

**CDM-EB65-A32-PROC**

## Procedure

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# CDM project cycle procedure

Version 09.0



**United Nations**  
Framework Convention on  
Climate Change

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## **1. Introduction**

### **1.1. Background**

1. The Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (CMP), at its first session, established the basis of a regulatory framework of the clean development mechanism (CDM) to implement Article 12 of the Kyoto Protocol through the annex to decision 3/CMP.1, the annexes II, III and IV to decision 4/CMP.1, the annex to decision 5/CMP.1, the annex to decision 6/CMP.1 and the annex to decision 10/CMP.7. The CMP revised provisions in these decisions through new decisions in subsequent sessions and revoked annexes III and IV to decision 4/CMP.1. In addition, the Executive Board of the clean development mechanism (hereinafter referred to as the Board) operationalized the CDM process by adopting various standards, procedures and guidelines and revised them, as appropriate, with a view to improving the CDM process.
2. This document consolidates all procedural provisions relating to the project cycle under the CDM: from prior consideration of seeking CDM status, the publication of project design document (PDD) regarding a CDM project activity or programme design document (PoA-DD) regarding a CDM programme of activities (PoA) up to the issuance of certified emission reductions (CERs) for the CDM project activity or PoA and the renewal of crediting period.
3. The document information section at the end of this document lists all documents that are superseded by this document individually or in conjunction with the “CDM project standard” and the “CDM validation and verification standard”.

### **1.2. Objectives**

4. The objectives of the “CDM project cycle procedure” (hereinafter referred to as this procedure) are to:
  - (a) Improve the consistency and clarity in processing by the Board and the UNFCCC secretariat (hereinafter referred to as the secretariat) of the submissions of documents relating to the registration of a proposed CDM project activity or PoA and issuance of CERs;
  - (b) Enhance the overall efficiency and integrity of the CDM.

## **2. Scope, applicability and entry into force**

### **2.1. General**

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

### **2.2. Entry into force**

6. Version 09.0 of this procedure enters into force on 1 April 2015.

### **3. Terms and definitions**

7. 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.

### **4. Pre-registration activities**

#### **4.1. Prior consideration of the clean development mechanism**

8. For project activities with a start date on or after 2 August 2008, the project participants shall notify the designated national authority (DNA) of the host Party of the project activity, if the DNA exists, and the secretariat in writing of the commencement of the project activity and their intention to seek the CDM status within 180 days of the start date of the project activity as defined in the “Glossary of CDM terms”, by using the “CDM project activity prior consideration form” (CDM-PC-FORM). Such notification is not necessary if a PDD regarding the project activity has been published for global stakeholder consultation in accordance with paragraphs 20–22 below.
9. The notification to be submitted according to paragraph 8 above shall include information on: the location of the project activity, indicating country, region and the precise geographical location(s) (geo-coordinates, or other adequate means to identify the project location); and the technology under consideration for the project activity.
10. The secretariat shall conduct a completeness check to determine whether the information submitted by the project participant is complete. If the secretariat, during the completeness check, identifies that information is missing, the secretariat shall request this information to the project participants. The project participants shall submit the requested information within 14 days of receipt of the request. The secretariat shall notify the project participants whether the notification submitted is considered complete.
11. Once the secretariat has determined that the notification is complete, it shall publish it on the UNFCCC CDM website.
12. The project participants of project activities referred to in paragraph 8 above shall inform the secretariat of the progress of the project activity every two years after the initial notification, using the “CDM project activity prior consideration form” (CDM-PC-FORM) until the PDD regarding the project activity has been published for global stakeholder consultation.
13. For project activities with a start date before 2 August 2008, for which the PDD has not been published for global stakeholder consultation or the start date is prior to the date of publication of the PDD for global stakeholder consultation in accordance with paragraphs 20–22 below, the project participants shall provide information to demonstrate that the CDM was seriously considered in the decision to implement the

project activity in accordance with the “CDM project standard” to the DOE that performs validation of the proposed CDM project activity.

14. Provisions in paragraphs 8–12 above shall not apply to PoAs. However, the coordinating/managing entity may notify to the DNA(s) of the host Party(ies) of the PoA and the secretariat in writing of the intention to seek the CDM status for the PoA, using the “CDM programme of activities prior consideration form” (CDM-PoA-PC-FORM) for the purpose of determining the start date of the PoA.

## **4.2. Participation requirements of host Party for CCS project activities**

### **4.2.1. Expression of host Party agreement for CCS project activities**

15. If a Party wishes to host CDM CCS project activities on its territory, it shall submit to the UNFCCC secretariat, through its DNA, an expression of its agreement (EoA) to allow the implementation of CCS project activities on its territory. A host Party's EoA shall be submitted prior to the PDD for the first proposed CCS project activity on the host Party's territory being published for global stakeholder consultation. A DNA shall submit the EoA by e-mail to <Moderator-DNA@unfccc.int>.
16. A host Party's EoA shall apply to all CCS project activities implemented on its territory.
17. The EoA should list the host Party's laws and regulations that satisfy the requirements set out in section 4.2.2 below as an appendix.

### **4.2.2. Laws and regulations of host Party for CCS project activities**

18. Prior to the publication of the PDD for global stakeholder consultation for the first proposed CCS project activities on its territory, a host Party shall ensure that it has established laws and/or regulations that:
  - (a) Set procedures that include provisions for the appropriate selection, characterization and development of geological storage sites, recognizing the project requirements for CCS project activities under the CDM set out in section “Selection and characterization of the geological storage site” of the “CDM project standard”;
  - (b) Define means by which rights to store carbon dioxide in, and gain access to, a subsurface pore space can be conferred to project participants;
  - (c) Provide for timely and effective redress for affected entities, individuals and communities for any significant damage, such as environmental damage, including damage to ecosystems, other material damage or personal injury, caused by the project activity, including in the post-closure phase;
  - (d) Provide for timely and effective remedial measures to stop or control any unintended seepage of carbon dioxide, to restore the integrity of a geological storage site, and to restore long-term environmental quality significantly affected by a CCS project activity;
  - (e) Establish a means for addressing liability arrangements for carbon dioxide geological storage sites, taking into account the provisions set out in section “Liability” of the “CDM project standard”;



- (f) For a host Party that accepts the obligation to address a net reversal of storage, establish measures to fulfil such an obligation.

### **4.3. Publication of project or programme design document**

#### **4.3.1. Submission of project or programme design document**

19. The project participants of a proposed CDM project activity shall complete a PDD, or the coordinating/managing entity of a proposed CDM PoA shall complete a PoA-DD and the PoA-specific component project activity design document(s) (CPA-DDs), in accordance with the “CDM project standard”, and submit it/them together with supporting documentation, to the designated operational entity (DOE) contracted by the project participants or the coordinating/managing entity to perform validation of the project activity or PoA.
20. The DOE shall make the PDD or PoA-DD and CPA-DD publicly available through a dedicated interface on the UNFCCC CDM website for global stakeholder consultation. The duration of the period for submission of comments for the global stakeholder consultation shall be 30 days except with respect to large-scale afforestation and reforestation (A/R) project activities or large-scale A/R PoAs, for which the duration shall be 45 days.
21. When submitting the PDD or PoA-DD, the DOE shall, through a dedicated interface on the UNFCCC CDM website, also submit the following information to be made publicly available:
  - (a) The name of the proposed CDM project activity or PoA;
  - (b) The host Party(ies) of the proposed CDM project activity or PoA;
  - (c) The names of the project participants listed in the PDD or PoA-DD. The DOE shall indicate with which of the project participants the DOE has a contractual relationship for validation of the proposed CDM project activity or PoA, as well as the name of the coordinating/managing entity in the case of PoA;
  - (d) The estimated annual greenhouse gas (GHG) emission reductions or removal enhancements indicated in the PDD or, in the case of a PoA, the estimated total annual GHG emission reductions or removal enhancements of all specific-case component project activities (CPAs) for which CPA-DDs were submitted with the PoA-DD at the time of its publication;
  - (e) The approved baseline and monitoring methodology(ies) and, where applicable, the approved standardized baseline(s) that is(are) applied to the proposed CDM project activity or PoA;
  - (f) Reference to any previous publication of the PDD or PoA-DD for public comments on the UNFCCC CDM website;
  - (g) The proposed start date of the proposed CDM project activity and the start date and the length of its first crediting period, or the proposed start date of the proposed CDM PoA and the start date and the length of the first crediting period of each of the specific-case CPAs published;

- (h) The report on the feedback provided by stakeholders during the local stakeholder consultation;
  - (i) A summary of the environmental impact assessment report of the proposed CDM project activity or PoA, if applicable.
  - (j) In the case of a proposed CDM PoA, in addition to subparagraphs (a)–(g) above:
    - (i) The generic CPA-DD part of the PoA-DD, which specifies the generic information relevant to all CPAs that may be included in the PoA. If the PoA applies more than one technology/measure or more than one methodology, the generic CPA-DD part of the PoA-DD shall be completed for each technology/measure, each methodology and each combination thereof, unless the technologies/measures in the applied methodologies are included in the positive lists for additionality demonstration under the “Guidelines on demonstration of additionality of small-scale project activities” or “Guidelines on demonstration of additionality of microscale project activities”. In the latter case, the generic CPA-DD may cover more than one technology/measure, and the specific-case CPA-DD(s), to be submitted in accordance with subparagraphs (ii) and (iii) below, may correspond to any one of the technologies/measures or their combinations;
    - (ii) At least one specific-case CPA-DD that corresponds to each generic CPA-DD. In case where all specific-case CPA-DDs to cover all generic CPA-DDs cannot be provided at the time of publication of the PoA-DD for global stakeholder consultation, specific-case CPA-DD(s) corresponding to at least one generic CPA-DD shall be provided at the time of publication of the PoA-DD for global stakeholder consultation. In this case, for each of the remaining generic CPA-DDs, specific-case CPA-DD(s) shall be provided at the time of request for registration of the PoA or after the registration of the PoA. In the latter case, the specific-case CPA-DD(s) shall be provided for approval by the Board in accordance with the post-registration change process as defined in section 6.3 below;
    - (iii) If the PoA is hosted in more than one Party, a specific-case CPA-DD shall also be provided for each host Party at the time of publication of the PoA-DD for global stakeholder consultation. In this case, if the PoA-DD defines more than one generic CPA-DD, the specific-case CPA-DD for a host Party may correspond to any generic CPA-DD. However, the requirements in subparagraph (ii) above shall still apply to the PoA as a whole.
22. If the DOE is accredited for the validation function in all sectoral scope(s)<sup>1</sup> to which the proposed CDM project activity or PoA is linked through the application of baseline and monitoring methodology(ies), the secretariat, through the CDM information system, shall make the PDD or PoA-DD publicly available on the UNFCCC CDM website. The period for submission of comments for global stakeholder consultation on the PDD or PoA-DD shall commence at midnight GMT subsequent to the publication of the PDD or PoA-DD. The CDM information system shall inform the DOE of the location of the PDD or PoA-DD

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<sup>1</sup> There are 16 sectoral scopes in the CDM and these are used in the accreditation of DOEs. The list of sectoral scopes, the DOEs accredited in each scope as well as the approved baseline and monitoring methodologies linked with these sectoral scopes are given on the UNFCCC CDM website.

on the UNFCCC CDM website and the opening and closing dates and time of the period for submission of comments.

#### **4.3.2. Changes after publication of project or programme design document**

##### **4.3.2.1. Change of project participants or coordinating managing/entity**

23. When submitting a request for registration of the proposed CDM project activity, all project participants shall be listed in the PDD, and all project participants and the coordinating/managing entity shall be listed in the PoA-DD. The list shall specify which project participants have a contractual relationship with the DOE for validation of the proposed CDM project activity or PoA.
24. If all project participants or the coordinating/managing entity that have a contractual relationship with the DOE for validation at the time of the publication of the PDD or PoA-DD for global stakeholder consultation have been replaced, the revised PDD or PoA-DD shall be published for global stakeholder consultation in accordance with paragraphs 20–22 above.

##### **4.3.2.2. Change of designated operational entity**

25. If the project participants or the coordinating/managing entity wish to change the DOE after the publication of the PDD or PoA-DD, they shall notify the change to the secretariat by e-mail informing of the name of the newly appointed DOE before the submission of the request for registration of the CDM project activity or PoA. This DOE will not need to republish the PDD or the PoA-DD in accordance with paragraphs 20–22 above but shall take into account the comments received during the global stakeholder consultation of the PDD or PoA-DD in its validation.

##### **4.3.2.3. Change to design of project activity or programme of activities**

26. If the design of the CDM project activity or PoA has undergone changes determined by the DOE as significant after the publication of the PDD or PoA-DD, the DOE may seek guidance from the Board on whether a revised PDD or PoA-DD shall be published for global stakeholder consultation by submitting such request to a specified UNFCCC e-mail account.
27. The Board shall expeditiously consider the case, through electronic means where possible, and provide guidance to the DOE. In doing so, the Board shall consider the significance of the changes in terms of the impact on the application of the methodology, local stakeholders.

##### **4.3.2.4. Application of standardized baseline whose selection is mandatory**

28. If the PDD or PoA-DD has been published for global stakeholder consultation when no applicable approved standardized baseline was valid, and an applicable approved standardized baseline whose selection is mandatory has become valid after the publication of the PDD or PoA-DD for global stakeholder consultation, and if the request for registration has not been submitted within 240 days after the standardized baseline became valid, the project participants shall revise the PDD, or the coordinating/managing entity shall revise the PoA-DD, applying the standardized

baseline. In this case, the DOE shall publish the revised PDD or PoA-DD for global stakeholder consultation in accordance with paragraph 20–22 above.

#### **4.3.2.5. Change of baseline and monitoring methodology or standardized baseline**

29. If the project participants or the coordinating/managing entity wish to change the approved baseline and monitoring methodology, approved standardized baseline and/or combination of approved baseline and monitoring methodologies that is(are) applied in the PDD or PoA-DD that has already been published for global stakeholder consultation, then:
- (a) The project participants or the coordinating/managing entity shall revise the PDD or PoA-DD accordingly;
  - (b) The DOE shall subsequently publish the revised PDD or PoA-DD for global stakeholder consultation in accordance with paragraphs 20–22 above, except when the following conditions apply to a PoA:
    - (i) The change only involves the removal and no addition of approved baseline and monitoring methodologies and/or approved standardized baselines;
    - (ii) The removal of the approved baseline and monitoring methodologies and/or the approved standardized baselines does not affect the physical design of, and the end-use services provided by, the CPAs that apply the methodologies and, where applicable, the standardized baselines that remain (i.e. the methodologies and, where applicable, standardized baselines that were not removed).
30. If the PDD or PoA-DD applies the previous version of an approved baseline and monitoring methodology and/or an approved standardized baseline, and a request for registration of the proposed CDM project activity or PoA has not been submitted within the grace period for the use of the previous version as defined in the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” and/or the “Procedure: Development, revision, clarification and update of standardized baselines”, the project participants shall revise the PDD, or the coordinating/managing entity shall revise the PoA-DD, applying the revised version of the methodology and/or the standardized baseline in its entirety or elements of it as required (e.g. in the case of an approved deviation). In this case, the DOE shall not publish the revised PDD or PoA-DD for global stakeholder consultation, but shall submit it when it submits a request for registration in accordance with paragraph 72 below, unless otherwise decided by the Board when it approves the revised methodology and/or the revised standardized baseline.

#### **4.3.3. Submission and treatment of public comments**

31. Parties, stakeholders<sup>2</sup> and UNFCCC accredited observers may submit comments, in English, on the validation requirements for the proposed CDM project activity or PoA to the DOE via a dedicated interface on the UNFCCC CDM website. The submitters of the comments shall provide the name and contact details of the individual or organization on whose behalf the comments are submitted. Comments from stakeholders shall:

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<sup>2</sup> For the purpose of this procedure all members of the public are considered to be stakeholders.

- (a) Be specific to the proposed CDM project activity or PoA;
  - (b) Be related to the compliance with relevant CDM rules and regulations.
- 32. The secretariat shall make the comments publicly available on the UNFCCC CDM website where the PDD or PoA-DD is displayed, and shall remove those that the DOE has determined to be unauthentic in accordance with the "CDM validation and verification standard".
- 33. After the completion of the local stakeholder consultation, local stakeholders may submit a complaint to the DNA(s) of the host Party(ies) if they find that the outcome of the local stakeholder consultation is not appropriately taken into account. The DOE shall request the DNA(s) to forward such complaints, if any, to the DOE and promptly forward them to the project participants or the coordinating/managing entity during the validation in accordance with the "CDM validation and verification standard".

#### **4.4. Reporting of validation status**

- 34. At 180 days subsequent to the end of the period for submission of comments on the PDD or PoA-DD, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update on the status of its validation activity, unless it has submitted a request for registration of the proposed CDM project activity or PoA in accordance with paragraph 72 below. The DOE shall include one of the following statuses in the update:
  - (a) The validation contract has been terminated. In this case the DOE shall also provide a reason for the termination on a confidential basis;
  - (b) A revised PDD or PoA-DD for the same project activity or PoA has been published;
  - (c) The DOE has issued a negative validation opinion;
  - (d) The DOE has raised one or more corrective action requests or clarification requests, to which no response has been received from the project participants or the coordinating/managing entity, or the DOE is seeking further clarification to the responses received from the project participants or the coordinating/managing entity. In this case, the DOE shall also provide a summary of the issues raised and update or reconfirm the status of the validation activities at 90-day intervals thereafter;
  - (e) The DOE has finalized a positive validation opinion with the exception of the receipt of a valid letter of approval from one or more Party(ies) involved. In this case, the DOE shall also indicate from which Party(ies) involved a valid letter of approval has not been received;
  - (f) The DOE is performing validation activities and it has not yet sent any corrective action or clarification requests to the project participants or the coordinating/managing entity. In this case the DOE shall also provide an explanation on the length of time taken and update or reconfirm the status of the validation activities at 90-day intervals thereafter.
- 35. The secretariat shall inform the stakeholders, who submitted comments during the global stakeholder consultation for the proposed CDM project activity or PoA and that the comments were considered by the DOE as authentic, about the update provided by the

DOE, by sending them an e-mail to the addresses provided when they submitted the comments.

#### **4.5. Withdrawal of published project or programme design document**

36. At any time before the submission of a request for registration, the project participants or the coordinating/managing entity may, through the DOE, withdraw the PDD or PoA-DD published for global stakeholder consultation. In this case, the DOE shall submit a request for withdrawal of the PDD or PoA-DD to the secretariat by using the “Project or programme design document withdrawal request form” (CDM-PW-FORM). If the form contains all required information, the PDD or PoA-DD shall be considered withdrawn and the secretariat shall mark the PDD or PoA-DD on the UNFCCC CDM website as “withdrawn”.

#### **4.6. Modalities of communication**

37. The project participants of a CDM project activity or PoA shall designate one or more focal point entities (hereinafter referred to as focal points) to communicate on their behalf with the Board and the secretariat within the defined scopes of authority referred to in paragraph 40 below and include this information in a modalities of communication (MoC) statement.
38. After the submission of a request for registration of a proposed CDM project activity or PoA in accordance with paragraph 72 below, all official communication between the project participants and the Board or the secretariat for the specific project activity or PoA shall be conducted in accordance with the MoC statement with the exception of communications undertaken in accordance with paragraph 183 and 196(b) below.
39. The project participants or the coordinating/managing entity shall submit to the DOE at the time of validation of the proposed CDM project activity or PoA an MoC statement using the valid version of the MoC statement form (CDM-MOC-FORM), including its annex 1.
40. The project participants shall grant the focal points the authority to:
- (a) Communicate in relation to requests for forwarding of CERs to individual accounts of project participants (scope (a)); and/or
  - (b) Communicate in relation to requests for addition and/or voluntary withdrawal of project participants and focal points, as well as changes to company names, legal status, contact details and specimen signatures (scope (b)); and/or
  - (c) Communicate on all other project- or programme-related matters not covered by (a) or (b) above (scope (c)).
41. The project participants may designate separate entities for each scope of authority either in a sole, shared or joint focal point role and shall designate two or more focal points for a shared or joint focal point role.
42. The project participants and the focal points may designate one primary authorized signatory and one alternate authorized signatory. The signature of either the primary or alternate authorized signatory shall suffice for authenticating the project participant's or the focal point's consent or instruction(s).

43. A project participant that is also a focal point for the same CDM project activity or PoA may designate different authorized signatories for the project participant status and for the focal point status.
44. For CDM PoAs, the coordinating/managing entity shall be either the sole or a joint focal point for each scope of authority. The number of joint focal points for a PoA shall be limited to five, or equal to the number of host Parties if greater than five.
45. The project participants shall not include or refer to private contractual arrangements in an MoC statement such as the establishment of conditions for the designation or change of focal points or the purchase and/or sale of CERs. The project participants and focal points shall be solely responsible for honouring such arrangements.
46. The secretariat shall, when conducting the completeness check of the request for registration submission in accordance with paragraphs 78–79 below, consider the contact details included in the MoC statement to be the valid contact details of the project participants whenever such details differ from the details of the project participants and their representatives included in the PDD or PoA-DD for the CDM project activity or PoA.
47. The secretariat shall publish the MoC statement on the respective CDM project activity or PoA webpage on the UNFCCC CDM website following the registration of the project activity or PoA.
48. The secretariat shall not make available specimen signatures, contact details and other personal information to anyone other than members and alternate members of the Board, the project participants, the focal points and the DOE involved in the CDM project activity or PoA.

#### **4.7. Request for deviation from approved methodology**

##### **4.7.1. Submission of request for deviation**

49. The DOE may, prior to the submission of a request for registration or publication of the PDD or PoA-DD for global stakeholder consultation of the proposed CDM project activity or PoA, seek guidance from the Board on the acceptability of a deviation from selected approved baseline and monitoring methodology or methodological tool, if the DOE, when performing validation for a proposed CDM project activity or PoA, or upon request from the project participants or coordinating/managing entity before the publication of the PDD or PoA-DD, finds that, due to a project- or programme-specific issue implying that a revision of the methodology would not be required to address the issue, the project participants or the coordinating/managing entity deviated from:
  - (a) The methodology; or
  - (b) A section (or sections) in the methodology that is(are) not standardized by the selected standardized baseline(s), if the proposed CDM project activity or PoA uses standardized baselines.
50. Alternatively, if the DOE considers that a revision of the methodology would be required to address the project or programme situation, it shall follow the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools”.

51. If the DOE cannot determine the applicability of the selected methodology and/or the selected standardized baseline to the proposed CDM project activity or PoA, the DOE shall request a clarification on the applicability in accordance with the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” and/or the “Procedure: Development, revision, clarification and update of standardized baselines”.
52. To seek guidance from the Board on the acceptability of the deviation, the DOE shall submit the “Deviation from approved methodology request form” (CDM-DEV-METH-FORM) through a dedicated interface on the UNFCCC CDM website. In the submission the DOE shall provide:
  - (a) A clear and precise assessment of the case including demonstration that the deviation does not imply a revision of the methodology;
  - (b) A description of the impact of the deviation on the GHG emission reductions or removal enhancements from the project activity or PoA.

#### **4.7.2. Processing request for deviation**

53. The secretariat shall maintain a publicly available list of all submitted requests for deviation on the UNFCCC CDM website, excluding supporting documentation provided by the DOE as confidential. The secretariat shall make publicly available the schedule of processing the requests for deviation, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for deviation in accordance with the secretariat’s operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.
54. The secretariat shall commence the processing of the request for deviation in accordance with the schedule. Upon commencement of the processing of the request for deviation, the secretariat shall conduct within seven days a completeness check to determine whether the request submission is complete in accordance with paragraph 52 above.
55. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
56. Upon conclusion of the completeness check, the secretariat shall notify the DOE of the conclusion of the completeness check. If the request submission is found incomplete, the secretariat shall also communicate the underlying reasons to the DOE and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit a request for deviation with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for deviation.
57. Upon positive conclusion of the completeness check, the secretariat shall publish the request for deviation on the UNFCCC CDM website, and the request for deviation shall be deemed received by the Board for consideration.



58. The secretariat shall prepare and send to the Board a summary note on the request for deviation including a recommendation on the course of action, or with a notification that the case will be placed on the agenda of the next Board meeting, within 14 days of the date of publication of the request for deviation.
59. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE, it shall request the DOE to submit revised documents and/or information to clarify the issues within 14 days of receipt of the request. In this case, the secretariat shall, notwithstanding the provision in paragraph 58 above, finalize the summary note and send it to the Board within 14 days of receipt of the requested documents and/or information from the DOE. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.
60. If the request submission is removed from processing in accordance with paragraph 59 above, the DOE may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to the DOE to provide clarifications on the issues identified if they are not sufficiently clear to it. Only one such request shall be allowed per request for deviation. In this case, the DOE shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three days of receipt of the request. The secretariat shall record the call.
61. If the secretariat, during the preparation of the summary note, identifies issues that require inputs from a relevant panel or working group, it shall place the case on the agenda of the next meeting of the panel or working group. In this case, the secretariat shall, notwithstanding the provisions in paragraphs 58 and 59 above, finalize the summary note and send it to the Board within 14 days of receipt of the inputs from the panel or working group.
62. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 58 above within 20 days of receipt of the summary note, the recommended course of action shall be deemed to be the decision adopted by the Board.
63. 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.
64. If a member of the Board objects to the secretariat's recommendation on the course of action 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.

#### **4.7.3. Finalizing request for deviation**

65. If the Board considers the case at its meeting in accordance with paragraph 58 or 64 above, it shall decide on the course of action at the meeting.
66. The course of action shall be:
  - (a) Approve the deviation and allow submission of a request for registration with the deviation; or

- (b) Decide that the deviation requires a revision of the methodology before submitting a request for registration; or
  - (c) Reject the request.
67. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision, the reasons thereof and any guidance provided by the Board as applicable, and make the decision, reasons and guidance publicly available on the UNFCCC CDM website by publishing a ruling note within three days of the decision of the Board.

#### **4.8. Application of multiple methodologies in programme of activities**

68. If the proposed CDM PoA applies more than one approved baseline and monitoring methodology and/or technology or measure in the PoA, the DOE that performs its validation and the coordinating/managing entity shall follow the process in paragraph 69 or 70 below as applicable.
69. If the PoA applies only small-scale methodologies (including the cases where standardized baselines are applied), and if “cross effects” as defined in the “Standard: Demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities” exist between the technologies or measures applied, the coordinating/managing entity shall propose methods to account for such cross effects and request an approval by the Board using the process in section 4.7 above mutatis mutandis. Before submitting such request, the coordinating/managing entity may seek clarification on cross effects in the proposed combination of technologies or measures, using the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” by submitting the PoA-DD with completed sections for detailed technical descriptions. Where possible, such clarification requests shall be treated under the “fast track” of the procedure.
70. If the PoA applies a combination of only large-scale methodologies or both large-scale and small-scale methodologies (including the cases where standardized baselines are applied in both options), the DOE may proceed with the publication of the PoA-DD for global stakeholder consultation or the request for registration without a pre-approval by the Board of the application of the multiple methodologies:
- (a) If the combination is explicitly permitted in the methodologies: or
  - (b) If all of the following conditions apply:
    - (i) The multiple methodologies are used in CPAs to realize the policy or goal of the PoA, and the implementation of the activities through CPAs is integrated through the design of the PoA;<sup>3</sup>
    - (ii) Each CPA applies only one methodology;
    - (iii) There is no interaction between the different CPAs. An interaction shall be deemed to occur in the following cases but is not be limited to:

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<sup>3</sup> See examples that fall under this condition in the “Standard: Demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programmes of activities”.

- a. One CPA is dependent on the implementation of another CPA or that one CPA impacts the profitability or emission reductions or removal enhancements achieved by another CPA;
  - b. One CPA is interlinked with another CPA by the technologies applied or economic decisions taken.
- 71. If the PoA applies a combination of only large-scale methodologies or both large-scale and small-scale methodologies (including the cases where standardized baselines are applied in both options), and if the conditions set out in paragraph 70 above do not apply, the coordination/managing entity or the DOE shall seek clarification on the eligibility of the proposed combination, using the "Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools".

## **5. Registration of project activity or programme of activities**

### **5.1. Request for registration**

#### **5.1.1. Submission of request for registration**

- 72. The DOE, after determining that the proposed CDM project activity or PoA meets all relevant requirements in the "CDM project standard" by following the relevant provisions of the "CDM validation and verification standard" and other CDM requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for registration of the proposed CDM project activity or PoA by using the "CDM project activity registration request form" (CDM-REG-FORM) or the "CDM programme of activities registration request form" (CDM-PoA-REG-FORM), respectively, and all the required documents listed in the completeness check checklist for requests for registration.
- 73. The secretariat shall issue a unique reference number for the submission of the request for registration and a statement of the registration fee due, or confirmation that no registration fee is due, determined in accordance with the provisions on the registration fee, as contained in appendix 1, and shall communicate these to the DOE.
- 74. The DOE shall communicate to the project participants or the coordinating/managing entity the unique reference number, and the registration fee due or a confirmation that no registration fee is due.
- 75. The secretariat shall inform the stakeholders, who submitted comments during the global stakeholder consultation for the proposed CDM project activity or PoA and that the comments were considered by the DOE as authentic, that a request for registration has been submitted for the proposed CDM project activity or PoA, by sending them an e-mail to the addresses provided when they submitted the comments.
- 76. The project participants or the coordinating/managing entity shall pay the registration fee by bank transfer, quoting the unique reference number referred to in paragraph 73 above. The DOE shall submit proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC CDM website. If the proposed CDM project activity or PoA applies:

- (a) A methodology that has been revised, withdrawn, or suspended by the Board, either proof of payment must be uploaded within 20 days or payment must be received by the secretariat within 40 days of the end of the grace period for revision or the date of withdrawal or suspension, as defined in the "Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools"; and/or
- (b) A standardized baseline that has been revised, suspended or has expired, either proof of payment must be uploaded within 20 days or payment must be received by the secretariat within 40 days of the end of the grace period for revision, the date of suspension or expiry, as defined in the "Procedure: Development, revision, clarification and update of standardized baselines".

#### **5.1.2. Processing request for registration**

- 77. The secretariat shall maintain a publicly available list of all submitted requests for registration for which the applicable registration fee has been received by the secretariat on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for registration, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for registration in accordance with the secretariat's operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.
- 78. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within seven days a completeness check to determine whether the request for registration submission is complete in accordance with the completeness check checklist for requests for registration.
- 79. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
- 80. Upon conclusion of the completeness check stage, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for registration with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.
- 81. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting check checklist for requests for registration.

82. If the secretariat, during the information and reporting check, identifies issues of an editorial nature or missing basic information, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission cannot be processed any further.
83. Upon conclusion of the information and reporting check stage, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the information and reporting check stage. If the request submission for which the secretariat conducted an information and reporting check does not meet the requirements of the information and reporting check, the secretariat shall conclude that the request submission cannot be processed any further and communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for registration with revised documentation. Upon submission of the revised documentation, the request shall be processed further.
84. Upon positive conclusion of the information and reporting check stage, the secretariat shall publish the request for registration on the UNFCCC CDM website, and the request for registration shall be deemed received by the Board for consideration.
85. If the request cannot be processed any further in accordance with paragraph 83 above, the DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per request for registration. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three days of receipt of the request. The secretariat shall record the call.
86. For re-submission of a request for registration after the completeness check as a new submission in accordance with paragraph 80 above, the DOE shall be granted an extension of the validity of the baseline and monitoring methodology and/or the standardized baseline applied in the initial submission by the number of days in excess of the 22 days elapsed before the notification on incompleteness is made, if the secretariat notifies it to the project participants or the coordinating/managing entity, and the DOE, more than 22 days after the submission of the request for registration, and the request for registration was submitted more than 22 days prior to the expiry of:
  - (a) The grace period of the previous version of a baseline and monitoring methodology and/or a standardized baseline; or
  - (b) The validity of the previous version of a standardized baseline.
87. For re-submission of a request for registration after the information and reporting check in accordance with paragraph 83 above, the DOE shall be granted an extension of the validity of the baseline and monitoring methodology and/or the standardized baseline applied in the initial submission until the end of the 28th-day period after the notification that the submission cannot be processed any further.

88. The secretariat shall notify the project participants or the coordinating/managing entity, the DNA(s) of the Party(ies) involved, and the DOE that: the Board has received the request for registration for consideration of registration; the secretariat has published the request for registration on the UNFCCC CDM website; and the last day by which members of the Board or a Party involved may request a review of the request for registration, as referred to in paragraph 90 below.
89. The secretariat shall, subject to the guidance of the Board, prepare and send to the Board a summary note on the request for registration within 14 days of the date of publication of the request for registration.

#### **5.1.3. Requesting review of request for registration**

90. Any Party involved in the proposed CDM project activity or PoA and any member of the Board may request a review of the request for registration within 28 days of the date of publication of the request for registration. If a Party involved wishes to request a review, the relevant DNA shall send the request by e-mail to the secretariat, using the “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the “CDM project activity/programme of activities registration request review form” (CDM-RR-FORM) and in accordance with appendix 2.
91. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.
92. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the 28-day period following the publication of the request for registration.
93. A request for review shall provide, inter alia, the reasons for the request for review based on the “CDM project standard”, “CDM validation and verification standard” or any other applicable CDM requirements.

#### **5.1.4. Finalizing request for registration if no request for review**

94. If the secretariat does not receive a request for review from a Party involved or at least three members of the Board in accordance with paragraphs 90–93 above, the Board shall register the proposed CDM project activity or PoA as a CDM project activity or PoA.
95. For requests for registration, for which the initial submission was made on or after 11 December 2010, the effective date of registration in the case referred to in paragraph 94 above shall be one of the following (hereinafter referred to as the date when the DOE submitted a complete request for registration):
  - (a) The date when the request for registration was submitted in accordance with paragraph 72 above, if no registration fee is due in accordance with appendix 1 (if the request for registration was submitted as a new submission after the previous submission had been concluded as incomplete at the completeness check stage in accordance with paragraph 80 above and no additional registration fee is due upon the new submission, it is the date of the new submission); or

- (b) The date when the deposit of the registration fee was received by the secretariat in accordance with paragraph 76 above and appendix 1 (if the request for registration was submitted as a new submission after the previous submission had been concluded as incomplete at the completeness check stage in accordance with paragraph 80 above and additional registration fee is due upon the new submission, it is the date when the additional fee was received by the secretariat).
96. For requests for registration, for which the initial submission was made before 11 December 2010, the effective date of registration in the case referred to in paragraph 94 above shall be the next day after the 28-day review request period referred to in paragraph 90 above.

## **5.2. Review of request for registration**

### **5.2.1. Commencement of review**

97. If a Party involved in the proposed CDM project activity or PoA, or at least three members of the Board, request a review of the request for registration, the secretariat shall:
- (a) Notify the project participants or the coordinating/managing entity, and the DOE that validated the proposed CDM project activity or PoA, that a Party involved in the proposed CDM project activity or PoA, or at least three members of the Board, have requested a review of the request for registration;
  - (b) Mark the request for registration as “under review” on the UNFCCC CDM website and make publicly available an anonymous version of each “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM);
  - (c) Establish a team comprising two experts selected from the Registration and Issuance Team (RIT Team) to conduct an assessment of the request for review. The secretariat shall appoint one of the RIT Team members to serve as the lead, who shall be responsible for all communications with the secretariat.
98. The DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for registration. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three days of receipt of the request. The secretariat shall record the call.
99. The project participants or the coordinating/managing entity, and the DOE, shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for review.
100. For each issue (or sub-issue) raised in the request for review, the project participants or the coordinating/managing entity, and the DOE, shall either:

- (a) Respond by making any revisions that they deem necessary to the PDD or PoA-DD and/or validation report to ensure, inter alia, that all facts are clearly stated and sufficiently validated; or
  - (b) Respond in writing by addressing why no revisions to the PDD or PoA-DD and/or validation report are necessary.
- 101. The secretariat shall schedule the commencement of the review of the request for registration in accordance with its operational plans and any relevant instructions by the Board. The secretariat shall make the schedule of reviews publicly available on the UNFCCC CDM website. Upon scheduling the commencement date, or altering it as applicable, the secretariat shall inform the project participants or the coordinating/managing entity, and the DOE, of the scheduled or altered commencement date, respectively.
- 102. The date of commencement of the review shall be the date when the secretariat notifies the project participants or the coordinating/managing entity, and the DOE, that the review has commenced.

#### **5.2.2. Assessment**

- 103. The secretariat shall conduct an assessment of the request for registration in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM) and the CDM requirements, taking into account the responses from the project participants or the coordinating/managing entity, and the DOE.
- 104. Concurrently and independently from the secretariat’s assessment referred to in paragraph 103 above, the RIT Team established in accordance with paragraph 97(c) above shall conduct an assessment of the request for registration in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM) and the CDM requirements, taking into account the responses of the project participants or the coordinating/managing entity, and the DOE.
- 105. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.
- 106. Both the secretariat and the RIT Team shall, in their assessment reports, include a proposed decision taking into account appendix 2. Each proposed decision shall suggest either to:
  - (a) Register the proposed project activity or PoA; or
  - (b) Reject the request for registration.
- 107. If a proposed decision is to reject the request for registration, then the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:
  - (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
  - (b) The CDM requirements applied to the facts;



- (c) The interpretation of the CDM requirements as applied to the facts.
- 108. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significant importance related to the policies and goals of the CDM arising from the assessment. The secretariat, in consultation with the Chair of the Board, shall bring these issues to the attention of the Board by preparing background notes and policy options and presenting them to the Board at its meetings.
- 109. The RIT Team shall submit its assessment report to the Board through the secretariat.
- 110. The secretariat shall inform the Board of the availability of each assessment report, and make each assessment report available to the Board, together with any responses from the project participants or the coordinating/managing entity, and the DOE, and any revision to the PDD or PoA-DD, validation report and/or other relevant documentation.

#### **5.2.3. Consideration by the Board**

- 111. If the respective assessment reports of the secretariat and the RIT Team contain the same proposed decision (i.e. both are to register the proposed CDM project activity or PoA, or both are to reject the request for registration), then the proposed decision shall become the final decision of the Board 20 days after the date when the availability of the assessment report of the secretariat or the RIT Team, whichever the later was communicated to the Board, unless a member of the Board objects to the proposed decision.
- 112. 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 and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
- 113. If a member of the Board objects to the proposed decision 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.
- 114. If the assessment reports of the secretariat and the RIT Team contain different proposed decisions (i.e. one is to register the proposed CDM project activity or PoA, and the other is to reject the request for registration) and the Board receives both proposed decisions more than 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.
- 115. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, decide to either:
  - (a) Register the proposed CDM project activity or PoA; or
  - (b) Reject the request for registration.

#### **5.2.4. Finalization and implementation of ruling**

- 116. If the Board's final decision made in accordance with paragraph 111 or 115 above is to register the proposed CDM project activity or PoA, the secretariat shall register it as a CDM project activity or PoA on the first working day subsequent to the finalization of the decision. The effective date of registration in such cases shall be one of the following:

- (a) The date when when the DOE submitted a complete request for registration as referred to in paragraph 95 above, if the response to the request for review was made in accordance with paragraph 100(b) above; or
  - (b) The date when the latest revisions to the PDD or PoA-DD and/or validation report were submitted in accordance with paragraph 100(a) above.
- 117. If the Board's final decision made in accordance with paragraph 111 or 115 above is to reject the request for registration, the secretariat shall update the information on the UNFCCC CDM website accordingly on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the secretariat shall provide the Chair of the Board with an information note containing a proposed ruling incorporating the final decision.
- 118. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision, including, but not limited to:
  - (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The CDM requirements applied to the facts;
  - (c) The interpretation of the CDM requirements as applied to the facts.
- 119. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.
- 120. 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 and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
- 121. If a member of the Board objects to the proposed ruling 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.
- 122. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, finalize the ruling.
- 123. The secretariat shall publish a ruling note on the UNFCCC CDM website no later than three days after the ruling was finalized.
- 124. After the publication of the ruling note, the DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the ruling. Only one such request, regardless of the requesting party, shall be allowed per ruling. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three days of receipt of the request. The secretariat shall record the call.
- 125. If the project participants or the coordinating/managing entity wish to request the registration of a project activity or PoA that has been rejected by the Board, the

validation activity by the same or a different DOE for the project activity or PoA shall restart, including the publication of a revised PDD or PoA-DD for global stakeholder consultation in accordance with paragraphs 20–22 above.

### **5.3. Withdrawal of request for registration**

#### **5.3.1. Submission of request for withdrawal**

126. For the following cases, the DOE shall submit a request for withdrawal of a request for registration by using the “Registration request withdrawal request form” (CDM-REGW-FORM) and uploading it through a dedicated interface on the UNFCCC CDM website:
- (a) The project participants or the coordinating/managing entity voluntarily wish to withdraw a proposed CDM project activity or PoA, of which the DOE is requesting for registration;<sup>4</sup>
  - (b) The DOE has revised its validation report based on new insights or information.

#### **5.3.2. Processing request for withdrawal**

127. Upon receipt of the request for withdrawal of a request for registration, the secretariat shall as soon as possible check the documents submitted, and if the request is complete, take the following actions:
- (a) If the DOE requests the withdrawal prior to the publication of the request for registration made in accordance with paragraph 84 above, the secretariat shall reimburse the registration fee in full to the project participants or the coordinating/managing entity in accordance with appendix 1. In this case, the secretariat shall not mark the project activity or PoA as “withdrawn”, but shall block the unique reference number assigned to the withdrawn project activity or PoA from further use;
  - (b) If the DOE requests the withdrawal as from the 28-day period for requesting a review of the request for registration in accordance with paragraph 90 above, the secretariat shall reimburse any registration fee paid above USD 30,000 to the project participants or the coordinating/managing entity in accordance with appendix 1, and mark the proposed CDM project activity or PoA as “withdrawn” on the UNFCCC CDM website.

## **6. Post-registration activities**

### **6.1. Inclusion of component project activities in programme of activities**

#### **6.1.1. Submission of component project activity design documents**

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

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<sup>4</sup> In such cases the DOE shall process the request expeditiously.

time. Only upon the approval of the first specific-case CPA-DD corresponding to a generic CPA-DD by the Board, CPAs corresponding to that generic CPA-DD may be included in the registered CDM PoA.

129. If the DOE confirms that the CPA meets the eligibility criteria for inclusion in the PoA, it shall include the CPA in the PoA by uploading the corresponding specific-case CPA-DD through a dedicated interface on the UNFCCC CDM website. Such uploads shall be grouped and not occur more frequently than once per month.
130. The CPA identified in the specific-case CPA-DD uploaded by the DOE will be automatically included in the registered CDM PoA and displayed on the view page of that PoA. The secretariat shall automatically notify the DOE, the coordinating/managing entity and the DNA of the change in the status of the PoA.
131. If an approved baseline and monitoring methodology and/or an approved standardized baseline that is(are) applied to the PoA is(are) put on hold or withdrawn for any reason other than for the purpose of including the methodology in a consolidated methodology, no new CPAs shall be included in the PoA, in accordance with the timelines indicated in the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” and/or the “Procedure: Development, revision, clarification and update of standardized baselines”.
132. If the methodology and/or the standardized baseline, subsequent to being placed on hold, is(are) revised, the coordinating/managing entity shall revise the PoA-DD including its generic CPA-DD part, by, inter alia, updating the eligibility criteria for inclusion of CPAs in the PoA to be in line with the revised methodology and/or the revised standardized baseline, following the process described in paragraph 155 below. Such revision to the PoA-DD including its generic CPA-DD part is not required in cases where the methodology is revised or withdrawn to be included in a consolidated methodology without being placed on hold, unless otherwise indicated in the report of the Board meeting at which the Board approved the revised or consolidated methodology.
133. Once the revised PoA-DD including its generic CPA-DD part with the revised eligibility criteria for inclusion of CPAs in the PoA has been approved by the Board, the inclusion of all new CPAs shall be based on the new version of the generic CPA-DD.
134. The CPAs that were included before PoA-DD shall apply the latest version of the generic CPA-DD at the time of the request for renewal of the crediting period.

#### **6.1.2. Review of erroneous inclusion or renewal of crediting period of component project activities**

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

136. If the request is received from a Board member, the Chair of the Board, in consultation with the secretariat, shall assess the information referred to in paragraph 135 above and decide, within 14 days, whether to add the request for review to the agenda of the next Board meeting.
137. If the Chair of the Board decides not to add the request to the agenda of the next Board meeting, the secretariat shall inform the relevant Board member of the reasons for this decision.
138. If the Chair of the Board decides to add the request to the agenda of the next Board meeting, or if the request has been received from the DNA of a Party involved, the secretariat shall accordingly notify the coordinating/managing entity, the DOE that included the CPA in the PoA (hereinafter referred to as including DOE) and the DNAs of all Parties involved. The coordinating/managing entity and the including DOE shall provide initial comments on the request for review no later than 28 days from the date of notification of the review.
139. If the request for review is added to the agenda of the next Board meeting in accordance with paragraph 136 or 138 above, the Board shall, at that meeting, taking into account any comments received from the coordinating/managing entity and the including DOE:
  - (a) Exclude the CPA from the PoA with immediate effect if it determines that the CPA was erroneously included in the PoA; and
  - (b) Initiate a full review if it determines that the consideration of the request for review raises concerns regarding the processes used to include CPAs in the PoA.
140. If the Board initiates the full review referred to in paragraph 139(b) above, it shall request the secretariat to contract a DOE, that has not performed validation, CPA inclusion or verification functions with regard to this PoA, to review the CPAs that have been included in the PoA in the one year period or have had their first issuance in the 180-day period preceding the request for review. The DOE shall submit a review report to the secretariat within 30 days.
141. The Board shall establish an assessment team to analyse the DOE's review report and provide findings and recommendations to the Board within 14 days. The assessment team may discuss the findings of the DOE's review report and seek comments from the coordinating/managing entity and including DOE, as appropriate. Based on this assessment, the assessment team shall make a finding as to:
  - (a) Whether any CPAs have been erroneously included in the PoA; and
  - (b) Whether the compliance of each of the CPAs reviewed with the eligibility criteria for inclusion in the PoA was adequately assessed by the including DOE in accordance with the "CDM validation and verification standard" and other CDM requirements applicable at the time of the inclusion.
142. The Board shall consider the DOE's review report and the assessment team's finding at the next Board meeting for which the report and the finding have been made available by the 14-day documentation deadline.
143. The Board shall decide to exclude any of the CPAs from the PoA if it concludes that they have been erroneously included.

144. Any CPA that has been excluded after having been identified as erroneously included in the PoA shall not be re-included in that or any other PoA, or qualify as a CDM project activity.
145. Where, for any of the CPAs excluded in accordance with paragraph 139(a) or 143 above, the Board determines that the including DOE failed to adequately assess their compliance with the eligibility criteria for inclusion in the PoA in accordance with the “CDM validation and verification standard”, the DOE shall acquire and transfer, within 30 days of the exclusion of the CPAs, an amount of emission reduction units (ERUs), CERs, assigned amount units (AAUs) and/or removal units (RMUs) equivalent to the amount of CERs issued for the CPAs as a result of the CPAs having been included, to a cancellation account in the CDM registry maintained by the Board.

## **6.2. Exclusion of component project activities from programme of activities**

146. Any time after the inclusion of a CPA in a registered PoA, the coordinating/managing entity of the PoA may request the exclusion of the CPA from the PoA by submitting the “Component project activity exclusion request form” (CDM-CPA-EX-FORM) containing an evidence of the agreement of all project participants of the CPA with the exclusion to the secretariat through a specified e-mail account made available on the UNFCCC CDM website.
147. The secretariat shall conduct a completeness check of the documents submitted within five days of receipt of the request, and if the form contains all required information, the secretariat shall mark the CPA as excluded on the UNFCCC CDM website. The effective date of exclusion shall be the date when the coordinating/managing entity submitted a complete submission of the request.

## **6.3. Changes to registered project activity or programme of activities**

### **6.3.1. Submission of request for approval of changes**

148. A request for approval of changes may be submitted in respect of the following changes that have occurred or are expected to occur to a registered CDM project activity or PoA:
- (a) Temporary deviation from the monitoring plan as described in the registered PDD, PoA-DD or CPA-DD, or the applied baseline and monitoring methodology or standardized baseline;
  - (b) Permanent changes:
    - (i) Corrections;
    - (ii) Changes to the start date of the crediting period of the project activity or CPA;
    - (iii) Inclusion of a monitoring plan to the registered PDD, PoA-DD or CPA-DD, if a monitoring plan was not included at the time of their registration;
    - (iv) Permanent changes to the monitoring plan as described in the registered PDD, PoA-DD, CPA-DD, or the applied baseline and monitoring methodology or standardized baseline, including changes to apply the

- provisions of the valid version of the “Standard: Sampling and surveys for CDM project activities and programme of activities”;
- (v) Changes to the project or programme design as described in the registered PDD or PoA-DD;
  - (vi) Changes to the project design as described in the registered generic CPA-DD or specific-case CPA-DD.
149. For the changes referred to in paragraph 148(b)(ii) above, if the change is up to one year (up to two years for a project activity or PoA hosted by a least developed country), the project participants or the coordinating/managing entity are not required to request for approval by the Board of the change but shall notify the secretariat, by e-mail through a dedicated e-mail address, of the change. If the change is more than one year but up to two years (up to four years for a project activity or PoA hosted by a least developed country) a DOE shall submit a request for approval by the Board of the change in accordance with paragraph 155 below. The change may be allowed only once for each registered CDM project activity or CPA. The change of more than two years (four years for a project activity or PoA hosted by a least developed country) shall not be allowed.
150. For CDM PoAs, with regard to the changes referred to in paragraph 148(b)(v) above, only the following changes shall be allowed:
- (a) Changes to programme boundary to expand geographical coverage or to include additional host Parties;
  - (b) The following revisions to the eligibility criteria:
    - (i) If the version of baseline and monitoring methodologies applied by the PoA is revised or replaced subsequent to being placed on hold;
    - (ii) If the revision of the eligibility criteria of a registered PoA is initiated by the Board at any time during the lifetime of the PoA if an issue related to environmental integrity is identified;
    - (iii) If the use of positive lists is introduced based on the “Guidelines on the demonstration of additionality of small-scale project activities” or the provisions of “Guideline: Demonstrating additionality of microscale project activities”;
  - (c) Removal of methodologies and/or standardized baselines from the registered PoA;
  - (d) Addition or change of technologies/measures with or without addition or change of applied methodologies<sup>5</sup> in the registered PoA-DD as follows:
    - (i) Changes that allow a shift to more efficient, less GHG-intensive or at least equivalent technologies/measures;<sup>6</sup>

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<sup>5</sup> If the change leads to the application of a new version or a new methodology, in that case the latest version shall be applied in its entirety.

- (ii) Changes that introduce complementary measures/technologies involving mass and/or energy transfer to/from the originally registered technology/measure (e.g. addition or change of Type I methodologies in a registered PoA primarily applying Type III methodologies).<sup>7</sup>
- 151. For generic and specific-case CPAs of a registered CDM PoA, with regard to the changes referred to in paragraph 148(b)(vi) above, the following conditions have to be met to modify<sup>8</sup> or add technologies/measures:
  - (a) The applicability conditions of the applied baseline and monitoring methodologies and tools and, where applicable, the applied standardized baselines, cover the modified or added technologies/measures (i.e. the modified or added technologies/measure are applicable under the approved baseline and monitoring methodologies and, where applicable, the approved standardized baselines);
  - (b) The modified or added technologies/measures were either: (i) already included in the originally registered PoA-DD and the eligibility criteria for these technologies/measures had been specified in the originally registered PoA-DD<sup>5</sup>; or (ii) subsequently included in the revised PoA-DD following the approval by the Board of a request for post-registration changes in accordance with paragraphs 150 above and 153 below.<sup>9</sup>
- 152. In the cases referred to in paragraph 148(b)(vi) above, the request for approval of post-registration changes to specific-case CPA-DDs may be combined with a request for approval of post-registration changes to the PoA-DD regarding the changes referred to in paragraph 150(d) above. In this case the draft revised PoA-DD is considered to be the basis for the revised CPA-DDs instead of the originally registered PoA-DD in applying the conditions referred to in paragraph 151 above.
- 153. In the cases referred to in paragraph 150 above, the coordinating/managing entity shall revise the eligibility criteria for inclusion of CPAs in the PoA to reflect the change, and include them in the new version of the PoA-DD including its generic CPA-DD part, to be validated by the DOE and approved by the Board in accordance with paragraph 155 below.

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<sup>6</sup> Examples of this are shifting to LED lighting from CFL lighting, introducing LED lamps with the Solar Home System (SHS) instead of CFL lamps with the same SHS, shifting from AMS-II.G to AMS-I.E to distribute renewable biomass burning cookstoves instead of efficient cookstoves using non-renewable biomass, introducing institutional cookstoves for a registered household cookstoves PoA, introducing charcoal-burning stoves (fully accounting for production emissions of charcoal) in a registered PoA that distributes household wood-burning stoves.

<sup>7</sup> An example of this is changing the utilization of recovered methane (e.g. from flaring to heat generation, from heat generation to electricity generation). This may involve the addition/change of Type I methodologies to registered PoAs applying Type III waste/wastewater methodologies.

<sup>8</sup> Modifications to technologies/measures may include changes to the effective output capacity.

<sup>9</sup> An example is the case of a CPA that included portable LED lamps that are charged by mechanical energy whereas charging from other renewable energy sources such as solar PV electricity is also required during project implementation; PV electricity to charge the lamps would be eligible if the registered PoA-DD had included it.



154. In the cases referred to in paragraph 150(d) above, the scope of changes shall not cover adding technologies/measures and methodologies that are not related to the technologies and methodologies included in the originally registered PoA.
155. In the following circumstances, the DOE shall submit a request for approval by the Board prior to the submission of the request for issuance in accordance with paragraphs 160–161 below:
  - (a) The DOE, when performing a verification for a registered CDM project activity or PoA, determines that one or more of the changes referred to in paragraph 148 above have occurred or are expected to occur to the project activity or PoA after its registration, and the changes require “prior approval” by the Board in accordance with the “CDM project standard”;
  - (b) The project participants or the coordinating/managing entity have requested a DOE at any time prior to the commencement of a verification, to conduct a validation of one or more of the changes referred to in paragraph 148 above that have occurred or are expected to occur to the project activity or PoA after its registration, irrespective of whether the changes require prior approval by the Board;
  - (c) If a PoA includes more than one generic CPA-DD, addition of specific-case CPA-DDs corresponding to that generic CPA-DDs for which a specific-case CPA-DD has not been submitted at the time of request for registration of the PoA.
156. For the cases referred to paragraph 155 above, the project participants may appoint any DOE for the validation of the changes. The project participants may also appoint this DOE to perform a verification for the same project activity or PoA if it has not performed other validation activities for the CDM project activity or PoA (i.e. registration, renewal of crediting period and inclusion of CPAs in the PoA), unless the project activity is a small-scale one or the DOE is authorized by the Board to do so in accordance with paragraphs 209–212 below.
157. In the cases referred to in paragraph 155 above, where more than one of the changes referred to in paragraph 148 above or addition of specific-case CPA-DDs have occurred or are expected to occur to the project activity or PoA after its registration, the DOE shall, wherever possible, combine such changes or addition into one request for approval.
158. In all other cases, the DOE that performs a verification for the project activity or PoA shall submit the changes for acceptance by the Board as part of the request for issuance in accordance with section 8.1.1 below.
159. In both cases referred to in paragraphs 155 and 158 above, the DOE shall be accredited for the validation function in the sectoral scope(s) of the project activity or PoA in question.
160. To obtain an approval from the Board of the changes, the DOE shall submit a request for approval of changes to the secretariat through a dedicated interface on the UNFCCC CDM website.
161. The request for approval of changes shall contain:
  - (a) A duly completed “Post-registration changes request form” (CDM-PRC-FORM);

- (b) A validation opinion on the changes by the DOE prepared in accordance with the “CDM validation and verification standard”;
- (c) A revised PDD, or revised PoA-DD including its revised generic CPA-DD part, and specific-case CPA-DD (in both clean and track-change versions), as applicable;
- (d) A specific-case CPA-DD for each of the additionally included host Parties in the CDM PoA, as applicable;
- (e) Letters of approval by the DNAs of the additionally included host Parties in the CDM PoA, as applicable;
- (f) Supplemental documentation, as appropriate.

### **6.3.2. Processing request for approval of changes**

- 162. The secretariat shall maintain a publicly available list of all submitted requests for approval of changes on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for approval of changes, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for approval of changes in accordance with the secretariat’s operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.
- 163. The secretariat shall commence the processing of the request for approval of changes in accordance with the schedule. Upon commencement of the processing of the request for approval of changes, the secretariat shall conduct within seven days the completeness check to determine whether the request submission is complete in accordance with paragraph 161 above.
- 164. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
- 165. Upon conclusion of the completeness check stage, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the completeness check stage. If the request submission is found incomplete, the secretariat shall also communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit a request for approval of changes with revised documentation. Upon submission of the revised documentation the request shall be treated as a new submission of a request for approval of changes.
- 166. Upon positive conclusion of the completeness check stage, the secretariat shall publish the request for approval of changes on the UNFCCC CDM website, and the request shall be deemed received by the Board for consideration.

167. The secretariat shall, within 14 days of the date of publication of the request for approval of changes, prepare and send to the Board a summary note on the request for approval of changes including a recommendation on the course of action, or with a notification that the case will be placed on the agenda of the next Board meeting.
168. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE, or project participants or the coordinating/managing entity, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit revised documents and/or information to clarify the issues within 14 days of the receipt of the request. In this case, the secretariat shall, notwithstanding the provision in paragraph 167 above, finalize the summary note and send it to the Board within 14 days of receipt of the requested documents and/or information from the DOE. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.
169. If the request submission is removed from processing in accordance with paragraph 168 above, the DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per request for approval of changes. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three days of receipt of the request. The secretariat shall record the call.
170. If the secretariat, during the preparation of the summary note, identifies issues that require inputs from a relevant panel or working group, it shall place the case on the agenda of the next meeting of the panel or working group. In this case, the secretariat shall, notwithstanding the provisions in paragraphs 167 and 168 above, finalize the summary note and send it to the Board within 14 days of receipt of the inputs from the panel or working group.
171. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 167 above within 20 days of receipt of the summary note, the recommended course action shall be deemed to be the decision adopted by the Board.
172. 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.
173. If a member of the Board objects to the secretariat's recommendation on the course of action 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.

#### **6.3.3. Finalizing request for approval of changes**

174. If the Board considers the case at its meeting in accordance with paragraph 167 or 173 above, it shall decide on the course of action at the meeting.

175. For the changes referred to in paragraph 148(b)(v) and (vi) above, the course of action shall be:
- (a) Approve the changes and allow subsequent requests for issuance for the project activity or PoA;
  - (b) Approve the changes and allow subsequent requests for issuance for the project activity or PoA, but, for the case of a project activity or CPA, limit the CERs up to the level estimated in the originally registered PDD or specific-case CPA-DD;
  - (c) Reject the proposed changes but allow subsequent requests for issuance for the project activity or PoA only if it is implemented as described in the registered PDD, PoA-DD or specific-case CPA-DD.
176. For the changes referred to in paragraphs 148(a) and 148(b)(i)–(iii) above, the course of action shall be:
- (a) Approve the changes;
  - (b) Reject the changes.
177. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision, the reasons thereof, and any guidance provided by the Board as applicable, and make the decision, reasons and guidance publicly available on the UNFCCC CDM website by publishing a ruling note within three days of the decision of the Board.
178. After the publication of the ruling, the DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the ruling. Only one such request, regardless of the requesting party, shall be allowed per ruling. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three days of receipt of the request. The secretariat shall record the call.
179. The secretariat shall make the revised PDD revised PoA-DD, or specific-case CPA-DD, and the validation or assessment opinion by the DOE, as applicable, publicly available on the UNFCCC CDM website. This version of the PDD, PoA-DD or specific-case CPA-DD shall be applied for future requests for issuance or for inclusion of new CPAs in the PoA.
180. The CPAs that were included before the changes to the PoA shall apply the latest version of the PoA-DD including its generic CPA-DD part only at the time of the renewal of its crediting period.

#### **6.3.4. Withdrawal of request for approval of changes**

181. At any time before the adoption of the decision by the Board on the request for approval of changes, the project participants or the coordinating/managing entity may, through the DOE, withdraw the request. In this case, the DOE shall submit a request for withdrawal of the request for approval of changes to the secretariat using the “Post-registration change request withdrawal form” (CDM-PRCW-FORM) duly signed by the projects participants or the coordinating/managing entity. If the form contains all required

information, the request for approval of changes shall be considered withdrawn. If the DOE submits the request for withdrawal after the publication of the request for approval of changes, the secretariat shall mark the request for approval of changes on the UNFCCC CDM website as “withdrawn”.

## **6.4. Changes to modalities of communication**

### **6.4.1. General requirements**

182. The focal point(s) for scope (b) of the CDM project activity or PoA referred to in paragraph 40 above shall request changes to any modalities of the MoC statement to the secretariat within 90 days after the changes become effective.
183. The authorized signatories or the legal representatives of the project participants, the focal points, or the DNAs of the Parties involved may directly notify the secretariat on any issues regarding the MoC statement through a specified e-mail account made available on the CDM Registry section of the UNFCCC CDM website. In this case, the secretariat may request additional clarifications. The secretariat may contact any of the focal point entities or project participants of the respective CDM project activity or PoA or, in the case of insolvency, liquidators/administrators, in order to request additional clarifications from these entities. The secretariat shall advise on further actions to the parties involved including those referred to in section 6.4.2 below.
184. The secretariat shall request a new submission of an MoC statement through the validating DOE whenever the secretariat identifies inconsistencies or inaccuracies in an initial MoC statement or when inconsistencies or inaccuracies are reported to the secretariat. The secretariat may provide specific guidance for the re-submission and may, after sending a notice to the focal points and the project participants, temporarily put on hold the forwarding of CERs if the inconsistencies or inaccuracies prevent the secretariat from establishing the focal point(s) for scope of authority (a). For any other inconsistencies or inaccuracies, the secretariat may temporarily put on hold the forwarding of CERs, after sending a notice to the focal points and the project participants, if the new submission is not received by the secretariat within 90 days of requesting for a new submission.
185. The secretariat may seek agreement from the project participants to submit a new MoC statement in cases where the existing MoC statement was submitted prior to the introduction of the MoC statement form and does not clearly define the role(s) of focal point(s) and their respective scopes of authority.
186. The focal point(s) shall use the valid version of the MoC statement form to request changes to the modalities of communication and shall submit it to the secretariat through a dedicated interface on the UNFCCC CDM website. The project participants shall use the same interface to submit a new MoC statement in accordance with paragraph 196(b) below.
187. The focal point(s) for scope (b) or the project participants who submit a new MoC statement in accordance with paragraph 196 below shall ensure that:
  - (a) Supporting documentation, including powers of attorney, or extracts from board meeting minutes or company association documentation, or extracts/certificates from national company registries that cannot be verified online, is dated or

notarized within two years from the time of submission of a request for change to the modalities of communication. This time limitation does not apply to letters of approval issued by DNAs nor to copies of national personal identity documents;

- (b) To the extent possible, changes applicable to more than one CDM project activity or PoA or multiple changes affecting the same CDM project activity or PoA, are consolidated in a single form in accordance with the instructions provided in the CDM Registry section of the UNFCCC CDM website.
- 188. The legal representatives signing on behalf of the focal points or the project participants shall provide written evidence that they are authorized to sign on behalf of the respective entities.
  - 189. The secretariat may request additional clarification and/or documentation from the submitting entity(ies) if submissions do not clearly provide evidence in support of a specific request.
  - 190. The secretariat shall make detailed guidance available on the CDM Registry section of the UNFCCC CDM website on how to request changes to project participants and focal points.
  - 191. The secretariat shall display the effective dates of updated MoC statements on the corresponding CDM project activity and PoA view pages.

#### **6.4.2. Specific requirements related to reported issues resulting from insolvency and/or disputes on modalities of communication**

- 192. In accordance with paragraph 183 above, project participants or focal points may notify the secretariat of any issues regarding the MoC statement, including the issues resulting from insolvency and/or of disputes in relation to the MoC statement with regard to the designation or changes to the designation of focal points.
- 193. The secretariat may engage the DNA(s) of the Parties involved in the respective CDM project activity or PoA whenever issues resulting from insolvency and/or disputes over the designation of focal points are notified to the secretariat. The secretariat may provide information, subject to the confidentiality of such information, and/or administrative assistance to the DNA(s) if so requested by the respective DNA(s).
- 194. The CDM registry administrator may, after sending a notice to the focal points and the project participants, temporarily put on hold the forwarding of CERs for the CDM project activity or PoA for which the project participants or the focal points have notified a case of insolvency and/or a dispute in relation to the MoC statement, pending resolution of the issues resulting from insolvency or resolution of the disputes.
- 195. The secretariat shall display indicative information, subject to the confidentiality, on the respective CDM project activity or PoA page on the UNFCCC CDM website, related to the notifications to the secretariat of issues resulting from insolvency and/or of disputes only in the cases where the forwarding of CERs has been temporarily put on hold pending the resolution of the issues.

#### **6.4.3. Specific requirements on changes to focal points**

196. The project participants of a registered CDM project activity may change the designation of any of the focal points for any reason and at any time by submitting a new MoC statement duly signed by all project participants, either through:
- (a) The focal point(s) for scope of authority (b); or
  - (b) Any of the project participants for changes to the MoC statement excluding its annexes.
197. The project participants of a registered CDM PoA may change the designation of any of the focal points for any reason and at any time by submitting a new MoC statement duly signed by and through the coordinating/managing entity.
198. For changing the designation of a focal point in accordance with paragraph 196 or 197 above, the focal point(s) for scope of authority (b) or the project participants shall submit:
- (a) A new MoC statement for changes related to designation of focal points, with the exception of changes affecting only contact details and specimen signatures;
  - (b) Annex 2 of the MoC statement, for changes related only to contact details and specimen signatures.
199. When a focal point that is not a project participant is added to represent the project participants for any or for all scopes of authority, the focal point(s) for scope of authority (b) or the project participant that makes the submission in accordance with paragraph 198(a) above shall also provide written evidence of:
- (a) The new focal point's corporate identity; and
  - (b) The personal identity and employment status of the new focal point's authorized signatory(ies), including their specimen signature(s).
200. The legal representative of a project participant may sign an MoC statement.
201. The legal representative of a focal point for scope of authority (b) may submit annex 2 of the MoC statement if the authorized signatory(ies) of the focal point concerned is(are) no longer available.

#### **6.4.4. Specific requirements on change of coordinating/managing entity for programme of activities**

202. When the coordinating/managing entity is changing, the incoming coordinating/managing entity shall sign and submit the MoC statement to the secretariat. The incoming coordinating/managing entity shall also attach letter(s) of authorization from each respective host Party stating the change of coordinating/managing entity and a confirmation from the new coordinating/managing entity that the PoA will be developed and implemented with the same set framework as originally described in the PoA DD, by using the "Change of coordinating/managing entity for programme of activities form" (CDM-CME-FORM).
203. In addition to the requirements as referred to in paragraphs 182–202 above, if the coordinating/managing entity for a registered CDM PoA has changed after the

registration of the PoA, the DOE undertaking the next inclusion of a CPA, the DOE that submits the next request for issuance or the DOE that submits the next post-registration change request, whichever is earliest, shall submit a validation opinion regarding the compliance of the new coordinating/managing entity with the relevant requirements in the “CDM project standard”.

204. The coordinating/managing entity may also contract a DOE only for the purpose of issuing a validation opinion on the change of the coordinating/managing entity, if it wants to submit the validation opinion before the next inclusion of a CPA under the CDM PoA, or submission of the next request for issuance or the next request for post-registration changes. In such case, the DOE shall send the documentation to the secretariat through a specified UNFCCC e-mail address or through a dedicated interface.
205. The secretariat shall assess the validation opinion and, after confirming the compliance of the new coordinating/managing entity with the relevant requirements in the “CDM project standard”, shall upload the validation opinion on the UNFCCC CDM website.

#### **6.4.5. Specific requirements on changes to project participants**

206. If the project participants of a registered CDM project activity or PoA have changed after the registration of the project activity or PoA, the focal point(s) for scope of authority (b) shall submit annex 2 of the MoC statement for each of the following changes:
- (a) Addition of a project participant. The submission shall be accompanied by a new letter of approval from the DNA authorizing participation;
  - (b) Changes related to entity names/legal status. The submission shall be accompanied by a letter of approval or validating letter that includes reference to both the old and the new names/legal status of the project participant from the DNA authorizing participation;
  - (c) Withdrawal of a project participant. If a project participant has ceased operations due to bankruptcy or other reasons and is unable to sign annex 2 of the MoC statement, the submission shall be accompanied by documented evidence of the cessation;
  - (d) Changes related only to contact details and specimen signatures.
207. A project participant added to a registered CDM project activity or PoA shall accept the existing MoC statement, or a new MoC statement if it is submitted simultaneously.

## **7. Pre-issuance activities**

### **7.1. Publication of monitoring report**

208. The project participants of a registered CDM project activity or the coordinating/managing entity of a registered CDM PoA shall prepare (a) monitoring report(s) in accordance with the “CDM project standard”, and submit it/them together with supporting documentation to the DOE contracted by the project participants or the coordinating/managing entity to perform verification of the monitored GHG emission reductions or removal enhancements.



209. If a DOE that has performed a validation activity (including the renewal of crediting period and the inclusion of a CPA in a registered PoA) for the CDM project activity or PoA wishes to perform a verification for the same project activity or PoA, it shall submit a request for authorization to do so from the Board by completing the “Validation and verification by same DOE authorization request form” (CDM-VV-FORM) to the secretariat providing the following information:
- (a) Availability of, and access to, DOEs that are accredited to undertake the verification activity in the region where the CDM project activity or PoA is located;
  - (b) Impacts of the same DOE undertaking both validation and verification activities on the transaction costs of the CDM project activity or PoA;
  - (c) Measures that the DOE proposes to implement to safeguard impartiality and integrity of the DOE in undertaking the verification;
  - (d) Total estimated size of emission reductions or removal enhancements by the CDM project activity or PoA.
210. The requirement in paragraph 209 above shall not apply for small-scale CDM project activities or small-scale A/R CDM project activities. For these project activities, a DOE may perform both validation and verification activities for the same project activity without having been authorized to do so from the Board.
211. If the request is received by the secretariat more than 14 days prior to the next Board meeting, the request shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
212. The decision of the Board on the request shall be recorded in the meeting report.
213. The DOE shall make the monitoring report publicly available through a dedicated interface on the UNFCCC CDM website, at the latest 21 days prior to undertaking the on-site inspection for the verification.
214. After publication of the monitoring report, the project participants or the coordinating/managing entity, through the DOE, may request the secretariat to withdraw the monitoring report by submitting the “Monitoring report withdrawal request form” (CDM-MRW-FORM). If the form contains all required information, the secretariat shall mark the monitoring report on the UNFCCC CDM website as “withdrawn”. The secretariat shall process the request no later than five days after the receipt of the request with the required information. After the withdrawal of the monitoring report, the project participants or the coordinating/managing entity, through the same or a different DOE, may submit other monitoring report for the period covered by the monitoring report withdrawn or changed monitoring period in order to restart the verification.
215. When submitting the monitoring report, the DOE shall, through a dedicated interface on the UNFCCC CDM website,:
- (a) Select the CDM project activity or PoA that the monitoring report concerns from a list of registered CDM project activities or PoAs;
  - (b) Specify the start and end dates of the monitoring period covered by the monitoring report.

216. If the DOE is accredited for the verification function in all sectoral scopes to which the CDM project activity or PoA is linked through the application of baseline and monitoring methodology(ies), the secretariat, through the CDM information system, shall make the monitoring report publicly available on the UNFCCC website.
217. The UNFCCC CDM web page where the monitoring report is made publicly available shall contain the following information:
- (a) The name and reference number of the CDM project activity or PoA;
  - (b) A link to the monitoring report;
  - (c) The name of the DOE contracted by the project participants or the coordinating/managing entity for the verification;
  - (d) The name of the DOE that performed the validation of the CDM project activity or PoA, and, if this DOE has been authorised by the Board to perform the verification of the CDM project activity or PoA, a reference to the meeting report where the authorisation was granted.

## **7.2. Reporting of status of registered project activity or programme**

218. At two years subsequent to the registration of a CDM project activity or PoA, the project participants or the coordinating/managing entity shall provide an update of the status of its implementation of the project activity or PoA, unless a DOE contracted by the project participants or the coordinating/managing entity to perform a verification has made a monitoring report for the project activity or PoA publicly available in accordance with paragraph 213 above. The project participants or the coordinating/managing entity shall provide this information by answering, within five days of its receipt, to the e-mail that the secretariat sends to them requesting the update. The information shall include at least one of the following statuses in the update:
- (a) The project activity or PoA is under implementation, but has not reached the stage of monitoring of GHG emission reductions or removal enhancements. In this case the project participants or the coordinating/managing entity shall also provide an update of the status at 180-day intervals thereafter;
  - (b) The project activity or PoA has not yet been implemented, but is still planned to be implemented. In this case the project participants or the coordinating/managing entity shall also provide an update of the status at 180-day intervals thereafter;
  - (c) The project activity or PoA has been implemented, but the project participants or the coordinating/managing entity have not yet decided to proceed with the request for issuance stage;
  - (d) The implementation of the project activity or PoA has been cancelled;
  - (e) Any other reason for not having submitted a monitoring report for the project activity or PoA.
219. At 180 days subsequent to the publication of the monitoring report, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update of the status of its verification activity, unless it has submitted a request for issuance of CERs

for the corresponding monitoring period for the registered CDM project activity or PoA in accordance with paragraph 222 below. The DOE shall include at least one of the following statuses in the update:

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

### **7.3. History matching and significant deviation for CCS project activity**

- 220. The project participants of a registered CCS project activity shall, for each verification period, carry out history matching in accordance with the “CDM project standard”. If during history matching a significant deviation is observed (as defined by the methodology used by the project activity), the project participants shall immediately notify the host Party and the Board in writing.
- 221. The project participants shall follow the process for changes to registered CDM project activity or programme of activities as set out in section 6.3 above for changes that require the prior approval of the Board.

## **8. Issuance of certified emission reductions**

### **8.1. Request for issuance**

#### **8.1.1. Submission of request for issuance**

- 222. The DOE, after verifying that the monitored GHG emission reductions or removal enhancements meet the relevant requirements in the “CDM project standard” and certifying the quantity of CERs claimed in the monitoring report, by following the relevant provisions of the “CDM validation and verification standard” and other CDM requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for issuance of CERs by using the “CDM project activity issuance request form” (CDM-ISS-FORM) or “CDM programme of activities issuance request form” (CDM-PoA-ISS-FORM), as applicable, and all the required documents listed in the completeness check checklist for requests for issuance.
- 223. For a CDM project activity, if the revised monitoring report submitted with the request for issuance covers a different monitoring period from the period covered by the original monitoring report published on the UNFCCC CDM website in accordance with paragraph

213 above, the secretariat shall reflect the dates of the revised monitoring report in the view page of that project activity.

224. The following applies to the requests for issuance for a PoA:

- (a) The request for issuance for a specified monitoring period shall either:
  - (i) Relate to all CPAs included in the PoA; or
  - (ii) In the case of multiple separate monitoring reports for a monitoring period prepared in accordance with the "CDM project standard", relate to all CPAs included in the batch of CPAs that the request covers, out of all the batches of CPAs in the PoA;
- (b) The monitoring periods shall be consecutive. CPAs shall be included in issuance requests in a consecutive manner, i.e. a CPA can be included in a request for issuance for the PoA for a monitoring period only after the request for issuance for the previous monitoring period that included the particular CPA has been published;
- (c) If the PoA applies any of the methodologies listed in appendix 3 as indicating potential accrual of negative emission reductions, a request for issuance for a monitoring period can be submitted only after the CERs, tCERs or ICERs have been issued for all CPAs included in the PoA for the previous monitoring period.

225. If the DOE submits changes to a registered CDM project activity or PoA for acceptance by the Board in accordance with paragraph 158 above, it shall also submit the documentation and information listed in paragraph 161 above in addition to those referred to in paragraph 222 above.

#### **8.1.2. Processing request for issuance**

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

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

228. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

229. Upon conclusion of the completeness check stage, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for issuance with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.
230. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting checklist for requests for issuance.
231. If the secretariat, during the information and reporting check, identifies issues of an editorial nature or missing basic information, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission cannot be processed any further.
232. Upon conclusion of the information and reporting check stage, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the information and reporting check stage. If the request submission for which the secretariat conducted an information and reporting check does not meet the requirements of the information and reporting check, the secretariat shall conclude that the request submission cannot be processed any further and communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for issuance with revised documentation. Upon submission of the revised documentation, the request shall be processed further.
233. Upon positive conclusion of the information and reporting check stage, the secretariat shall publish the request for issuance on the UNFCCC CDM website, and the request for issuance shall be deemed received by the Board for consideration.
234. If the request cannot be processed any further in accordance with paragraph 232 above, the DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per request for issuance. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three days of receipt of the request. The secretariat shall record the call.
235. The secretariat shall notify the project participants or the coordinating/managing entity, the DNA(s) of the Party(ies) involved, and the DOE that: the Board has received the request for issuance for consideration of issuance; the secretariat has published the request for issuance on the UNFCCC CDM website; and the last day by which members

of the Board or a Party involved may request a review of request for issuance, as referred to in paragraph 237 below.

236. The secretariat shall, subject to the guidance of the Board, prepare and send to the Board a summary note on the request for issuance within 14 days of the date of publication of the request for issuance.

#### **8.1.3. Requesting review of request for issuance**

237. Any Party involved in the CDM project activity or PoA and any member of the Board may request a review of the request for issuance within 28 days of the date of publication of the request for issuance for the project activity or within 42 days of the date of publication of the request for issuance for the PoA, respectively. If a Party involved wishes to request a review, the relevant DNA shall send the request by e-mail to the secretariat, using the “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the “CDM project activity/programme of activities issuance request review form” (CDM-IR-FORM) and in accordance with appendix 2.
238. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.
239. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the request for review period referred to in paragraph 237 above following the publication of the request for issuance.
240. A request for review shall provide, inter alia, the reasons for the request for review based on the “CDM project standard”, “CDM validation and verification standard” or any other applicable CDM requirements.

#### **8.1.4. Finalizing request for issuance if no request for review**

241. If the secretariat does not receive a request for review from a Party involved or at least three members of the Board in accordance with the modalities described in paragraphs 237–240 above, the Board shall instruct the CDM registry administrator to issue the quantity of CERs claimed in the request for issuance into the pending account of the Board in the CDM registry in the following manner:
- (a) For project activities other than CCS: in accordance with decision 3/CMP.1, annex, paragraph 66;
  - (b) For CCS project activities: in accordance with decision 10/CMP.7, annex, paragraph 21, which requires that for CCS project activities upon such issuance, the CDM registry administrator shall promptly:
    - (i) Forward the quantity of CERs corresponding to the share of proceeds to cover administrative expenses and to assist in meeting the costs of adaptation, respectively, in accordance with Article 12, paragraph 8, of the Kyoto Protocol, to the appropriate accounts in the CDM registry for the management of the share of proceeds;

- (ii) Forward 5 per cent of the CERs issued to a reserve account of the CDM registry, established for the CCS project activity for the purpose of accounting for any net reversal of storage;
  - (iii) Forward the remaining CERs to the registry accounts of the Parties and project participants involved, in accordance with their request.
- 242. The secretariat shall inform the project participants or the coordinating/managing entity of the Board's instruction to the CDM registry administrator and of any share of proceeds payable by the project participants or the coordinating/managing entity to cover administrative expenses of the CDM in accordance with the provisions contained in appendix 1. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.
- 243. The project participants or the coordinating/managing entity shall pay the share of proceeds and instruct the CDM registry administrator on the distribution of the CERs using the "Certified emission reductions forwarding request form" (CDM-FWD-FORM). After receiving the share of proceeds and the instruction from the project participants or the coordinating/managing entity, the secretariat shall forward the CERs to the project participants or the coordinating/managing entity accordingly.

## **8.2. Review of request for issuance**

### **8.2.1. Commencement of review**

- 244. If a Party involved in the registered CDM project activity or PoA, or at least three members of the Board request a review of the request for issuance, the secretariat shall:
  - (a) Notify the project participants or the coordinating/managing entity, and the DOE that verified and certified the claimed CERs, that a Party involved in the proposed CDM project activity or PoA, or at least three members of the Board have requested a review of the request for issuance;
  - (b) Mark the request for issuance as "under review" on the UNFCCC CDM website and make publicly available an anonymous version of each "CDM project activity/programme of activities issuance request review form" (CDM-ISSR-FORM);
  - (c) Establish a team comprising two experts selected from the Registration and Issuance Team (RIT Team) to conduct an assessment of the request for review. The secretariat shall appoint one of the RIT Team members to serve as the lead, who shall be responsible for all communications with the secretariat.
- 245. The DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for issuance. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three days of receipt of the request. The secretariat shall record the call.

246. The project participants or the coordinating/managing entity, and the DOE, shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for review.
247. For each issue (or sub-issue) raised in the request for review, the project participants or the coordinating/managing entity, and the DOE, shall either:
- (a) Respond by making any revisions that they deem necessary to the monitoring report and attached spread-sheets, verification report, and/or certification report, and where there is a change to the number of CERs requested, by also submitting a new request for issuance form, to ensure, inter alia, that all facts are clearly stated and sufficiently verified; or
  - (b) Respond in writing by addressing why no revisions to the monitoring report, verification report, and/or certification report are necessary.
248. The secretariat shall schedule the commencement of the review of the request for issuance in accordance with its operational plans and any relevant instructions from the Board. The secretariat shall make the schedule of review publicly available on the UNFCCC CDM website. Upon scheduling the commencement date, or altering it as applicable, the secretariat shall inform the project participants or the coordinating/managing entity, and the DOE, of the scheduled or altered commencement date, respectively;
249. The date of commencement of the review shall be the date when the secretariat notifies the project participants or the coordinating/managing entity, and the DOE, that the review has commenced.

#### **8.2.2. Assessment**

250. The secretariat shall conduct an assessment of the request for issuance in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM) and the CDM requirements, taking into account the responses from the project participants or the coordinating/managing entity, and the DOE.
251. Concurrently and independently from the secretariat’s assessment referred to in paragraph 250 above, the RIT Team established in accordance with paragraph 244(c) above shall conduct an assessment of the request for issuance in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM), taking into account the responses of the project participants or the coordinating/managing entity, and the DOE.
252. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.
253. Both the secretariat and the RIT Team shall, in their assessment reports, include a proposed decision taking into account appendix 2. Each proposed decision shall suggest either to:
- (a) Issue the CERs; or
  - (b) Reject the request for issuance.



254. If a proposed decision is to reject the request for issuance, then the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
  - (b) The CDM requirements applied to the facts;
  - (c) The interpretation of the CDM requirements as applied to the facts.
255. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significant importance related to the policies and goals of the CDM arising from the assessment. The secretariat, in consultation with the Chair of the Board, shall bring these issues to the attention of the Board by preparing background notes and policy options and presenting them to the Board at its meetings.
256. The RIT Team shall submit its assessment report to the Board through the secretariat.
257. The secretariat shall inform the Board of the availability of each assessment report, and make each assessment report available to the Board, together with any responses from the project participants or the coordinating/managing entity, and the DOE, and any revision to the monitoring report, verification report and/or other relevant documentation.

### **8.2.3. Consideration by the Board**

258. If the assessment reports of the secretariat and the RIT Team contain the same proposed decision (i.e. both are to issue the CERs, or both are to reject the request for issuance), then the proposed decision shall become the final decision of the Board 20 days after the date when the availability of the assessment report of the secretariat or the RIT Team, whichever the later, was communicated to the Board, unless a member of the Board objects to the proposed decision.
259. 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 and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
260. If a member of the Board objects to the proposed decision 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.
261. If the assessment reports of the secretariat and the RIT Team contain different proposed decisions (i.e. one is to issue the CERs and the other is to reject the request for issuance) and the Board receives both proposed decisions more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise, the case shall be placed on the agenda of the subsequent Board meeting.
262. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, decide either to:
- (a) Issue the CERs; or
  - (b) Reject the request for issuance.

#### **8.2.4. Finalization and implementation of ruling**

263. If the Board's final decision made in accordance with paragraph 258 or 262 above is to issue the CERs, the Board shall instruct the CDM registry administrator to issue the specified quantity of CERs into the pending account of the Board in the CDM registry in the following manner:
- (a) For project activities other than CCS: in accordance with decision 3/CMP.1, annex, paragraph 66;
  - (b) For CCS project activities: in accordance with decision 10/CMP.7, annex, paragraph 21 which requires that for CCS project activities upon such issuance, the CDM registry administrator shall promptly:
    - (i) Forward the quantity of CERs corresponding to the share of proceeds to cover administrative expenses and to assist in meeting the costs of adaptation, respectively, to the appropriate accounts in the CDM registry for the management of the share of proceeds;
    - (ii) Forward 5 per cent of the CERs issued to a reserve account of the CDM registry, established for the CCS project activity for the purpose of accounting for any net reversal of storage;
    - (iii) Forward the remaining CERs to the registry accounts of the Parties and project participants involved, in accordance with their request.
264. The secretariat shall inform the project participants or the coordinating/managing entity of the Board's instruction to the CDM registry administrator and of any share of proceeds payable by the project participants or the coordinating/managing entity to cover administrative expenses of the CDM. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.
265. The project participants or the coordinating/managing entity shall pay the share of proceeds and instruct the CDM registry administrator on the distribution of the CERs using the "Certified emission reductions forwarding request form" (CDM-FWD-FORM). After receiving the share of proceeds and the instruction from the project participants or the coordinating/managing entity, the secretariat shall forward the CERs to the project participants or the coordinating/managing entity accordingly.
266. If the Board's final decision made in accordance with paragraph 258 or 262 above is to reject the request for issuance, the secretariat shall update the information on the UNFCCC CDM website accordingly on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the secretariat shall provide the Chair of the Board with an information note containing a proposed ruling incorporating the final decision.
267. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The CDM requirements applied to the facts;

- (c) The interpretation of the CDM requirements as applied to the facts.
268. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.
269. 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 and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
270. If a member of the Board objects to the proposed ruling 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.
271. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, finalize the ruling.
272. The secretariat shall publish a ruling note on the UNFCCC CDM website no later than three days after the ruling was finalized.
273. After the publication of the ruling note, the DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the ruling. Only one such request, regardless of the requesting party, shall be allowed per ruling. In this case, the DOE, or the project participants, or the coordinating/managing entity shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three days of receipt of the request. The secretariat shall record the call.
274. If the request for issuance is rejected in accordance with paragraph 258 or 262 above, the DOE may re-submit the request for issuance with revised documentation if the reasons for the rejection can be addressed by means of a revised verification report, based on a revised monitoring report as appropriate.

### **8.3. Withdrawal of request for issuance**

#### **8.3.1. Submission of request for withdrawal**

275. For the following cases, the DOE shall submit a request for withdrawal of a request for issuance by using the "Issuance request withdrawal form" (CDM-ISSW-FORM) and uploading it through a dedicated interface on the UNFCCC CDM website:
- (a) The project participants or the coordinating/managing entity voluntarily wish to withdraw the request for issuance for the specified monitoring period;<sup>10</sup>
  - (b) The DOE has revised its verification report and/or certification report based on new insights or information.

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<sup>10</sup> In such cases the DOE shall process the request expeditiously.

### **8.3.2. Processing request for withdrawal**

276. Upon receipt of the request for withdrawal of a request for issuance, the secretariat shall as soon as possible check the documents submitted, and if the request is complete, update the information in the project view page of the relevant project activity or PoA. If the DOE requests the withdrawal after the publication of the request for issuance was made in accordance with paragraph 233 above, the request for issuance shall be marked as “withdrawn”. The DOE may re-submit the request for issuance at any time.
277. If the project participants or the coordinating/managing entity wish to change the monitoring period covered by the monitoring report that corresponds to the withdrawn request for issuance, the DOE shall request the withdrawal of the published monitoring report in accordance with paragraph 214 above first, then publish and verify a revised monitoring report. If the final date of the changed monitoring period is after the date of the DOE's on-site inspection referred to in paragraph 213 above, the DOE shall undertake an additional on-site inspection; otherwise, the DOE shall decide whether a new on-site inspection is necessary in order to duly perform its verification. After the verification, the DOE may resubmit its request for issuance.

### **8.4. Addressing non-permanence in CCS project activities**

278. To address the non-permanence in CCS project activities, the monitoring of the geological storage site shall follow the criteria specified in section “Monitoring” for CCS project activities in the “CDM project standard”. The monitoring shall not be terminated earlier than 20 years after the end of the last crediting period of the CCS project activity or after the issuance of the CERs has ceased, whichever occurs first.
279. The monitoring of the geological storage site shall be conducted by the entity or Party that is liable for the geological storage site, or by an entity that is under contractual arrangement with the liable entity or Party.
280. A certification report submitted for a verification period after the end of the last crediting period shall not constitute a request for issuance but shall provide, where applicable, information on the amount of any net reversal of storage that occurred during the verification period as a result of seepage from the geological storage site of a CCS project activity.
281. The last certification report, submitted after the monitoring of the geological storage site has been terminated in accordance with the conditions for the termination of monitoring, as set out in section “Monitoring” of the “CDM project standard”, may constitute a request to forward any remaining CERs in the reserve account established for the purpose of accounting for any net reversal of storage to the registry accounts of the Parties and project participants involved.
282. Upon submission of the last certification report referred to in paragraph 281 above, and upon finalization of the consideration of the certification report by the Board, the CDM registry administrator shall promptly forward any CERs remaining in the reserve account established for the purpose of accounting for any net reversal of storage to the registry accounts of the Parties and project participants involved, in accordance with their request.

283. Where a verification report determines that a net reversal of storage occurred during the verification period as a result of seepage from the geological storage site of a CCS project activity, the Board shall:
- (a) Notify the CDM registry administrator to cancel, up to the amount of the net reversal of storage, the CERs issued for the CCS project activity held in the CDM registry:
    - (i) Firstly, from the reserve account established for the purpose of accounting for any net reversal of storage;
    - (ii) Secondly, from the pending account;
    - (iii) Finally, from the holding accounts of the project participants, proportional to the amount of CERs for the CCS project activity held in each holding account;
  - (b) Determine any outstanding amount of the net reversal of storage for which no CERs were cancelled under subparagraph (a) above and, where such amount is outstanding, request the project participants to transfer, within 30 days after the notification, the amount of AAUs, CERs, ERUs or RMUs equivalent to the outstanding amount to a cancellation account of the CDM registry established for this purpose or a cancellation account of the national registry of any Party.
284. Where a verification report is not submitted within the time frame specified in section “Verification and certification” for CCS project activities in the “CDM project standard”, the Board shall forthwith request the project participants to provide the outstanding verification report. If the verification report is not received within 180 days of receipt of the request by the project participants, the Board shall:
- (a) Instruct the CDM registry administrator to cancel all CERs that were issued for the CCS project activity and are being held in the CDM registry;
  - (b) Subsequently request the project participants to cancel, within one year after the request, the amount of AAUs, CERs, ERUs or RMUs equivalent to the amount of CERs issued from the start of the CCS project activity:
    - (i) Minus any AAUs, CERs, ERUs or RMUs that were transferred to a cancellation account for the purpose of compensating for a net reversal of storage, prior to the request to the CDM registry administrator referred to in paragraph 283(a) above;
    - (ii) Minus any CERs issued for the CCS project activity that were cancelled in accordance with paragraph 283(a) above.
285. If the project participants do not fully comply with the requirements set out in paragraphs 283 or 284(b) above, the outstanding amount of units shall be transferred to a cancellation account of the national registry of a Party included in Annex I to the Convention (Annex I Party) or the CDM registry, within one year of the request by the Board, by:
- (a) The host Party, if the host Party has accepted the obligation to address a net reversal of storage in such a situation in its letter of approval;

- (b) The Annex I Parties that hold CERs issued for the CCS project activity in accounts of their national registries, if the host Party has not accepted the obligation to address a net reversal of storage in such a situation in its letter of approval.
286. If the host Party has accepted the obligation to address a net reversal of storage in such a situation in its letter of approval, the Board shall determine the outstanding amount of units that must be cancelled and notify the host Party concerned of the requirement for cancellation. To meet this requirement, the host Party shall transfer the amount of AAUs, CERs, ERUs or RMUs equivalent to the outstanding amount to the cancellation account established for this purpose in the CDM registry or a cancellation account of the national registry of any Party.
287. If the host Party has not accepted the obligation to address a net reversal of storage in such a situation in its letter of approval, the Board shall:
- (a) Determine the outstanding amount of units that must be cancelled;
  - (b) Request the international transaction log administrator to identify the quantity of CERs issued for the CCS project activity held in each national registry, distinguishing between units in holding accounts and other accounts, for the current and previous commitment periods;
  - (c) Immediately notify the international transaction log that the CERs identified as being in holding accounts are ineligible for transfers other than for the purpose of the requirement set out in paragraph 285 above. When the requirement for cancellation, as set out in paragraph 285 above, has been satisfied, the CERs issued for the CCS project activity in holding accounts shall be again eligible for transfer;
  - (d) Determine the outstanding amount of units that must be cancelled by each Annex I Party proportionally, by dividing the amount identified in subparagraph (b) above by the total outstanding amount;
  - (e) Notify each Annex I Party that holds CERs issued for the CCS project activity in accounts of its national registry of the requirement of cancellation, as determined in subparagraph (d) above. To meet this requirement, the relevant Annex I Parties shall transfer the amount of AAUs, CERs, ERUs or RMUs equivalent to the outstanding amount to the cancellation account established for this purpose in the CDM registry or a cancellation account of their national registries.

## **9. Renewal of crediting period**

### **9.1. General requirements**

288. For PoAs, crediting period is defined only at the CPA level and for each specific-case CPA individually, while the PoA, as the framework, is to be renewed every seven years (every 20 years for A/R PoAs) maximum three times, i.e. maximum 28 years in total (maximum 80 years in total for A/R PoAs), by updating the PoA-DD including its generic CPA-DD part in accordance with the “CDM project standard”.
289. In section 9, “renew/renewal of crediting period of PoA” shall be read as “renew/renewal of PoA” in the context of PoAs.

290. The new crediting period shall start on the day immediately after the expiration of the current crediting period regardless of the date when the crediting period is deemed renewed in accordance with paragraph 308 below. However, if the notification of the intention to request a renewal of the crediting period was not received by the secretariat by 180 days prior to the date of expiration of the current crediting period in accordance with paragraph 291 below, and if the date when the renewal of crediting period is deemed renewed after the expiration of the current crediting period, the project participants or the coordinating/managing entity shall not be entitled to claim the issuance of CERs from the first day of the next crediting period until the last day before the renewal of crediting period is deemed renewed or until the number of days equivalent to the delay in the notification have elapsed since the notification submission deadline, whichever is earlier.

## **9.2. Notification of intention of renewal of crediting period**

291. The project participants or the coordinating/managing entity wishing to renew the crediting period of a registered CDM project activity or PoA shall notify the secretariat of the intention to renew the crediting period by sending the “Intention of renewing crediting period notification form” (CDM-RENN-FORM) and an updated PDD or PoA-DD to the secretariat by e-mail or through a dedicated interface on the UNFCCC CDM website, within 270 to 180 days prior to the date of expiration of the current crediting period. The secretariat shall make every effort to inform the project participants or the coordinating/managing entity in advance of the period for notifying the intention of renewing the crediting period in accordance with the registered modalities of communication. It remains the responsibility of project participants or the coordinating/managing entity to ensure that all actions are taken in accordance with the current section of this procedure in a timely manner.
292. The secretariat shall publish the notifications of the intention to renew the crediting period on the UNFCCC CDM website, stating the date when the notification was received.

## **9.3. Request for renewal of crediting period**

### **9.3.1. Submission of request for renewal of crediting period**

293. The project participants or the coordinating/managing entity shall update the PDD or PoA-DD including its generic CPA-DD part in accordance with the “CDM project standard”. In doing so, the project participants or the coordinating/managing entity shall ensure that any changes to the list of project participants in the PDD or PoA-DD have been notified to the secretariat in accordance with section 6.4 above.
294. The project participants or the coordinating/managing entity shall submit the updated PDD or PoA-DD to a DOE for its validation. For this purpose, the project participants or the coordinating/managing entity may not appoint a DOE that has performed a verification for the same project activity or PoA unless the project activity is a small-scale one or the DOE is authorized by the Board to do so in accordance with paragraphs 209–212 above.
295. If the updated PDD or PoA-DD cannot apply the baseline and monitoring methodology or methodological tool applied in the original PDD or PoA-DD because the registered project activity or PoA does not meet the applicability conditions of the valid version of

that methodology or methodological tool at the time of the submission of the request for renewal of the crediting period, or, if applicable, of the consolidated methodology, the project participants or the coordinating/managing entity may select another methodology or, request, through the DOE, a deviation from the methodology or methodological tool for the purpose of the renewal of the crediting period in accordance with section 4.7 above *mutatis mutandis*.

296. For renewal of a registered PoA, the coordinating/managing entity shall update the eligibility criteria for inclusion of CPAs in the PoA in accordance with the “CDM project standard”, and include them in new versions of the PoA-DD.
297. For the purpose of renewal of crediting period it is not necessary to obtain a new letter of approval from the Parties involved.
298. The DOE, after determining that the updated PDD or PoA-DD meets all relevant requirements in the “CDM project standard” by following the relevant provisions of the “CDM validation and verification standard” and other CDM requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for renewal of crediting period of the CDM project activity or PoA using the “Renewal of crediting period request form” (CDM-REN-FORM) together with the updated PDD or PoA-DD and a new validation report.
299. No fee is due for requests for renewal of crediting period.
300. For renewal of crediting period of CPAs in a registered CDM PoA, if the DOE issues a positive validation opinion on the renewal of crediting period of the CPA, it shall renew the crediting period of the CPA by submitting the CPA-DD to the Board by uploading it through a dedicated interface on the UNFCCC CDM website. Such uploads shall be grouped and shall not occur more frequently than once per month.
301. The crediting period of the CPA for which the DOE has uploaded the CPA-DD on the UNFCCC CDM website in accordance with paragraph 300 above will be automatically renewed after the expiration of its current crediting period and will be indicated so on the view page of the PoA. The DOE, the coordinating/managing entity and the DNA are automatically notified of the change in the status of the PoA.
302. For the review of erroneous renewal of crediting period of a CPA, the provisions in section 6.1.2 above shall apply.

#### **9.3.2. Processing of request for renewal of crediting period**

303. For processing of the request for renewal of crediting period, the provisions in section 5.1.2 above shall apply *mutatis mutandis*.

#### **9.3.3. Requesting review of request for renewal of crediting period**

304. A Party involved in the CDM project activity or PoA and/or any member of the Board may request a review of the request for renewal of crediting period within 28 days after the date of publication of the request for renewal of crediting period. If a Party involved wishes to request a review, the relevant DNA shall send the request by e-mail to the secretariat, using the “Renewal of crediting period request review form” (CDM-REN-R-FORM). If a member of the Board wishes to request a review, he/she shall communicate



the request to the Board through the secretariat, using the “Renewal of crediting period request review form” (CDM-RENR-FORM) and in accordance with appendix 2.

- 305. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.
- 306. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the 28-day period following the publication of the request for renewal of crediting period.
- 307. A request for review shall provide, inter alia, the reasons for the request for review based on the “CDM project standard”, “CDM validation and verification standard” or any other applicable CDM requirements.

#### **9.3.4. Finalizing request for renewal of crediting period**

- 308. The crediting period of the registered CDM project activity or PoA shall be deemed renewed 28 days after the publication of the request for renewal of crediting period on the UNFCCC CDM website, unless a Party involved or at least three members of the Board request a review of the request for renewal of crediting period, in which case, the crediting period is deemed renewed on the day when the Board adopted the relevant decision.

#### **9.4. Review of request for renewal of crediting period**

- 309. For reviews of the request for renewal of crediting period, the provisions in section 5.2 above shall apply mutatis mutandis.

#### **9.5. Withdrawal of the request for renewal of crediting period**

- 310. At any time before the decision of the Board on the request for renewal of crediting period, the project participants or the coordinating/managing entity, through the DOE, may request for withdrawal of the request for renewal of crediting period by submitting the request to the secretariat using the “Renewal of crediting period request withdrawal form” (CDM-RENW-FORM). If the DOE requests the withdrawal after the publication of the request for renewal of crediting period, the secretariat shall mark the request for renewal of crediting period on the UNFCCC CDM website as “withdrawn”.
- 311. For withdrawals of the request for renewal of crediting period, the provisions in section 5.3 above shall apply mutatis mutandis.

#### **9.6. Submission of request for post-registration changes together with request for renewal of crediting period**

- 312. The project participants or the coordinating/managing entity may combine a request for approval of any types of changes to the project activity, PoA or specific-case CPA listed in paragraph 148 above with the request for renewal of crediting period, so that the changes proposed can be effective as from the first day of the next crediting period. In this case, the DOE contracted for this purpose shall submit the following documentation:
  - (a) A duly completed “Post-registration changes request form” (CDM-PRC-FORM);

- (b) A duly completed “Renewal of crediting period request form”(CDM-REN-FORM);
  - (c) A revised PDD, or revised PoA-DD with its generic CPA-DD part, and specific-case CPA-DD (in both clean and track-change versions), as applicable;
  - (d) A validation report on the changes and on the renewal of crediting period request prepared by the DOE in accordance with the “CDM validation and verification standard”;
  - (e) Letters of approval by the DNAs of the added host Parties in the CDM PoA, as applicable;
  - (f) Supplemental documentation, as appropriate.
313. If a request for approval of changes for the changes expected in the next crediting period is not combined with a request for renewal of crediting period, the latter request shall be approved by the Board before the former request may be submitted.
314. The combined request shall be processed in accordance with the provisions in sections 9.3 and 9.4 above, *mutatis mutandis*.
315. The decision of the Board shall be to:
- (a) Approve the renewal of crediting period with all requested post-registration changes;
  - (b) Approve the renewal of crediting period without any of the requested post-registration changes; or
  - (c) Reject the renewal of crediting period.
316. If the Board’s decision is in accordance with paragraph 315(b) above, the project participants or the coordinating/managing entity shall, through the DOE, submit an updated PDD or PoA-DD and CPA-DD(s), and the DOE shall confirm that the PDD or the PoA-DD and CPA-DD(s) have been correctly updated.
317. No monitoring report may be published for the renewed crediting period until the DOE submits to the secretariat the updated PDD or PoA-DD and its confirmation in accordance with paragraph 316 above.

## **10. Voluntary deregistration of project activity**

### **10.1. Submission of request for deregistration**

318. The project participants of a registered CDM project activity may submit, at any time after the registration, through the focal point for scope (c), a request for deregistration of the project activity to the secretariat through a dedicated e-mail account made available on the UNFCCC CDM website, using the “Project activity deregistration request form” (CDM-DREG-FORM).
319. When submitting the request for deregistration, the project participants shall also submit the following:
- (a) Written agreement of all project participants on the deregistration;

- (b) Written no-objection of the DNAs of all Parties involved in the deregistration.

## **10.2. Processing of request for deregistration**

320. The secretariat shall, as soon as possible, and in any case striving to do so within five days of receipt of the request, conduct a completeness check of the documents submitted.
321. If the secretariat, during the completeness check, identifies missing documents and/or information, it shall request the project participants by e-mail to submit the missing or revised documents and/or information. In this case, the project participants shall submit the requested documents and/or information. Once the project participants submit the requested documents and/or information, the secretariat shall resume processing the request.
322. Upon conclusion of the completeness check, the secretariat shall notify the project participants of the conclusion of the completeness check and publish the request for deregistration on the UNFCCC CDM website. The request for deregistration shall be deemed received by the Board.
323. The secretariat shall promptly send the request submission to the Board and mark the project activity as “deregistered” on the UNFCCC CDM website.

## **10.3. Effects of deregistration<sup>11</sup>**

324. The effective date of deregistration shall be the date when the secretariat received complete submission of the request for deregistration.
325. A DOE may publish a monitoring report in accordance with section 7.1 above, or submit a request for issuance in accordance with section 8.1.1 above, for the deregistered project activity for the period prior to the effective date of deregistration.
326. The secretariat, acting as the CDM registry administrator, shall forward CERs issued in respect of emission reductions or removal enhancements achieved prior to the effective date of deregistration in accordance with forwarding requests, the modalities of communication and the “CDM project standard” and this procedure.
327. A DOE shall not make any monitoring report publicly available for a period that includes any date that is on or after the effective date of deregistration. The secretariat, acting as the CDM registry administrator, shall not issue CERs for the deregistered project activity for the period from the effective date of deregistration.
328. The registration fee, even if there is any positive balance left after deduction of the share of proceeds for issued CERs for the project activity, shall not be reimbursed.

## **10.4. Administration period**

329. During the period from the effective date of deregistration until the date that is three calendar years later:

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<sup>11</sup> For related information, see EB 81 report, paragraph 79.

- (a) The secretariat shall communicate with project participants and Parties involved in order to assist them to settle outstanding matters in relation to the deregistered project activity, including the completion of all issuance requests and forwarding requests in respect of emission reductions or removal enhancements achieved prior to the effective date of deregistration and such other steps as are necessary to ensure the completion of outstanding matters in relation to the deregistered project activity;
- (b) Each project participant may, after the effective date of deregistration, where necessary, be treated as if it were still a project participant by the Board and secretariat for the purposes of the “CDM project standard” and this procedure in order to allow the secretariat to process instructions relating to emission reductions or removal enhancements achieved prior to the effective date of deregistration from such project participant(s) in relation to the deregistered project activity;
- (c) Any of the project participants of, and Parties involved in, the deregistered project activity may communicate with the secretariat using the e-mail address <cdm-registry@unfccc.int> for the purpose of clarifying the effect of the deregistration.

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## Appendix 1. Fee

### 1. Background

1. The fee schedule set forth in this appendix is adopted in accordance with decisions 4/CMP.1, annex II, paragraph 21; 6/CMP.1, annex, paragraph 13; 7/CMP.1, paragraph 37; 2/CMP.3, paragraph 31; and 2/CMP.5, paragraph 47.
2. This appendix contains the rules that apply to project activities and PoAs and establishes specific rules applicable to afforestation and reforestation (A/R) project activities and programmes of activities (PoAs).

### 2. Share of proceeds and registration fee

3. The share of proceeds to cover administrative expenses for project activities and PoAs is:
  - (a) USD 0.10 per certified emission reduction (CER) issued for the first 15,000 tonnes of CO<sub>2</sub> equivalent for which issuance is requested in a given calendar year;
  - (b) USD 0.20 per CER issued for any amount in excess of 15,000 tonnes of CO<sub>2</sub> equivalent for which issuance is requested in a given calendar year;
  - (c) No share of proceeds shall be due for project activities and PoAs hosted in least developed countries. In the case of PoAs hosted not exclusively in least developed countries, the exemption from the share of proceeds applies to the issuance of CERs for the emission reductions occurring in component project activities (CPAs) hosted in least developed countries. The application of this exemption from the share of proceeds shall be based on the status of the country on the date of the publication of the request for issuance of CERs.
4. The registration fee for a project activity shall be the share of proceeds applied to the expected average annual CERs for the proposed project activity over its crediting period, as identified in the project design document (PDD) and as validated by the designated operational entity (DOE).
5. The registration fee for a PoA shall be the share of proceeds applied to the total expected average annual CERs of the specific-case CPA(s) submitted together with the request for registration of the PoA. The average annual emission reductions for each specific-case CPA are calculated over its crediting period. For each CPA which is included subsequently, no registration fee is to be paid. Fees are to be paid by the coordinating/managing entity to the secretariat.
6. Upon re-submission of a request for registration directly following a determination by the secretariat that the submission is incomplete, no registration fee shall be payable unless the re-submission results in an increase in the expected average annual CERs for the proposed project activity, or for the "actual case" CPA submitted together with the request for registration of the PoA, over its crediting period. If the re-submission results in an increase in the expected average annual CERs, then the registration fee due shall be re-calculated upon re-submission. The registration fee due upon re-submission shall

be the difference between the re-calculated registration fee and the registration fee previously paid.

7. The maximum registration fee payable based on this calculation shall be USD 350,000.
8. No registration fee shall be payable for proposed project activities, or proposed PoAs with the specific-case CPA submitted together with the request for registration of the PoA, with expected average annual CERs over its crediting period, below 15,000 tonnes of CO<sub>2</sub> equivalent.
9. No registration fee shall be payable for proposed project activities or PoAs hosted exclusively in least developed countries. The registration fee for PoAs hosted not exclusively in least developed countries shall be based on the sum of expected average annual CERs of specific-case CPAs that are not hosted in a least developed country. The application of this exemption shall be based on the status of the country on the date of the publication of the request for registration.
10. No registration fee shall be payable until after the date of the first issuance of CERs in countries with fewer than 10 registered clean development mechanism (CDM) project activities. PoAs hosted in these countries shall also be counted towards the calculation of the 10 registered CDM project activities.<sup>1</sup> The application of this exemption shall be based on the number of registered CDM project activities in the country on the date of the submission of the request for registration.
11. The registration fee shall be reimbursed in full if the DOE withdraws the request for registration of the proposed project activity or PoA prior to the date when the secretariat publishes the request for registration on the UNFCCC CDM website.
12. Any portion in excess of USD 30,000 of the registration fee shall be reimbursed if the DOE withdraws the request for registration of the proposed project activity or PoA subsequent to the date when the secretariat publishes the request for registration on the UNFCCC CDM website, or if the Board rejects the request for registration of the proposed project activity or PoA. Should the registration fee be USD 30,000 or less, no reimbursement shall be made in these cases.
13. The registration fee shall be deducted from the share of proceeds due for the issuance of CERs. In effect, the registration fee is an advance payment of the share of proceeds due for the issuance of CERs likely to be achieved during the first year.
14. No reimbursement of the registration fee shall be made in any circumstances.

### **3. Specific provisions for afforestation/reforestation project activities**

15. For the purpose of calculating the registration fee for proposed A/R project activities or A/R PoAs, CERs shall mean the net greenhouse gas (GHG) removals by sinks. Paragraphs 16–18 below shall apply instead of paragraphs 3 and 5 of this appendix.
16. The share of proceeds to cover administrative expenses for A/R project activities and PoAs shall be calculated based on one of the following:

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<sup>1</sup> PoAs hosted in more than one country will count as one CDM project activity in each of the countries where it is hosted; host Parties added to the PoA post-registration will also be considered for the calculation.

- (a) If the selected approach for addressing non-permanence is Temporary CERs (tCERs), the share of proceeds is based on the difference between the tCERs for which issuance is requested for a given verification period and the highest amount of tCERs previously issued in a verification period;
  - (b) If the selected approach for addressing non-permanence is Long-Term CERs (ICERs), the share of proceeds is based on the difference between the ICERs for which issuance is requested for a given verification period added to the sum of all previous issuances and reversals,<sup>2</sup> and the highest among the sums of the issuances and reversals since the start of the project calculated for each previous verification period.
- 17. The share of proceeds to cover administrative expenses for A/R project activities is due only if the amount calculated according to paragraph 16 above is positive. In that case, the share of proceeds is calculated follows:
  - (a) USD 0.10 for the first 15,000 t CO<sub>2</sub> equivalent;
  - (b) USD 0.20 in excess of 15,000 t CO<sub>2</sub> equivalent.
- 18. The registration fee shall be calculated based on the expected average annual net GHG removals by sinks for the project activity over its crediting period:
  - (a) USD 0.10 per expected average annual net GHG removals by sinks for the first 15,000 t CO<sub>2</sub> equivalent;
  - (b) USD 0.20 per expected average annual net GHG removals by sinks for any amount in excess of 15,000 t CO<sub>2</sub> equivalent.

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<sup>2</sup> All reversals mentioned are negative numbers.

## **Appendix 2. Requesting review and making decisions and objections regarding review assessments**

### **1. Background**

1. The purpose of this appendix is to provide the Executive Board of the clean development mechanism (hereinafter referred to as the Board) with a framework to maintain the consistency and objectivity of its decisions and rulings and to provide greater transparency to clean development mechanism (CDM) stakeholders regarding the criteria applied by the Board in deciding upon case specific matters related to registration and issuance.
2. This appendix also serves to provide direction to the secretariat and members of the Registration and Issuance Team (RIT) in performing assessments and making recommendations as required by the relevant provisions in this procedure.
3. This appendix replaces the “Guidelines for requesting a review and making decisions and objections regarding review assessments” (EB 59 report, annex 14).

### **2. Authorization of alternate member**

4. In cases where a member of the Board is unable to carry out his or her functions for a period of time, he/she may decide to delegate the authority to request reviews, object to assessments and object to proposed rulings to his/her alternate member. This delegation of authority shall be for a defined period of time to be notified by the member to the Secretary to the Board. All Board members shall be informed of this delegation of authority via the Board listserv. To simplify the text in the following sections of this appendix, “member(s) of the Board” includes alternate members duly authorized in this manner, unless “alternate members of the Board” is explicitly mentioned.

### **3. Requesting a review**

#### **3.1. General**

5. In accordance with paragraphs 90, 237 and 304 of this procedure, any members of the Board may request a review of any request for registration, issuance or renewal of crediting period.
6. In accordance with paragraphs 89, 236 and 303 of this procedure, the Board may be provided by the secretariat with a summary note on the request for registration, issuance or renewal of crediting period for its consideration of the request. It remains the responsibility of individual members of the Board to determine whether a request for review is appropriate.

#### **3.2. Grounds for requesting a review**

7. It is expected that members of the Board will request a review when the request for registration, issuance or renewal of crediting period would raise the concern of a reasonable reader regarding whether the proposed project activity or programme of



activity (PoA), or registered CDM project activity or PoA for the new crediting period, complies with the applicable CDM rules and requirements.

8. A request for review would imply that the information contained in the request for registration, issuance or renewal of crediting period does not demonstrate that the project activity or PoA meets the applicable CDM rules and requirements for registration, issuance or for the new crediting period, respectively. It is therefore expected that members of the Board would be specific regarding the nature of the concern and, where appropriate, include references to the source of the concern within the submitted documentation.

#### **4. Matters to be considered in taking decisions regarding a review**

##### **4.1. General**

9. In considering a request for review of request for registration, issuance or renewal of crediting period, the Board will only consider the information contained in the request for registration, issuance or renewal of crediting period, including any responses by the designated operational entity (DOE) or the project participants, a summary note prepared by the secretariat, assessment reports prepared by the secretariat and the RIT Team, and the applicable CDM rules and requirements.

##### **4.2. Requests for registration**

10. In accordance with paragraph 115 of this procedure, the Board shall, at its meeting where the case of request for registration is placed on the agenda, decide on the registration.
11. The Board shall reject the request for registration of the proposed project activity or PoA in situations where the request for registration does not contain sufficient information to demonstrate to a reasonable reader that the proposed project activity or PoA complies with the applicable CDM rules and requirements for the registration of proposed project activities or PoAs.
12. The Board shall reject the request for registration if it:
  - (a) Contains information which indicates that the proposed project activity or PoA does not comply with the applicable requirements;
  - (b) Contains information which indicates that the validation activity has not been conducted in a manner that complies with the relevant requirements of either the “CDM accreditation standard” or the “CDM validation and verification standard”;
  - (c) Contains contradictory facts regarding the compliance of the proposed project activity or PoA with the applicable CDM rules and requirements;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the project design document (PDD), but without evidence regarding whether or how such facts have been validated.

13. The reason for rejection of a request for registration should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for registration when the response(s) by the DOE or the project participants to the request for review raise(s) new critical concern(s) of the Board regarding whether the request for registration complies with other applicable CDM rules and requirements to register the proposed project activity or PoA. Prior to rejecting a request for registration based on exceptional circumstances, the Board may, at its prerogative, have a teleconference with the DOE and/or project participant(s) during the Board meeting at which it considers the request for registration, in an attempt to clarify the concern(s).

#### **4.3. Requests for issuance**

14. In accordance with paragraph 262 of this procedure, the Board shall, at its meeting where the case of request for issuance is placed on the agenda, decide on the issuance.
15. The Board shall reject the request for issuance in situations where the request for issuance does not contain sufficient information to demonstrate to a reasonable reader that the request for issuance complies with the applicable CDM rules and requirements for the issuance of certified emission reductions (CERs).
16. The Board shall reject the request for issuance if it:
  - (a) Contains information which indicates that the project activity or PoA has not complied with the applicable requirements for operating and monitoring registered CDM project activities or PoAs;
  - (b) Contains information which indicates that the verification activity has not been conducted in a manner that complies with the relevant requirements of either the "CDM accreditation standard" or the "CDM validation and verification standard";
  - (c) Contains contradictory facts regarding the compliance of the monitoring or operation of the CDM project activity or PoA with the applicable CDM rules and requirements;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the monitoring report, but without evidence regarding whether or how such facts have been verified.
17. The reason for rejection of a request for issuance should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for issuance when the response(s) by the DOE or the project participants to the request for review raises new critical concern(s) of the Board regarding whether the request for issuance complies with other applicable CDM rules and requirements for the issuance of CERs. Prior to rejecting a request for issuance based on exceptional circumstances, the Board may, at its prerogative, have a teleconference with the DOE and/or project participant(s) during the Board meeting at which it considers the request for issuance, in an attempt to clarify the concern(s).

#### **4.4. Requests for renewal of crediting period**

18. In accordance with paragraph 115 effected by paragraph 309 of this procedure, the Board shall, at its meeting where the case of request for renewal of crediting period is placed on the agenda, decide on the renewal of crediting period.
19. The Board shall reject the request for renewal of crediting period in situations where the request for renewal of crediting period does not contain sufficient information to demonstrate to a reasonable reader that the registered CDM project activity or PoA complies with the applicable CDM rules and requirements for the registration of project activities or PoAs for the new crediting period.
20. The Board shall reject the request for renewal of crediting period if it:
  - (a) Contains information which indicates that the registered CDM project activity or PoA does not comply with the applicable requirements for the new crediting period;
  - (b) Contains information which indicates that the validation activity has not been conducted in a manner that complies with the relevant requirements of either the “CDM accreditation standard” or the “CDM validation and verification standard”;
  - (c) Contains contradictory facts regarding the compliance of the registered CDM project activity or PoA with the applicable CDM rules and requirements in the new crediting period;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the updated PDD, or new PoA design document (PoA-DD) and its new generic component project activity design document (CPA-DD) part, but without evidence regarding whether or how such facts have been validated.
21. The reason for rejection of a request for registration should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for renewal of crediting period when the response(s) by the DOE or the project participants to the request for review raise(s) new critical concern(s) of the Board regarding whether the request for renewal of crediting period complies with other applicable CDM rules and requirements to renew the crediting period of registered CDM project activities or PoAs. Prior to rejecting a request for renewal of crediting period based on exceptional circumstances, the Board may, at its prerogative, conduct a teleconference with the DOE and/or project participant(s) during the Board meeting at which it considers the request for renewal of crediting period, in an attempt to clarify the concern(s).

#### **5. Objections to proposed decisions in assessments**

22. In accordance with paragraphs 112 and 259 of this procedure, any members of the Board may object to a proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team regarding the request for registration or issuance under review.

23. It is expected that members of the Board will only object to a proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team in situations where both assessments:
- (a) Did not consider a fact (or set of facts) that, if considered, would result in different proposed decision;
  - (b) Contain an erroneous finding of fact (or set of facts) that, if corrected, would result in a different proposed decision;
  - (c) Contain an unreasonable interpretation of an applicable CDM rule or requirement that, if corrected, would result in a different proposed decision; or
  - (d) Contain an unreasonable application of an applicable CDM rule or requirement to the facts that, if corrected, would result in a different proposed decision.

## **6. Objections to proposed rulings**

24. In accordance with paragraphs 120 and 269 of this procedure, any members of the Board may object to a proposed ruling prepared by the secretariat subsequent to a decision by the Board to reject a request for registration or issuance.
25. It is expected that members of the Board will only object to the proposed ruling prepared by the secretariat in the following situations:
- (a) The proposed ruling does not contain a sufficient basis or explanation for the decision contained in the ruling; and
  - (b) The ruling differs from the assessment that formed the basis of the decision. These differences include the following:
    - (i) The findings of fact;
    - (ii) The interpretation of an applicable CDM rule or requirement;
    - (iii) The application of a CDM rule or requirement as applied to the facts.

## **7. Consideration of review cases at Board meetings**

### **7.1. Consideration of reviews placed on the agenda without objection**

26. In accordance with paragraphs 114 and 261 of this procedure, if the proposed decisions contained in the assessment reports prepared by the secretariat and the RIT Team differ, the case shall be considered at a Board meeting.
27. The Board should apply the following process to its consideration of the case:
- (a) First, the secretariat will present whichever assessment has recommended the rejection of the proposed project activity or PoA, outlining the requirement being questioned and the facts considered in the assessment;
  - (b) Members and alternate members of the Board may seek clarifications regarding the facts and evidence contained in the relevant request for registration or issuance, including the response by the DOE or the project participants to the request for review; and the applicable requirements;

- (c) Once members of the Board have received the necessary clarifications the Chair of the Board should invite its members and alternate members to express their opinions regarding the recommendation;
- (d) On the basis of the opinions expressed the Chair of the Board shall propose to the Board either to accept the recommendation or not;
- (e) If consensus with the Chair's proposal is not achieved, the Chair of the Board may proceed to seek adoption of a decision via a vote in accordance with the "Rules of procedure of the Executive Board of the clean development mechanism".

## **7.2. Consideration of reviews placed on the agenda due to an objection**

- 28. In accordance with paragraphs 113 and 260 of this procedure, if a member of the Board objects to the proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team, the case shall be considered at a Board meeting.
- 29. The Board should apply the following process to its consideration of the case:
  - (a) First, the member(s) of the Board who made an objection should present the reasons for the objection, making reference to the additional facts or interpretations relied on beyond the assessments;
  - (b) Members and alternate members of the Board may seek clarifications regarding the presentation;
  - (c) The secretariat may provide any clarifications of the facts and evidence contained in the relevant request for registration or issuance, including the response by the DOE or the project participants to the request for review; and the applicable requirements;
  - (d) Once members have received the necessary clarifications the Chair of the Board should invite its members and alternate members to express their opinion regarding the objection;
  - (e) After this discussion, the Chair of the Board shall determine and propose to the Board whether the objection should be further considered;
  - (f) If consensus with the Chair's proposal is not achieved, the Chair of the Board may proceed to seek adoption of a decision via a vote in accordance with the "Rules of procedure of the Executive Board of the clean development mechanism".

## **7.3. Consideration of objections to proposed rulings at Board meetings**

- 30. In accordance with paragraphs 122 and 271 of this procedure, the Board shall, at its meeting where the case of a proposed ruling is placed on the agenda, finalize the ruling.
- 31. The Board should apply the following process to its consideration of the case:
  - (a) First, the member(s) of the Board who made an objection should present the reasons for the objection, making reference to the precise areas of concern within the draft and proposing an alternative;

- (b) Members and alternate members may seek clarifications regarding the presentation;
- (c) The secretariat may provide any clarifications of a factual nature;
- (d) Once members have received the necessary clarifications the Chair of the Board should invite its members and alternate members to express their opinion regarding the objection;
- (e) After this discussion, the Chair of the Board shall determine and propose to the Board whether the objection should be accounted for in the final revision;
- (f) If the objection is upheld by the Board, the Chair of the Board shall request the secretariat to revise the ruling for adoption at the same meeting of the Board.

### **Appendix 3. Baseline and monitoring methodologies indicating potential accrual of negative emission reductions**

1. The baseline and monitoring methodologies that indicate potential accrual of negative emission reductions and are therefore subject to conditions in the submission of requests for issuance for PoAs as referred to in paragraph 224 of this procedure are the following:
  - (a) ACM0005 Increasing the blend in cement production;
  - (b) ACM0017 Production of biodiesel for use as fuel;
  - (c) ACM0006 Consolidated methodology for electricity and heat generation from biomass;
  - (d) ACM0018 Electricity generation from biomass residues in power-only plants;
  - (e) ACM0020 Co-firing of biomass residues for heat generation and/or electricity generation in grid connected power plants;
  - (f) AM0036 Fuel switch from fossil fuels to biomass residues in heat generation equipment;
  - (g) AM0061 Methodology for rehabilitation and/or energy efficiency improvement in existing power plants;
  - (h) AM0094 Distribution of biomass based stove and/or heater for household or institutional use;
  - (i) ACM0022 Alternative waste treatment processes;
  - (j) AM0057 Avoided emissions from biomass wastes through use as feed stock in pulp and paper, cardboard, fibreboard or bio-oil production;
  - (k) AM0108 Interconnection between electricity systems for energy exchange;
  - (l) Any other methodologies that include specific provisions under the section “project activity under a programme of activities”.

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## Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
09.0	20 February 2015	<p>EB82, Annex 15</p> <p>Revision to:</p> <ul style="list-style-type: none"> <li>• Reflect decision 4/CMP.10 on voluntary deregistration of CDM project activities;</li> <li>• Add a reference to a form for notifying the change of coordinating/managing entity;</li> <li>• Make a correction to the rule on the maximum number of specific-case CPA-DDs that may be published at the time of global stakeholder consultation, to reflect the agreement at EB 81;</li> <li>• Make editorial improvement.</li> </ul>
08.0	28 November 2014	<p>EB81, Annex 36</p> <p>Revision includes:</p> <ul style="list-style-type: none"> <li>• Clarification of information to be included in prior consideration of the CDM and removal of exemption of notification of prior consideration;</li> <li>• Elaboration of rules for cases where various changes have occurred after the publication of the PDD or PoA-DD for global stakeholder consultation;</li> <li>• Introduction of opportunity for direct communication for rejected cases of requests for registration, issuance and renewal of crediting period;</li> <li>• Introduction of process allowing withdrawal of published monitoring report;</li> <li>• Streamlining of the process and requirements for withdrawal and resubmission of request for issuance;</li> <li>• Clarification of continuity of crediting periods and consequence where notification of intention to renew the crediting period is delayed;</li> <li>• Introduction of process allowing combining the submission of post-registration changes and request for renewal of crediting period;</li> <li>• Restructuring of section on renewal of crediting period;</li> <li>• Elaboration of the process for handling requests for approval of the same DOE doing both validation and verification for the same project activity or PoA;</li> <li>• Change of the rule for determining effective registration date;</li> <li>• Improvement of global and local stakeholder consultation processes;</li> <li>• Allowing the delayed validation of monitoring plan;</li> <li>• Introduction of the process for voluntary exclusion of CPAs;</li> <li>• Changes to the rules on PoAs (more flexible batched issuance requests, increased (unlimited) number of specific-case CPAs that may be submitted at the time of</li> </ul>



Version	Date	Description
		request for registration or post-registration change, exemption from prior approval by the Board on the application of multiple methodologies under certain conditions).
		This document, along with the “CDM project standard” (CDM-EB65-A05-STAN) and the “CDM validation and verification standard” (CDM-EB65-A04-STAN), supersedes and replaces the following documents on the date when these three documents above enter into force:
		<ul style="list-style-type: none"> <li>• Amendment to version 07.0 of the CDM project standard (CDM-EB80-A04-AMEN)</li> <li>• Amendment to version 07.0 of the CDM validation and verification standard (CDM-EB80-A05-AMEN)</li> <li>• Amendment to version 07.0 of the CDM project cycle procedure” (CDM-EB80-A06-AMEN)</li> <li>• Standard for application of the global warming potentials to clean development mechanism project activities and programmes of activities for the second commitment period of the Kyoto protocol (version 01.0) (EB 69 report, annex 3)</li> <li>• Further guidance related to the registration fee for proposed A/R clean development mechanism project activities (EB 36 report, annex 21)</li> <li>• Clarification: Validation of informing about the progress of a project activity after notification of prior consideration of the CDM (CDM-EB73-A15-CLAR)</li> <li>• Clarification: Verification of reporting of the status of registered project activity or programme of activities (CDM-EB77-A13-CLAR)</li> <li>• Clarification: Implementation of the prior consideration of the CDM requirement in the absence of the host Party DNA (CDM-EB72-A05-CLAR)</li> <li>• Clarification: Host Party for project activities and bundled project activities (CDM-EB70-A38-CLAR)</li> <li>• Clarification: Validation of post-registration changes and verification by the same DOE for the same project activity or programme of activities (CDM-EB77-A12-CLAR)</li> </ul>
07.0	1 June 2014	<p>EB 79, Annex 5</p> <p>The document title has changed from “<i>Clean development mechanism project cycle procedure</i>” to “<i>CDM project cycle procedure</i>”. Revision also includes provisions on standardized baselines and batched issuance requests for a PoA.</p>
06.0	11 April 2014	Revision to incorporate the amendment to the requirements for carbon dioxide capture and storage in CDM-EB78-A05.
05.0	4 October 2013	<p>Revision to incorporate the amendment to the requirements for programme of activities in CDM-EB75-A06 which includes:</p> <ul style="list-style-type: none"> <li>• To enable two issuance requests for the same monitoring period;</li> <li>• To eliminate the requirement of minimum 90 days period</li> </ul>

<i>Version</i>	<i>Date</i>	<i>Description</i>
		between two issuance requests.
04.0	29 July 2013	Revision to incorporate the amendment in CDM-EB74-A11 which includes: <ul style="list-style-type: none"> <li>• Integration of clarification CDM-EB72-A06-CLAR;</li> <li>• Clarification on the eligible post registration changes in the context of PoAs and CPAs;</li> <li>• Clarification on the fee schedule;</li> </ul>
03.2	1 April 2013	Editorial revision to replace the expired procedures with <i>“Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools”</i> (CDM-EB70-A36-PROC) in paragraphs 18, 36, 37, 54, 55, 59, and 115.
03.1	3 December 2012	Editorial changes at paragraphs 12, 14(b) and 137.
03.0	23 November 2012	EB 70, Annex 4 Revision to reflect revised requirements for PoAs.
02.0	2 March 2012	EB 66, Annex 64 Revision to: <ul style="list-style-type: none"> <li>• Add a clarification on the necessity of publishing a revised PDD or PoA-DD for global stakeholder consultation if the project participants wish to change an approved baseline and monitoring methodology applied in the PDD or PoA-DD published already;</li> <li>• Add a provision on the extension of the validity period of the methodology applied in a request for registration for the re-submission of a request for registration, based on the related provision in the “Guidelines on completeness check of requests for registration”, which has been withdrawn;</li> <li>• Correct or modify the titles of referred documents.</li> </ul>
01.0	25 November 2011	EB 65, Annex 32 Initial adoption. This document, along with the “Clean development mechanism project standard” and the “Clean development mechanism validation and verification standard”, supersedes and replaces the following documents on the date when these three document above enter into force: <ul style="list-style-type: none"> <li>• Clean development mechanism validation and verification manual (version 01.2);</li> <li>• Procedures for requesting post-registration changes to the start date of the crediting period (version 02.0);</li> <li>• Procedures for modalities of communication between project participants and the Executive Board (version 01.0);</li> <li>• Procedures for registration of a programme of activities as a single CDM project activity and issuance of certified emission reductions for a programme of activities (version 04.1);</li> <li>• Procedures for processing and reporting on validation of CDM project activities (version 03.0);</li> </ul>

<i>Version</i>	<i>Date</i>	<i>Description</i>
		<ul style="list-style-type: none"> <li>• Procedures for requests to the Executive Board for deviation from an approved methodology (version 01.0);</li> <li>• Procedures for approval of the application of multiple methodologies to a programme of activities (version 01.0);</li> <li>• Procedure for requests for registration of proposed CDM project activities (version 2.0);</li> <li>• Procedures for review of erroneous inclusion of a CPA (version 03.0);</li> <li>• Procedures for withdrawal of a request for registration (version 01.0);</li> <li>• Procedure for review of requests for registration (version 01.2);</li> <li>• Procedures for renewal of the crediting period of a registered CDM project activity (version 06.0);</li> <li>• Making the monitoring report available to the public in accordance with § 62 of the modalities and procedures for the CDM (version 01.0);</li> <li>• Procedure for requests for issuance of CERs (version 01.2);</li> <li>• Procedures for withdrawal of a request for issuance of certified emission reductions (version 01.0);</li> <li>• Procedure for review of requests for issuance of CERs (version 01.3);</li> <li>• Procedures for notifying and requesting approval of changes from the project activity as described in the registered PDD (version 01.0);</li> <li>• Procedures for revising monitoring plans in accordance with paragraph 57 of the modalities and procedures for the CDM (version 02.0);</li> <li>• Procedures for requests for deviation prior to submitting request for issuance (version 01.0);</li> <li>• Guidelines on the demonstration and assessment of prior consideration of the CDM (version 04.0);</li> <li>• Guidelines on the registration fee schedule for proposed project activities under the clean development mechanism (02.0);</li> <li>• Guidelines for requesting a review and making decisions and objections regarding review assessments (version 02.0);</li> <li>• Clarification regarding the “Procedures for registration of a programme of activities as a single CDM project activity and issuance of certified emission reductions for a programme of activities (version 01.0);</li> <li>• Form to submit request for revision of monitoring plan (F-CDM-REVMP) (version 01.0);</li> <li>• Form for submission of requests for deviation prior to submitting request for issuance (F-CDM-DEV-ISS) (version 01.0).</li> </ul>

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