft revised standardized baseline, the secretariat shall publish the revised standardized baseline on the UNFCCC CDM website. The editorial revision shall be noted in the report of the next meeting of the Board.

7. Clarification of standardized baseline

7.1. Bottom-up process

7.1.1. Submission of request for clarification

116. The project participants of a planned CDM project activity or PoA, the coordinating/managing entity of a planned CDM PoA, a DOE, a DNA or any other stakeholder (hereinafter in section 7.1 referred to as the enquirer) may, taking into account the principles for clarifications referred to in attachment 3 to this Procedure, request clarification of an approved standardized baseline, by submitting the duly completed "Approved standardized baseline clarification request" form (CDM-ASC-FORM) to the secretariat through a specific interface specified e-mail account made available on the UNFCCC CDM website.

7.1.2. Initial assessment

117. The secretariat shall give notice of the receipt of the CDM-ASC-FORM request for clarification to the DNA(s) of a Party(ies) to which the approved standardized baseline applies within seven days of receipt thereof.
118. The secretariat shall conduct/undertake an initial assessment of the submission using the "Approved standardized baseline clarification request initial assessment" form (CDM-ASCA-FORM) within 21 days of receipt of the CDM-ASC-FORM submission, to determine that whether:
- (a) The CDM-ASC-FORM, including the name and contacts details of the enquirer on the approved standardized baseline, has been duly completed; and

- (b) The submission is categorized either that:
 - (i) It does not involve any regulatory and/or technical ambiguity, or involves only simple regulatory and/or technical issues, hence requires no analysis or only a simple analysis to formulate a clarification; or
 - (ii) It involves complex regulatory and/or technical issues and/or has the potential to apply to multiple versions of the approved standardized baseline, hence requires a thorough analysis to formulate a clarification.

119. If the secretariat finds that the submission is incomplete, it shall request the enquirer to submit the missing or revised documents and/or information. In this case, the enquirer shall submit the requested documents and/or information to the secretariat within five days of receipt of the request. If the enquirer does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the submission is incomplete.

120. Upon conclusion of the initial assessment, the secretariat shall notify the enquirer of the conclusion of the initial assessment. If the submission is concluded as incomplete in accordance with paragraph 119 above, the secretariat shall communicate the underlying reasons to the enquirer. In this case, the enquirer may resubmit the request for clarification with revised documentation at any time. Upon submission, the revised documentation shall be treated as a new submission of a request for clarification under this Procedure.

7.1.3. Fast track

121. If the submission is determined as being the case referred to in paragraph 118(b)(i) above, the secretariat shall prepare a clarification using the “Approved standardized baseline clarification response” form (CDM-ASCR-FORM) and send it to the enquirer and the DNA(s) within nine days of the successful conclusion of the initial assessment.

122. In preparing the clarification, the secretariat may consult with the relevant panel or working group. In this case, the timeline referred to in paragraph 121 above shall not apply. The secretariat shall send a draft clarification to the relevant panel or working group within nine days of the successful conclusion of the initial assessment. If no member of the panel or working group objects to the draft clarification within seven days of receipt of the draft clarification, the clarification shall be deemed finalized by the panel or working group. If a member of the panel or working group objects to the draft clarification, the case shall be placed on the agenda of the next meeting of the panel or working group. At the meeting where the case is placed on the agenda, the panel or working group shall make every effort to finalize the clarification within one meeting.

123. The secretariat shall publish the clarification on the UNFCCC CDM website.

7.1.4. Regular track

124. If the submission is determined as being the case referred to in paragraph 118(b)(ii) above, the secretariat shall prepare a draft recommendation of a clarification to the relevant panel or working group using the CDM-ASCR-FORM.

125. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the issues in question and the

availability of expertise in the secretariat, by selecting a maximum of two independent external experts from the Methodologies Roster of Experts for desk reviews. If the secretariat does not find suitable and available experts in the roster, it may use the services of experts not included in the roster.

126. The secretariat shall select one member of the relevant panel or working group and forward the draft recommendation to him/her for review. The selected member shall provide input on the draft recommendation within three days of receipt thereof.
127. The secretariat may also forward the draft recommendation to the DNA(s) of a Party(ies) to which the standardized baseline applies for review. In this case, the DNA(s) shall provide input on the draft recommendation within seven days of receipt thereof.
128. The secretariat shall finalize the recommendation, taking into account the input from the selected member and the DNA(s) as applicable, and submit it to the relevant panel or working group for consideration.
129. The relevant panel or working group shall consider the recommendation, finalize the recommendation to the Board and publish it in its corresponding meeting report, indicating the version(s) of the approved standardized baseline to which the clarification applies. The relevant panel or working group shall make every effort to finalize the recommendation within one meeting.
130. At the Board meeting for which the recommendation to the Board is placed on the agenda, the Board shall decide to either:
 - (a) Approve the recommended clarification; or
 - (b) Request the relevant panel or working group to review the recommendation to the Board and provide guidance on the issues for review.
131. If the Board approves the clarification, the secretariat shall send the finalized clarification to the enquirer and the DNA(s).
132. The secretariat shall publish the clarification on the UNFCCC CDM website.

7.1.5. Other

133. At any step before the clarification is finalized in accordance with paragraphs 121, 122 or 130(a) above, the secretariat may request the enquirer to provide additional information regarding the request for clarification within a defined time frame to facilitate the assessment by the secretariat and/or the consideration by the relevant panel or working group. If such information significantly affects the outcome of the consideration, the secretariat shall make the information publicly available on the UNFCCC CDM website.

7.2. Top-down process

134. If the Board, a relevant panel or working group, or the secretariat finds it necessary, taking into account the principles for clarifications referred to in attachment 3 to this Procedure, to clarify provisions of an approved standardized baseline, the process to revise the approved standardized baseline as defined in section 6.2 shall be followed. In this case, the draft revised standardized baseline shall incorporate all relevant clarifications issued prior to the revision.

8. Update of standardized baseline

8.1. Bottom-up process

8.1.1. Submission of proposed updated standardized baseline

135. ~~Parties, project participants, international industry organizations or admitted observer organizations (hereinafter in section 8.1 referred to as the proponent)~~ A proponent may propose an updated standardized baseline through the DNA of a Party for which the updated standardized baseline is proposed. The DNA ~~shall~~ subsequently submit the proposed updated standardized baseline to the secretariat.
136. Where the proposed updated standardized baseline is developed for a group of Parties, it shall be approved by the DNAs of all these Parties. In this case, following the receipt of approval from all these DNAs, any one of the DNAs shall submit the proposed updated standardized baseline to the secretariat in accordance with this Procedure.
137. The DNA submitting the proposed updated standardized baseline shall ~~upload to the UNFCCC CDM website the following documentation~~ submit the following documentation to the secretariat through a specified e-mail account made available on the UNFCCC CDM website between 270 to 180 days prior to the date when the validity of the current standardized baseline expires:
 - (a) The duly completed "Approved standardized baseline update request form" (CDM-ASU-FORM);
 - (b) The proposed updated standardized baseline, highlighting the proposed changes to the approved standardized baseline;
 - (c) All additional documentation supporting the submission (e.g. relevant data, and ~~documentation including a quality control report~~, statistics, studies, etc.), where applicable. Data used to establish the proposed updated ~~standardized~~ baseline shall be provided in a sector-specific data template ~~published by the secretariat on the UNFCCC CDM website. If no applicable data template is available on the UNFCCC CDM website at the time of the DNA's submission of the proposed updated standardized baseline, the proponent of the updated standardized baseline shall propose a sector-specific data template for its publication, or, if applicable, request the revision or clarification of a published data template in accordance with the modalities in Appendix 1 to this Procedure in accordance with paragraph 12(b) above;~~
 - (d) An assessment report ~~on the quality of the data collection, processing and compilation to establish the proposed updated standardized baseline in accordance with the "Guidelines for quality assurance and quality control of data used in the establishment of updated standardized baselines" on the proposed updated standardized baseline containing the information referred to in paragraph 16(d) above.~~ The assessment report shall be prepared by a DOE contracted by either the DNA or any other entity under agreement with the DNA;
 - (e) Letters of approval on the proposed updated standardized baseline from all the DNAs of the Parties to which it applies, where it applies to a group of Parties.

138. The secretariat shall make every effort to inform the DNA(s) in advance of the period for requesting update of the approved standardized baseline. It remains the responsibility of the DNA(s) to ensure that all actions are taken in accordance with this section of the Procedure in a timely manner.
139. No fee shall be payable to the secretariat for the submission of the proposed updated standardized baseline.

8.1.2. Initial assessment

140. The secretariat shall undertake an initial assessment of the submission using the "Approved standardized baseline update request initial assessment form (CDM-ASUA-FORM)" within 21 days of receipt of the submission. The secretariat shall assess whether:
- (a) The CDM-ASU-FORM, including the name and contact ~~s details~~ of the proponent ~~of the proposed updated standardized baseline~~, has been duly completed;
 - (b) The proposed updated standardized baseline was derived from the same approach ~~(i.e. the "Guidelines for the establishment of sector specific standardized baselines", a methodological approach contained in an approved baseline and monitoring methodology, a methodological approach contained in an approved methodological tool, or the "Guideline: Establishment of standardized baselines for afforestation and reforestation project activities under the CDM")~~ as the one used in the approved standardized baseline that ~~was is~~ ~~being~~ proposed to be updated;
 - (c) The proposed updated standardized baseline does not require revisions ~~s~~ to the underlying approved methodology or ~~methodological~~ tool. If it requires revisions, the secretariat shall propose that the Board revise the underlying methodology or ~~methodological~~ tool through the top-down process in accordance with the "Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools";
 - (d) The DNA has submitted all the information required for consideration of the proposed updated standardized baseline (e.g. studies referred to in the proposed updated standardized baseline documents);
 - (e) An assessment report was submitted ~~presenting how the data were collected, processed and compiled to establish the proposed updated standardized baseline and includes a positive opinion on whether the data were collected and processed in accordance with relevant procedures or guidelines adopted by the Board containing the information as referred to in paragraph 16(d) above.~~
141. The secretariat shall inform the DNA ~~and the proponent~~ of the outcome of the initial assessment. If the secretariat finds that the required documentation or information is incomplete, it shall notify the DNA and the proponent ~~of the proposed updated standardized baseline~~ accordingly. In this case, the DNA should provide the missing documents or information within 42 days of the notification.
142. The secretariat shall conclude the initial assessment within 14 days of receipt of missing documents or information and inform the DNA ~~and the proponent~~ of the conclusion of the initial assessment. If the DNA fails to provide the missing documents or information

within the deadline, the secretariat shall suspend processing the submission ~~any further~~ until it receives the missing documents or information.

142^{bis} Upon successful conclusion of the initial assessment, the secretariat shall assign a reference number to the proposed updated standardized baseline and make the submitted documentation publicly available on the UNFCCC CDM website with the exception of information declared confidential and/or proprietary by the DNA. Aggregated data and information used to derive the standardized baseline shall not be considered as confidential or proprietary.

8.1.3. Preparation of **draft** recommendation

143. Within 28 days of the successful conclusion of the initial assessment, the secretariat shall prepare a draft recommendation on the proposed updated standardized baseline using either:

~~(a) Make the submitted documentation publicly available on the UNFCCC CDM website with the exception of information declared confidential and/or proprietary by the DNA. Information used to derive the proposed updated standardized baseline shall not be considered proprietary or confidential;~~

~~(b) Prepare a draft recommendation on the proposed updated standardized baseline using the "Approved standardized baseline update recommendation form" (CDM-ASUR-FORM).~~

(a) The "Approved standardized baseline update recommendation form" (CDM-ASUR-FORM) for a recommended course of action referred to in paragraph 144(a) or 144(c) below; or

(b) The CDM-ASU-FORM for a recommended course of action referred to in paragraph 144(b) below.

144. The secretariat shall include in its draft recommendation one of the following courses of action:

(a) To approve the proposed updated standardized baseline;

(b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA **and the proponent**; or

(c) Not to approve the proposed updated standardized baseline.

145. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the proposed updated standardized baseline and the availability of expertise in the secretariat, by selecting a maximum of two ~~independent external~~ experts from the **Methodologies Roster of Experts for desk reviews**. If the secretariat does not find suitable and available experts in the roster, it may use the services of experts not included in the roster.

146. The secretariat shall select two members of ~~the a~~ relevant panel or working group and forward its draft recommendation to them.

8.1.4. Consideration by two selected members of panel or working group and/or by panel or working group

147. The two selected members of the relevant panel or working group shall, within seven days of receipt of the draft recommendation, independently assess the proposed updated standardized baseline and the draft recommendation, and inform the secretariat of the outcome of their assessment.
148. If both of the selected members of the relevant panel or working group agree to the draft recommendation to approve or not to approve the proposed updated standardized baseline, the secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
- ~~149. If the draft recommendation is to approve the proposed updated standardized baseline in paragraphs 148, 154 and 157 before forwarding it as the recommendation to the Board, the secretariat shall reformat the proposed updated standardized baseline. Upon receipt of an agreement on the reformatted updated standardized baseline from either the two selected panel or working group members, or the relevant panel or working group, depending on which considered the draft recommendation last, the secretariat shall communicate the reformatted updated standardized baseline to the DNA. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt thereof. If the DNA does not respond accordingly by this deadline, the forwarding of the recommendation to the Board may be delayed accordingly. In cases where the DNA does not accept the reformatted updated standardized baseline and/or request modification to it in its response, the secretariat shall forward the reformatted updated standardized baseline, to either the two selected panel or working group members, or the relevant panel or working group, depending on which considered the draft recommendation last. In these cases, taking into account the DNA's response, the relevant panel or working group shall finalize the reformatted updated standardized baseline at its next meeting while the two selected panel or working group members shall finalize the reformatted updated standardized baseline within seven days of receipt thereof.~~
150. If both of the selected members of the relevant panel or working group agree ~~that to~~ the draft recommendation ~~that the proposed updated standardized baseline~~ requires further input from the DNA, the secretariat shall notify the DNA and the proponent ~~of the proposed updated standardized baseline~~ accordingly ~~using the CDM-ASU-FORM~~. The DNA should submit the requested input within 28 days of the notification. ~~All the input shall be highlighted in the CDM-ASU-FORM.~~ If the DNA fails to provide the requested input within the deadline, the secretariat shall suspend processing the submission ~~any further~~ until it receives the requested input.
151. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to recommend that the proposed updated standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and/or the proponent ~~of the proposed updated standardized baseline~~ via e-mail or telephone conference to clarify remaining issues.
152. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and/or the proponent ~~of the proposed updated standardized baseline~~, as applicable, to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward

the revised draft recommendation to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 148 or 153–157 below shall **apply follow**.

8.1.4_{bis} Consideration by panel or working group

153. If at least one selected member of the relevant panel or working group disagrees with the draft recommendation or requests that it be considered by the relevant panel or working group, the secretariat shall forward the draft recommendation to the relevant panel or working group. The relevant panel or working group shall consider the proposed updated standardized baseline and the draft recommendation at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
154. The relevant panel or working group shall finalize its consideration within two meetings, unless it finds that further input from the DNA or guidance from the Board is required. In case further input from the DNA or guidance from the Board is sought, the relevant panel or working group shall finalize its consideration at the meeting immediately following receipt of such input or guidance. In its finalization of consideration, the relevant panel or working group shall conclude to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
155. If the relevant panel or working group finds that further input from the DNA is required, the secretariat shall notify the DNA and the proponent **of the proposed updated standardized baseline** accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA fails to submit the requested input within the deadline, the secretariat shall suspend processing the submission **any further** until it receives the requested input.
156. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to recommend that the proposed updated standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and **for the proponent of the proposed updated standardized baseline** via e-mail or telephone conference to clarify remaining issues.
157. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and **for the proponent of the proposed updated standardized baseline**, as applicable, to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the relevant panel or working group for its final consideration. The relevant panel or working group shall conclude to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.

8.1.4_{ter} Preparation of draft updated standardized baseline

- 157_{bis}. If the draft recommendation is to approve the proposed updated standardized baseline in accordance with paragraph 148, 154 or 157 above, the secretariat shall, before forwarding it as the recommendation to the Board, reformat the proposed updated standardized baseline and send it to the two selected panel or working group members

or to the relevant panel or working group, whichever considered last. Upon receipt of an agreement on the reformatted updated standardized baseline from the two selected panel or working group members, or from the relevant panel or working group, as applicable, the secretariat shall communicate the reformatted updated standardized baseline to the DNA and the proponent. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt thereof. If the DNA does not respond by this deadline, the forwarding of the recommendation to the Board may be delayed accordingly. In case where the DNA does not accept the reformatted updated standardized baseline and/or request modification to it in its response, the secretariat shall forward the reformatted updated standardized baseline and the response from the DNA, to the two selected panel or working group members, or to the relevant panel or working group, whichever considered the draft recommendation last. In this case, taking into account the DNA's response, the two selected panel or working group members shall finalize the reformatted updated standardized baseline within seven days of receipt thereof, or the relevant panel or working group shall finalize the reformatted updated standardized baseline at its next meeting, as applicable.

8.1.5. Consideration by the Board

158. If no member of the Board objects to the recommendation received in accordance with paragraphs 148, 154 or 157 above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Board.
159. 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.
160. If a member of the Board objects to the recommendation more than 14 days 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.
161. If the Board considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
 162. ~~The course of action referred to in paragraph 161 shall be:~~
 - (a) To approve the proposed updated standardized baseline;
 - (b) Not to approve the proposed updated standardized baseline;
 - (c) To continue the consideration of the proposed baseline at the next Board meeting; or
 - (d) To request a relevant panel or working group to review the recommendation and provide guidance on the issues for the review.
163. Once a decision has been made by the Board, the secretariat shall inform the DNA and the proponent 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.
164. If the proposed updated standardized baseline is not approved, the DNA or any other DNA of Parties for which the updated standardized baseline is proposed may at any time resubmit a proposed updated standardized baseline with revised documentation. Upon

submission of the revised documentation, the submission shall be treated as a new submission of a proposed updated standardized baseline.

9. Validity of new, updated, revised and previous versions

165. The reference number of the new version of an approved standardized baseline shall indicate the year when the standardized baseline comes into force (e.g. ASB0003-2013). New, updated and or revised versions of an approved standardized baseline shall come into force from the date of its publication on the UNFCCC CDM website. From this date, a project activity or PoA may apply the new, updated or revised version for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period, in accordance with the "Clean development mechanism-CDM project cycle procedure".
166. The year indicated in the reference number of an approved standardized baseline shall be replaced by the year when an updated standardized baseline comes into force (e.g. ASB0003-2013 replaced by ASB0003-2016) if the Board approves the updated standardized baseline in accordance with paragraph 162161(a) above. The version number of the updated standardized baseline shall also be reset to 01.0 (e.g. reset from 02.1 to 01.0). The updated version-standardized baseline shall not come into force before immediately after expiry of the validity of the previous version-standardized baseline for the previous period expires. In this case, for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period in accordance with the "Clean development mechanism-CDM project cycle procedure", a project activity or PoA-DD shall apply the updated version immediately after the validity of the previous version expires, or immediately after its adoption if the previous version has been put on hold in accordance with paragraphs 93(a) or 93(b) above. If a PDD or PoA-DD applying the previous version-standardized baseline for the previous period has already been published for global stakeholder consultation, the project participants or the coordinating/managing entity shall revise the PDD or PoA-DD applying the updated version-standardized baseline. In this case, the DOE shall not publish the revised PDD or PoA-DD for global stakeholder consultation, but submit it when it submits a request for registration unless otherwise decided by the Board when it approves the updated standardized baseline.
167. The version number of an approved standardized baseline shall increase by one whole number (e.g. from 01.0 to 02.0) if the Board approves a revised standardized baseline indicating that it is a major revision in accordance with paragraph 90(a)(i) or 113(a)(i) above. In this case, for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period in accordance with the "Clean development mechanism-CDM project cycle procedure":
 - (a) A project activity or PoA may still apply the previous version:
 - (i) Until the 240th day from the date that-when the revised version becomes effective unless the previous version has been put on hold by the Board in accordance with paragraph 93(a) or 93(b) above, if the remaining validity-of

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- the ~~revised version~~ standardized baseline for the current period is longer than this 240-day period; or
- (ii) Until the validity of the standardized baseline for the current period expires unless the previous version has been put on hold by the Board in accordance with paragraph 93(a) or 93(b) above, if the remaining validity of the ~~revised version~~ standardized baseline for the current period is not longer than this 240-day period; and
- (b) A project activity or PoA shall apply the revised version after this 240-day period, ~~expiry of the standardized baseline~~ or immediately after its adoption if the previous version has been put on hold in accordance with paragraph 93(a) or 93(b) above, as applicable, for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period in accordance with the "CDM project cycle procedure". If a PDD or PoA-DD applying the previous version has already been published for global stakeholder consultation, the project participants or coordinating/managing entity shall revise the PDD or PoA-DD applying the revised version. In this case, the DOE shall not publish the revised PDD or PoA-DD for global stakeholder consultation, but submit it when it submits a request for registration unless otherwise decided by the Board when it approves the revised standardized baseline.
168. The version number of an approved standardized baseline shall increase by one fractional number in the first decimal place (e.g. from 01.0 to 01.1) if the Board approves a revised standardized baseline indicating that it is a minor revision in accordance with paragraph 90(a)(ii) or 113(a)(ii) above, or if an editorial revision to an approved standardized baseline has been made in accordance with paragraph 115 above. In this case, for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period in accordance with the "~~Clean development mechanism~~-CDM project cycle procedure", a project activity or PoA-DD may still apply the previous version or any earlier version of minor revision:
- (a) Until the 240th day from the date ~~that when~~ the next major revision becomes effective unless the previous or earlier version(s) has been put on hold by the Board in accordance with paragraph 93(a) or 93(b) above, if the remaining validity of the standardized baseline for the current period after the next major revision is longer than this 240-day period; or
- (b) Until the validity of the standardized baseline for the current period expires unless the previous version has been put on hold by the Board in accordance with paragraph 93(a) or 93(b) above, if the remaining validity of the standardized baseline after the next major revision is not longer than this 240-day period.

Attachment 1. Modalities for publication of sector-specific data templates for establishing standardized baselines

1. Background General

1. Parties, project participants, designated operational entities (DOEs), international industry organizations or admitted observer organizations (hereinafter referred to as the proponent) may propose a new sector-specific data template, or request a revision to **or clarification of** any currently valid sector-specific data template published on the UNFCCC CDM website, for the purpose of proposing a **new, revised or updated** standardized baseline.

2. Proposal of new sector-specific data template

2. **A proponent may submit to the secretariat through a dedicated UNFCCC CDM website a proposed new sector-specific data template and request its publication. If a proponent wishes to propose a standardized baseline in accordance with the "Guidelines for the establishment of sector specific standardized baselines", it shall submit a proposed new sector-specific data template to the secretariat through a specified e-mail account made available on the UNFCCC CDM website prior to the submission of the standardized baseline.**
3. The proposed data template shall be developed based on sector-specific situations and mitigation measures. The proposed data template shall consist of the following sections:
 - (a) **Introduction – d**Definitions of key terminologies assumptions **and/or** approaches used for the development of the data template **as well as its applicable sectors, algorithm for the establishment of standardized baselines and any other relevant information (e.g. how to define the data categories or how to use the template). If any conservative approach is suggested, its justification shall be included;**
 - (b) **Input data – l**Lists of relevant data **and, if applicable, measurement procedures and instrumentation, categories with consistent format and clear description in accordance with the "Standard: Determining coverage of data and validity of standardized baselines" and the "Guideline: Quality assurance and quality control of data used in the establishment of standardized baselines";**
 - (c) **Reference – n**Name(s) of reference(s) or reviewers if reference(s) are used or expert reviews are conducted for the development of the data template.
- 3_{bis} **The proponent may include in the data template the algorithm and/or processing of input data for the establishment of a standardized baseline.**
4. The secretariat shall **conduct an initial assessment using the "Data template initial assessment" form (CDM-DT-IA-FORM) within seven days of receipt of the submission, to determine whether:**
 - (a) **The proposed data template contains all the sections specified in paragraph 3 of this attachment;**

- (b) Complex sectoral and/or technical issues are involved. ~~within five days of the submission by the proponent.~~
5. If the submission is deemed incomplete, the secretariat shall request the proponent to submit the missing information or revise the data template. The proponent shall submit to the secretariat the missing information or revised data template within 14 days of receipt of the request.
- 5^{bis} Once the submission is deemed complete, and if considered necessary, the secretariat ~~shall~~ may select a maximum of two experts from the Methodologies Roster of Experts, for desk reviews and forward the submission to them the expert(s). If the secretariat does not find any suitable and available experts on in the roster, it may use the services of experts not included on the roster. The expert(s) and the secretariat shall jointly prepare a recommendation on the proposed data template within 21-28 days of receipt of the submission the successful conclusion of the initial assessment. If the secretariat does not select an expert, it shall prepare a recommendation within 21 days of the successful conclusion of the initial assessment.
6. The recommendation of the experts shall include one of the following courses of action:
- (a) Publish the proposed data template;
 - (b) Request modifications to the data template with recommended modifications; or
 - (c) Reject the proposed data template.
7. If the experts' recommendation is to request modifications to the data template, the secretariat shall communicate the recommendation to the proponent. The proponent shall submit to the secretariat a modified data template based on the recommended modifications within seven 14 days of receipt of the recommendation.
8. Within five 14 days of receipt of the modified data template, the experts the secretariat shall ~~issue~~ make a final recommendation decision: either the publication or the rejection of the proposed data template. If no response is received from the proponent within the deadline referred to in paragraph 7 of this attachment and no further communication with the proponent is feasible (e.g. due to withdrawal or no response), the experts shall the secretariat may decide to modify the data template within seven days without consultation with the proponent if the data template has a broad applicability.
9. ~~The secretariat shall consider the experts' final recommendation or modified data template, and decide on one of the following courses of action:~~
- ~~(a) Publish the proposed data template;~~
 - ~~(b) Publish a data template modified by the experts and/or the secretariat; or~~
 - ~~(c) Reject the proposed data template.~~
10. The secretariat shall communicate the final decision to the proponent. If the decision is to publish the proposed or modified data template, the secretariat shall upload it and make it publicly available on the UNFCCC CDM website.

3. Request for revision ~~of to~~ published sector-specific data template

11. A proponent may submit to the secretariat through a ~~dedicated specified e-mail account~~ ~~made available on the~~ UNFCCC CDM website a request for ~~a~~ revision to a published sector-specific data template.
12. The proponent shall provide the secretariat with a proposed revised data template and ~~justify explain~~ the reasons that ~~prompted initiated~~ the revision request.
13. The secretariat shall ~~conduct an~~ assessment ~~on~~ whether the proposed revised data template contains all the sections specified in paragraph 3 of this attachment within ~~five~~ ~~seven~~ days of receipt of the submission.
14. If the submission is deemed incomplete, the secretariat shall request the proponent to submit missing information or revise the data template. ~~The proponent shall submit to the secretariat the missing information or revised data template within 14 days of receipt of the request.~~
- 14^{bis}. Once the submission is deemed complete, and ~~if considered necessary~~, the secretariat ~~shall may~~ select one expert from the Methodologies Roster of ~~e~~Experts ~~for desk reviews~~ and forward the submission to ~~him/her the expert~~. If the secretariat does not find any suitable and available expert on the roster, it may use the services of an expert not included on the roster. ~~The expert and the secretariat shall jointly prepare a recommendation on the revision to the data template within seven 21 days of receipt of the submission successful conclusion of the assessment. If the secretariat does not select an expert, it shall prepare a recommendation within 14 days of the successful conclusion of the assessment.~~
15. The recommendation ~~of the expert~~ shall include one of the following courses of action:
 - (a) Publish the proposed revision of the data template;
 - (b) Request modifications to the revised data template with recommended modifications; or
 - (c) Reject the proposed revision of the data template.
16. If the ~~expert's~~ recommendation is to request modifications to the revised data template, the secretariat shall communicate the recommendation to the proponent. The proponent shall submit to the secretariat a modified revised data template based on the recommended modification within ~~seven 14~~ days of receipt of the recommendation.
17. Within ~~five seven~~ days of receipt of the modified revised data template, ~~the expert the secretariat~~ shall ~~issue make~~ a final ~~recommendation decision~~: either the publication or rejection of the ~~proposed~~ revised data template. If no response is received from the proponent within the deadline referred to in paragraph 16 of this attachment ~~and no further communication with the proponent is feasible, the expert shall, the secretariat may decide to modify the data template without consultation with the proponent within five days.~~
18. ~~The secretariat shall consider the expert's final recommendation or modified data template, and decide on one of the following courses of action:~~
 - ~~(a) Publish the proposed data template;~~

~~(b) Publish a data template modified by the expert and/or the secretariat; or~~

~~(c) Reject the proposed data template.~~

19. The secretariat shall communicate the **final** decision to the proponent. If the decision is to publish the proposed or modified **revised** data template, the secretariat shall **upload it** **and** make it publicly available on the UNFCCC CDM website.

4. Request for clarification of published sector-specific data template

20. A proponent may submit to the secretariat through a **dedicated-specified e-mail account made available on the** UNFCCC CDM website a request for clarification of a published sector-specific data template.
21. The secretariat shall provide the proponent with a response within 14 days of receipt of the clarification request.
22. The secretariat shall make publicly available all clarifications issued by the secretariat on the UNFCCC CDM website.

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Attachment 2. Modalities for funding for preparation of assessment reports for establishment of standardized baselines

1. Selection of designated operational entity to prepare assessment report

1. A designated national authority (DNA) of a Party that has **sd** 10 or fewer registered clean development mechanism (CDM) project activities as of 31 December 2010, or represents a group of Parties, each of which has **sd** 10 or fewer registered CDM project activities as of 31 December 2010, that wishes to receive funding for the preparation of the assessment report referred to in paragraph 12(c) of (the main part of) this Procedure shall request funding by submitting the following documentation to the secretariat:
 - (a) A duly completed "Request for funding for assessment report form" (CDM-RF-FORM);
 - (b) Copies of letters sent to at least three designated operational entities (DOEs), either by the DNA or the entity under the agreement with the DNA, inviting them to present an offer to prepare the assessment report. The letters of invitation shall request the DOEs to include in the offer a breakdown of estimated time assigned to the task, personnel costs for their services and any other estimated expenses to be incurred by the DOE in preparing the assessment report. The letters of invitation shall also set a closing date for the receipt of the offers;
 - (c) The responses to the letters received and/or, if applicable, confirmation that no response was received on time from any one or more of the DOEs invited to present offers;
 - (d) A justification for the selection of one of the DOEs that made an offer to prepare the assessment report;
 - (e) Contact data (including payment details) of the DOE selected by the DNA for preparation of the assessment report.
2. Within 21 days of receipt of the submission from the DNA, the secretariat shall check whether the submission is complete.
3. If the secretariat finds that the submission is incomplete, it shall accordingly inform the DNA and request it to submit any missing documents or information to the secretariat within 10 days.
4. If the missing documents or information are not submitted within the deadline **specified referred to** in paragraph 3 of this attachment, the secretariat shall suspend processing the request for funding **any further** until it receives the missing documents or information.
5. The secretariat shall grant the funding for the first three funding requests for each Party that is eligible for funding in accordance with paragraph 1 of this attachment.
6. The secretariat shall grant the funding for all funding requests for a group of Parties wherein all are eligible for funding in accordance with paragraph 1 of this attachment.

7. The secretariat shall monitor the operation of the modalities in this attachment, and report to the Board thereon. Based on this information, the Board may at any time, and shall in any event no later than two years after the adoption of the modalities, review the progress on the development of standardized baselines, and if appropriate, may modify the provisions set out in paragraphs 5 and/or 6 of this attachment with a view to establishing criteria for further funding, taking into account the applicability of standardized baselines and resource implications.
8. The maximum funding shall be USD 20,000 for each funding request. For a funding request submitted for a group of Parties, the maximum funding shall be USD 20,000 plus USD 5,000 per additional Party.

2. Agreement between DNA and the secretariat

9. Within 14 days of receipt of the complete submission of the documentation, the secretariat shall prepare an "Agreement for funding for preparation of assessment report for submission of standardized baseline" (CDM-FA-FORM) (the Agreement), including the provisions on the amount to be funded and the deadline for the submission by the DNA of the documents referred to in paragraph 11 of this attachment.
10. The Agreement shall be signed by the DNA, by the Party if appropriate, and by the secretariat to make the funding effective.

3. Submission of the assessment report and payment of funding

11. The secretariat shall disburse the approved funding to the DOE's bank account notified by the DNA in accordance with paragraph 1 of this attachment within 14 days of the DNA's submission to the secretariat of all of the following documents:
 - (a) The assessment report;
 - (b) Final invoice for the preparation of the assessment report, issued by the DOE and addressed to the DNA;
 - (c) A duly completed "Proposed standardized baseline submission form" (CDM-PSB-FORM) referred to in paragraph 10 of (the main part of) this Procedure (if the assessment report contains a positive conclusion on the quality of the data collection, processing and compilation to establish the proposed standardized baseline assessment opinion as referred to in paragraph 16(d) of (the main part of) this Procedure);
 - (d) All additional documentation supporting the submission as per paragraph 12(b) of (the main part of) this Procedure (if the assessment report contains a positive conclusion on the quality of the data collection, processing and compilation to establish the proposed standardized baseline assessment opinion as referred to in paragraph 16(d) of (the main part of) this Procedure).

12. If the DNA does not submit the documents referred to in paragraph 11 of this attachment within the deadline specified in the Agreement, the secretariat may grant an additional period of 30 days to proceed with the submission. If the DNA still does not submit the documents within the extended deadline, the secretariat shall not disburse the funding and notify the DNA accordingly.
13. For any disbursed funding regardless of the conclusion (positive or negative **assessment opinion**) of the assessment report, or no disbursement of funding due to the DNA's failure to submit the documents in accordance with paragraph 12 of this attachment, the corresponding application for funding made by the DNA shall be counted as one of the three submissions of standardized baselines that can qualify for funding in accordance with paragraph 5 of this attachment.

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Attachment 3. Principles for revision and clarification of standardized baselines

1. Background

1. This attachment provides guiding principles for initiating a revision to an approved standardized baseline and for initiating a (request for) clarification of an approved standardized baseline.

2. Principle for revision

2. A revision is the modification of an approved standardized baseline in order to improve it or broaden its scope and applicability.
3. A revision of an approved standardized baseline may be initiated if one or more of the following conditions apply:
 - (a) New or generally accepted scientific evidence indicates that emission reductions or removal enhancements will be overestimated or underestimated based on the approved standardized baseline or that the reductions or enhancements may not be real, measurable and verifiable;
 - (b) The applicability conditions require broadening to include more potential project activity types or conditions for use;
 - (c) There are identified inconsistencies, errors and/or ambiguities in the language and/or formulae used within the approved standardized baseline;
 - (d) Further simplification (e.g. default values) is required to improve the user-friendliness of the approved standardized baseline;
 - (e) Key issues clarified through a request for clarification of the approved standardized baseline in accordance with section 7 of this Procedure are required to be incorporated in the approved standardized baseline;
 - (f) There are changes to the additionality demonstration, baseline and/or baseline emission factors as determined in the approved standardized baseline.

3. Principles for clarification

4. A clarification on an approved standardized baseline is to clarify:
 - (a) The applicability of the approved standardized baseline;
 - (b) Various procedures provided in the approved standardized baseline, inter alia, for identifying the baseline scenario, demonstrating additionality and estimating baseline emission factors; or
 - (c) Monitoring data and procedures provided in the approved standardized baseline.

5. A clarification on an approved standardized baseline may be requested if:

- (a) Any of the provisions of the approved standardized baseline are unclear or ambiguous, and there is room for interpretation of the provisions; and/or
- (b) Rationale or further background information is needed regarding conditions under which the approved standardized baseline is to be applied.

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Document information

Version	Date	Description
04.0	18 May 2015	<p>Publication within annex 12 to the annotated agenda of EB84.</p> <p>Revision to include the Board's decisions from EB76, EB78 & EB83 to:</p> <ul style="list-style-type: none"> • Add a new process to submit a request for deviation from the approved approach to develop standardized baselines together with the submission of proposed standardized baselines; • Prepare attachment 3 to procedure clarifying principles for revision and clarification; • Clarify the scope of assessment report; • Reflect lessons learned including: <ul style="list-style-type: none"> o Allowing simultaneous submission of new/revised approach/methodology and standardized baseline; o Allowing proponents to request for top-down development/revision of methodology or tool and incorporate the elements of flexibility, simplicity and consistency; o Allowing the DNA to use other available data templates in accordance with the approved methodologies/tools; o Include the steps for preparation of an assessment report by the secretariat.
03.1	1 December 2013	<p>Editorial revision to include:</p> <ul style="list-style-type: none"> • Correction in paragraph 66; • Editorial improvement in paragraphs 5, 16, 19, 68 and 140.
03.0	4 October 2013	<p>EB 75, Annex 33</p> <p>The document title has changed from "<i>Procedure for the submission and consideration of standardized baselines</i>" to "<i>Procedure: Development, revision, clarification and update of standardized baselines</i>".</p> <p>Revision to:</p> <ul style="list-style-type: none"> • Reflect lessons learnt since the initial adoption to the bottom up process for development of standardized baselines; • Add new processes for top-down development, bottom-up and top-down revision, bottom-up and top-down clarification and

<i>Version</i>	<i>Date</i>	<i>Description</i>
		bottom-up update of standardized baselines; <ul style="list-style-type: none"> • Add provisions on validity of new, updated, revised and previous versions; • Editorial improvement.
02.0	20 July 2012	EB 68, Annex 32 Revision to: <ul style="list-style-type: none"> • Expand countries eligible for funding for preparation of assessment reports to those with 10 registered CDM project activities as of 31 December 2010; • Add a process for proposing and publishing sector-specific data templates to be used for proposing standardized baselines; • Elaborate the process of funding for preparation of assessment reports for proposing a standardized baseline.
01.0	29 September 2011	EB 63, Annex 28 Initial adoption.

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Appendix 2. Information Note: Analysis to explore the possibility of submission of standardized baseline without reference to the methodology(ies)

1. Introduction

1. Standardized baselines (SBs) are developed using either a clean development mechanism (CDM) methodology or a methodological tool or guideline for the establishment of sector specific standardized baselines (SB guideline) (all three documents hereinafter referred to as “approaches”). The standardized baseline submission refers to the CDM methodology(ies) that is/are used for monitoring and calculation of emission reductions of CDM project activities (referred hereinafter as “reference methodology(ies)” that apply the SB.
2. The CDM Executive Board (hereinafter referred to as the Board) at its eighty-third meeting (para. 51(a), EB 83 meeting report) while considering the “Draft procedure: Development, revision, clarification and update of standardized baselines” (annex 8 to the annotated agenda of EB 83) requested the secretariat to analyse whether a proposed standardized baseline (PSB) can be submitted without reference to the reference methodology(ies) which is/are used for the purpose of calculation of emission reductions of CDM project activities. The analysis should assess various combinations of using methodology, methodological tool or relevant guideline or standard for submission of SBs.
3. The purpose of this document is to analyse the requirement of methodology reference in a PSB at the time of its submission and to present this analysis in the context of various approaches that are used to develop an SB. This analysis is based on the example cases of already approved SBs.

2. Analysis

2.1. Rationale for the requirement of a reference methodology in a PSB

4. Decision 3/CMP.6 defines a standardized baseline as “a baseline established for a Party or a group of Parties to facilitate the calculation of emission reductions and removals and/or the determination of additionality for clean development mechanism project activities, while providing assistance for assuring environmental integrity”.
5. The SBs provide a standardized baseline scenario and/or baseline emission factor and/or additionality. The project participants using the SB require a methodology that formulates precise applicability conditions for the project, defines the project boundary, provides the details of parameters to be monitored and facilitates calculating the emission reductions of the CDM project. Different sections of a methodology are used to develop the project design document (PDD) for the CDM project.
6. Table 1 in the attachment provides information on the approved SBs, reference methodologies and the purpose of reference methodology.

2.2. Various approaches for SB development and their association with referred methodology

7. The approved standardized baselines (ASBs) listed in table 1 (in the attachment) were developed by the proponents for various sectors using various approaches approved by the Board, including methodologies, methodological tools and the SB guideline. In their PSBs proponents referred to the methodologies they wanted to use together with SBs for the CDM projects in their countries. The PSB associated with one of the ASBs (ASB0002) was submitted along with new methodology (approved as AMS-III.BG), while PSBs associated with two of the ASBs requested a revision to the specific methodologies (AMS-I.B for ASB0004 and AMS-III.AU for ASB0008), in order to enable the project participants to use the ASBs for their CDM projects.
8. Table 2 (in the attachment) provides an analysis of the purpose of reference methodologies in PSBs developed using various approaches, and explores the potential to avoid the reference to the methodology at the time of development of PSB.
9. The process of development of an SB requires the identification of the approach that is most relevant for the sector (or measure or project type). The process also requires the determination of the baseline parameter or additionality criterion that is required to be standardized in a methodology that will be used for the purpose of preparing a PDD for calculation of emission reductions of CDM project activities applying the standardized baseline. This methodology (reference methodology) can be the same or different from that which is used for development of the standardized baseline (refer to table 2 in the attachment). The methodology identified can be from those that are approved, or if an approved methodology is not available, a proposed new methodology or revision to the approved methodology can be submitted for the approval of the Board.
10. Therefore, since the identification of reference methodology is required at the time of development of SB, if the project participants are allowed to select applicable methodologies on their own for their projects after the SB is approved, they will be left with no guidance on which parameter of the selected methodology is to be standardized and there will be potential errors and inconsistencies in the judgement of additionality and calculation of emission reductions. This is because the algorithm of selected methodology and baseline parameter/additionality criterion was not taken into account at the time of development of SB.

3. Conclusion

11. The above analysis demonstrates that irrespective of the approaches used to develop an SB and irrespective of the element that is standardized by the SB, the reference to a methodology is required. This is to avoid inconsistencies and errors in the calculation of emission reductions of the project activities using the SB.

Attachment

Table 1. Information on approved SBs

Approved SB	Title	Sector	Standardized element	Methodology/tool/SB guideline	Reference methodology(ies)	Sections of the reference methodology(ies) to be used by CDM project that applies SB
ASB0001	Standardized baseline: Grid emission factor for the Southern African power pool	Power sector	Emission factor	Tool to calculate the emission factor for an electricity system (Grid tool) version 02.2	All CDM approved methodologies that require the application of the grid tool to calculate grid emission factor	Applicability conditions, project boundary, additionality, baseline emissions, project emissions, leakage emissions, emission reduction calculations, monitoring
ASB0002	Standardized baseline: Fuel switch, technology switch and methane destruction in the charcoal sector of Uganda	Charcoal production for consumption in households and small and medium-sized enterprises (SMEs)	Additionality and emission factor	Guidelines for the establishment of sector specific standardized baselines (version 02.0)	Standardized baseline can only be used in conjunction with the latest approved version of the small-scale methodology AMS-III.BG "Emission reduction through sustainable charcoal production and consumption"	Applicability conditions, project boundary, baseline emissions, project emissions, leakage emissions, emission reduction calculations, monitoring

Approved SB	Title	Sector	Standardized element	Methodology/tool/SB guideline	Reference methodology(ies)	Sections of the reference methodology(ies) to be used by CDM project that applies SB
ASB0003	Grid emission factor for the Republic of Uzbekistan	Power sector	Emission factor	Grid tool version 03.0.0	All CDM approved methodologies that require the application of the grid tool to calculate grid emission factor	Applicability conditions, project boundary, additionality, baseline emissions, project emissions, leakage emissions, emission reduction calculations, monitoring
ASB0004	Technology switch in the rice mill sector of Cambodia	Rice mill sector	Additionality and baseline emission factor	Guidelines for the establishment of sector specific standardized baseline (version 02.0)	The standardized baseline can only be used in conjunction with the latest approved version of the small-scale methodology AMS-I.B "Mechanical energy for the user with or without electrical energy"	Applicability conditions, project boundary, baseline emissions, project emissions, leakage emissions, emission reduction calculations, monitoring
ASB0005	Grid emission factor for the Belize national power grid	Power sector	Emission factor	Grid tool version 03.0	All CDM approved methodologies that require the application of the grid tool to calculate grid emission factor	Applicability conditions, project boundary, additionality, baseline emissions, project emissions, leakage emissions, emission reduction calculations, monitoring

Approved SB	Title	Sector	Standardized element	Methodology/tool/SB guideline	Reference methodology(ies)	Sections of the reference methodology(ies) to be used by CDM project that applies SB
ASB0006	Grid emission factor for the national power grid of Uganda	Power sector	Emission factor	Grid tool (version 04.0)	All CDM approved methodologies that require the application of the grid tool to calculate grid emission factor	Applicability conditions, project boundary, additionality, baseline emissions, project emissions, leakage emissions, emission reduction calculations, monitoring
ASB0007	Grid emission factor for the electricity system of the Republic of Armenia	Power sector	Emission factor	Grid tool (version 04.0)	All CDM approved methodologies that require the application of the grid tool to calculate grid emission factor	Applicability conditions, project boundary, additionality, baseline emissions, project emissions, leakage emissions, emission reduction calculations, monitoring
ASB0008	Standardized Baseline for Methane Emissions from Rice Cultivation in the Republic of the Philippines	Rice cultivation	Additionality and baseline emission factor	AMS-III.AU “Methane emission reduction by adjusted water management practice in rice cultivation” Version 04.0	The standardized baseline is derived from and used in conjunction with version 04.0 of the small-scale methodology AMS-III.AU “Methane emission reduction by adjusted water management practice in rice cultivation”	Applicability conditions, project boundary, baseline emissions, project emissions, leakage emissions, emission reduction calculations, monitoring

Approved SB	Title	Sector	Standardized element	Methodology/tool/SB guideline	Reference methodology(ies)	Sections of the reference methodology(ies) to be used by CDM project that applies SB
ASB0009	Emission factors for central grid and regional mini-grids of The Gambia	Power sector	Emission factor	Grid tool (version 04.0) AMS-I.F “Renewable electricity generation for captive use and mini-grid (version 02.0)”	All CDM approved methodologies that require the application of the grid tool to calculate grid emission factor. AMS-I.F “Renewable electricity generation for captive use and mini-grid (version 02.0)” or any other relevant small-scale CDM approved methodology that refers to AMS-I.F for determination of carbon dioxide (CO ₂) emission factor for the mini-grid system, in order to determine the baseline emissions, project emissions and/or leakage emissions	Applicability conditions, project boundary, additionality, baseline emissions, project emissions, leakage emissions, emission reduction calculations, monitoring

Table 2. Possible combinations of approaches and reference

Approach to develop SB	Element of standardization of the SB	Purpose of reference methodology	Exploration of potential for avoiding reference to a methodology at the time of PSB development
Methodology	Additionality (e.g. standard barriers for a country/sector)	For all three standardized elements, the same methodology is used for developing PDD that is used to develop SB. The reference is required because a particular baseline or additionality parameter of the methodology is standardized. PDD will replace the methodology parameter with a standard value.	Since the methodology used for developing the standardized baseline for a methodology-specific baseline parameter (or additionality criterion) is same that the PDD of the CDM project will use, the project participants (PPs) cannot avoid the reference to the methodology. Therefore PPs cannot be allowed to select any applicable methodology for their project if they want to use the SB.
	Baseline scenario (e.g. historical situation)		
	Baseline emission factor (e.g. tCO ₂ /t)		
Methodological Tool	Baseline emission factor (e.g. tCO ₂ /kWh)	The methodology referred to in the SB has reference to the tool that is used to develop the SB.	Since the tool is only used to standardize an emission factor and it does not provide all the sections to write a PDD, a reference to a methodology(ies) that refers to the tool is necessary. In absence of such reference, if PPs use the SB together with a methodology that does not require the use of the tool but has a methodology-specific algorithm to calculate the emission factor, it would generate potential errors in the calculation of emission reductions.

Approach to develop SB	Element of standardization of the SB	Purpose of reference methodology	Exploration of potential for avoiding reference to a methodology at the time of PSB development
SB guideline	Additionality (positive list of fuels, feedstocks, technologies)	For all three standardized elements, the SB must standardize the baseline parameter(s) or additionality criteria from a methodology that is applicable to the technology/fuel/feedstock implemented by the project.	Since the specific parameter(s) of the reference methodology is/are standardized using the algorithm of the SB guideline, the standardized value must replace that parameter in the PDD based on the reference methodology if PPs want to use the SB for their project. If the reference methodology is not referred to in the PSB (and ASB), and PPs are allowed to use any applicable methodology, there would be inconsistency and errors in emission reduction calculations, as the specific situation of the methodology used by the PP was not considered in the development of the SB. An example can be given in this regard. The SB guideline is used to determine the baseline emission factor for the domestic refrigerator sector. This emission factor is required to be used with a new methodology that is developed to accommodate the emission factor as a part of its baseline emissions calculation. The PP ignores the reference methodology and uses the emission factor with AM0070 "Manufacturing of energy efficient domestic refrigerators" that contains a different algorithm for baseline emission calculations as compared to the SB guideline. This action by the PP would generate significant inconsistencies and errors in emission reduction calculations.
	Baseline scenario (e.g. a baseline technology)		
	Baseline emission factor (tCO ₂ /t cement)		

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