

**CDM-EB99-AA-A05**

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# Revision of CDM regulatory documents regarding post-registration changes to CDM project activities and PoAs

Version 01.0



**United Nations**  
Framework Convention on  
Climate Change

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## **1. Amendment to CDM regulatory documents to introduce restrictions on post-registration changes**

1. This document contains the amendment to the following CDM regulatory documents:
  - (a) “CDM project standard for project activities” (PS-PA) (version 01.0) (CDM-EB93-A04-STAN);
  - (b) “CDM validation and verification standard for project activities” (VVS-PA) (version 01.0) (CDM-EB93-A05-STAN);
  - (c) “CDM project cycle procedure for project activities” (PCP-PA) (version 01.0) (CDM-EB93-A06-PROC);
  - (d) “CDM project standard for programmes of activities” (PS-PoA) (version 01.0) (CDM-EB93-A07-STAN);
  - (e) “CDM validation and verification standard for programmes of activities” (VVS-PoA) (version 01.0) (CDM-EB93-A08-STAN);
  - (f) “CDM project cycle procedure for programmes of activities” (PCP-PoA) (version 01.0) (CDM-EB93-A09-PROC).

## Appendix 1. Amendment to “CDM project standard for project activities” (version 01.0)

### 1. Changes to section 8.3.5. Changes to project design

#### 1. The existing paragraph 242 shall read as follows:

242. Changes to a registered CDM project activity may include, but are not limited to:

- (a) ~~Changes to effective output~~ Increase in the design capacity<sup>1</sup> specified in the registered PDD due to increased installed capacity or increased number of units, or installation of units with lower capacity or units with a technology which is less advanced than that which is described in the PDD to the following limits:
  - (i) If the project activity is large-scale:
    - a. Up to the capacity limits used in the sensitivity analysis, if an investment comparison or a benchmark analysis was used to demonstrate additionality;
    - b. Up to 20 per cent of the design capacity specified in the registered PDD, if approaches not referred to in subparagraph a above were used to demonstrate additionality; or
    - c. With no limit, if the reason for the increase is not within the control of the project participants;
  - (ii) If the project activity is small-scale, up to the small-scale threshold for the corresponding project type (Type I, II or III);
- (b) Decrease in the design capacity due to installation of units with lower capacity or units with a technology which is less advanced than that which is described in the PDD;
- (c) Addition of new components or extension/addition of technologies/measures<sup>2</sup> that contribute to emission reductions and do not generate additional revenue, other than that from CERs, from sources or products not described or considered in the registered PDD;
- (d) Removal of a component or technology/measure;
- (e) Changes to the technology/measure, so that it:
  - (i) Provides the same kind of output and uses the same kind of equipment and conversion process (e.g. production of electricity using same kind of equipment and conversion process such as wind turbine); or

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<sup>1</sup> Installed/rated capacity that directly impacts emission reductions or net anthropogenic removals.

<sup>2</sup> Example of adding a component or technology/measure that generates revenue is the addition of electricity-generating equipment to a landfill gas flaring project not described or considered in the registered PDD.

- (ii) Undertakes the same course of action that results in the same kind of effect (e.g. fuel switching using the same management practice);
- (f) Removal or addition of one or more site(s) of the project activity registered with multiple sites;
- (g) Removal of a project activity from a bundle of small-scale CDM project activities;
- (h) Actual operational parameters that are within the control of the project participants, differing from the expected parameters;
- (i) Any consequential changes to the applied methodologies and/or the standardized baselines resulting from subparagraphs (a)–(e)(g) above, including change to or addition of another methodology and/or another standardized baseline, or application of a baseline scenario that is more appropriate as a result of the proposed or actual modifications to the project activity;
- (j) Voluntary update of the applied methodologies to a later valid version of the same methodologies, or voluntary change to other methodologies, provided all requirements in the updated/changed methodologies are met;
- (k) Other types of changes not referred to in subparagraphs (a)–(j) above.

## **Appendix 2. Amendment to “CDM validation and verification standard for project activities” (version 01.0)**

### **1. Changes to section 8.3.5. Changes to the project design**

#### **1. The existing paragraph 309 shall read as follows:**

309. The DOE shall state its opinion on:

- (a) A description of the proposed or actual changes as compared to the description in the registered PDD;
- (b) An assessment on when the changes occurred, reasons for these changes taking place, whether the changes would have been known prior to the registration of the CDM project activity, **and** how the changes would impact on the overall operation/ability of the CDM project activity to deliver emission reductions as stated in the PDD, **and whether the changes are within the types and limits allowed in accordance with the “CDM project standard for project activities”;**
- (c) An assessment regarding whether the changes would adversely affect the conclusions of the validation report of the registered PDD with regard to:
  - (i) The additionality of the registered CDM project activity;
  - (ii) The scale of the registered CDM project activity;
  - (iii) The applicability and application of (1) the applied methodologies and, where applicable, the applied standardized baselines with which the project activity has been registered; (2) the later valid version of the applied methodologies and/or the applied standardized baselines; or (3) another methodology and/or standardized baseline that the registered CDM project activity has updated/switched to;
  - (iv) The project boundary and any associated leakages due to the changes;**
  - (v) The compliance of the monitoring plan with the applied methodologies and, where applicable, the applied standardized baselines;
  - (vi) The level of accuracy of the monitoring compared with the requirements contained in the registered monitoring plan.

## **Appendix 3. Amendment to “CDM project cycle procedure for project activities” (version 01.0)**

### **1. Changes to section 6.1.1. Submission of request for approval of changes**

#### **2. Paragraphs 127 and 128<sub>bis</sub> shall read as follows:**

127. If there are changes that have occurred or are expected to occur to a registered CDM project activity, the project participants shall prepare a revised PDD reflecting the changes and submit it together with supporting documentation to a DOE for validation. The changes shall be within the scope of the following acceptable changes, and meet the associated conditions, as specified in the “CDM project standard for project activities”:

- (a) Temporary deviation from the monitoring plan as described in the registered PDD, or the applied methodologies or standardized baselines;
- (b) Permanent changes:
  - (i) Corrections;
  - (ii) Changes to the start date of the crediting period;
  - (iii) Inclusion of the monitoring plan (to the registered PDD, if the monitoring plan was not included at the time of their registration);
  - (iv) Permanent change to the registered monitoring plan, or permanent deviation of monitoring from the applied methodologies, standardized baselines or other applied standards or tools;
  - (v) Changes to the project design.

128<sub>bis</sub>. For the changes referred to in paragraph 127(b)(v) above, the DOE shall submit a request for approval of changes within two years of the commissioning or implementation of the project activity, whichever is later.

## **Appendix 4. Amendment to “CDM project standard for programmes of activities” (version 01.0)**

### **1. Changes to section 9.3.5. Changes to programme or project design**

#### **1. The existing paragraph 239 shall read as follows:**

239. Changes to a registered CDM PoA shall be limited to:

- (a) Changes to the programme boundary to expand the geographical coverage or to include additional host Parties;
- (b) The following revisions to the eligibility criteria for inclusion of CPAs in the PoA:
  - (i) Mandatory revision to the eligibility criteria due to the revision or replacement of the applied methodologies by the Board subsequent to placing them on hold;<sup>3</sup>
  - (ii) If a revision to the eligibility criteria is required by the Board due to an issue related to environmental integrity having been identified;
  - (iii) If the use of positive lists or related provisions is introduced or modified based on the valid version of the “Methodological tool: Demonstration of additionality of small-scale project activities” or the “Methodological tool: Demonstrating additionality of microscale project activities”;
  - (iv) If the geographical boundary of the PoA is expanded within the host Party or to include one or more host Parties;
  - (v) If there is an addition or change of technologies/measures with or without addition or change of applied methodologies in the registered PoA-DD as referred in subparagraph (d) below;
  - (vi) A revision to the eligibility criteria pertaining to the demonstration of additionality;
- (c) Removal of applied methodologies and/or standardized baselines from the registered PoA-DD;
- (c)<sub>bis</sub> Increase in the range of the designed capacities specified in a generic CPA:**
  - (i) Up to the capacity limits used in the sensitivity analysis, if the generic CPA uses large-scale methodologies and an investment comparison or a benchmark analysis was used to define the eligibility criteria for inclusion of corresponding CPAs pertaining to the demonstration of additionality;**

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<sup>3</sup> No action is required if the version of the applied methodology is revised without being placed on hold or is withdrawn for the purpose of inclusion in a consolidated methodology, unless otherwise indicated in the respective report of the meeting of the Board that has approved the new methodology.



- (ii) Up to 20 per cent of the design capacity range (upper limit) if the generic CPA uses large-scale methodologies and the approaches not referred to in subparagraph (i) above were used to define the eligibility criteria for inclusion of corresponding CPAs pertaining to the demonstration of additionality;
  - (iii) With no limit, if the generic CPA uses large-scale methodologies and the reason for the increase is not within the control of the coordinating/managing entity;
  - (iv) Up to the small-scale threshold for the corresponding project type (Type I, II or III) if the generic CPA uses only small-scale methodologies;
- (d) Addition or change of technologies/measures with or without the addition or change of applied methodologies in the registered PoA-DD for the following purposes:
  - (i) Changes that allow a shift to more efficient, less GHG-intensive or at least equivalent technologies/measures;<sup>4</sup>
  - ~~(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-DD primarily applying Type III methodologies);<sup>5</sup>~~
  - (ii) Addition or changes of technologies/measures except those technologies/measures that contribute to emission reductions and generate additional revenue, other than that from CERs, from sources or products not described or considered in the registered PoA-DD;
- (e) Voluntary update of the applied methodologies to later valid versions of the same methodologies or voluntary change to other methodologies, provided that all requirements in the updated/changed methodologies are met.

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<sup>4</sup> Examples of this are shifting to light emitting diode (LED) lighting from compact fluorescent lamp (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, and introducing charcoal-burning stoves (fully accounting for production emissions of charcoal) in a registered PoA that distributes household wood-burning stoves.

<sup>5</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.~~

## 2. The existing paragraph 243 shall read as follows:

243. Changes to the design of an included CPA to modify<sup>6</sup> or add technologies/measures shall meet the following conditions:

- (a) The applicability conditions of the applied methodologies and tools and, where applicable, the applied standardized baselines cover the modified or added technologies/measures;
- (b) The modification or addition of technologies/measures to increase the design capacity specified in the included CPA-DD are within the following limits:
  - (i) If the corresponding generic CPA uses large-scale methodologies:
    - a. Up to the capacity limits used in the sensitivity analysis, if an investment comparison or a benchmark analysis was used to define the eligibility criteria for inclusion of corresponding CPAs pertaining to the demonstration of additionality;
    - b. Up to 20 per cent of the design capacity specified in the included CPA-DD, if approaches not referred to in subparagraph a above were used to define the eligibility criteria for inclusion of corresponding CPAs pertaining to the demonstration of additionality; or
    - c. With no limit, if the reason for the increase is not within the control of the coordinating/managing entity;
  - (ii) If the corresponding generic CPA uses small-scale methodologies, up to the small-scale threshold for the corresponding project type (Type I, II or III);
- (c) The modified or added technologies/measures are covered by the corresponding generic CPA defined in the registered PoA-DD;<sup>7</sup>
- (d) The modified or added technologies/measures that contribute to emission reductions do not generate additional revenue, other than that from CERs, from sources or products not described or considered in the included CPA-DD;
- (e) The changes to the technology/measure:
  - (i) Provides the same kind of output and uses the same kind of equipment and conversion process (e.g. production of electricity using same kind of equipment and conversion process such as wind turbine); or

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<sup>6</sup> Modifications to technologies/measures may include changes to the ~~effective output design~~ capacity.

<sup>7</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 photovoltaic (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.

- (ii) Undertakes the same course of action that results in the same kind of effect (e.g. fuel switching using the same management practice);
- (f) Removal of a component or technology/measure maintains consistency with the corresponding generic CPA defined in the registered PoA-DD;
- (g) The included CPA with the changes is within the scope of the corresponding generic CPA defined in the registered PoA-DD;
- (h) The eligibility criteria for inclusion of CPAs for these technologies/measures are specified in the corresponding generic CPA-DD in the registered PoA-DD.

## **Appendix 5. Amendment to “CDM validation and verification standard for programmes of activities” (version 01.0)**

### **1. Changes to section 9.3.5. Changes to the programme or project design**

#### **2. The existing paragraph 284 shall read as follows:**

284. The DOE shall state its opinion on:

- (a) A description of the proposed or actual changes as compared to the description in the registered PoA-DD or included CPA-DD;
- (b) An assessment on when the changes occurred, reasons for these changes taking place, whether the changes would have been known prior to the registration of the CDM PoA or inclusion of the CPA, **and** how the changes would impact on the overall operation/ability of the PoA or CPA to deliver GHG emission reductions or net anthropogenic GHG removals as stated in the PoA-DD or the CPA-DD, **and whether the changes are within the types and limits allowed in accordance with the “CDM project standard for programmes of activities”;**
- (c) An assessment regarding whether the changes would adversely affect the conclusions of the validation report on the registered CDM PoA or the included CPA with regard to:
  - (i) The applicability and application of (1) the applied methodologies and, where applicable, the applied standardized baselines with which the PoA or CPA has been registered or included; (2) the later valid version of the applied methodologies and/or the applied standardized baselines; or (3) another methodology and/or standardized baseline that the PoA or CPA has been updated/changed to;
  - (ii) The project boundary of the CPA and any associated leakages due to the changes;**
  - (iii) The compliance of the monitoring plan with the applied methodologies and, where applicable, the applied standardized baselines;
  - (iv) The level of accuracy and completeness in the monitoring of the PoA or the CPA compared with the requirements contained in the registered monitoring plan;
  - (v) The additionality of the PoA or CPA;
  - (vi) The scale of the CPA;
  - (vii) The eligibility criteria for inclusion of CPAs in the PoA.

## **Appendix 6. Amendment to “CDM project cycle procedure for programmes of activities” (version 01.0)**

### **1. Changes to section 6.2.1. Submission of request for approval of changes**

#### **1. Paragraphs 141 and 141<sub>bis</sub> shall read as follows:**

141. If there are changes that have occurred or are expected to occur to a registered CDM PoA, the coordinating/managing entity shall prepare a revised PoA-DD reflecting the changes and submit it together with supporting documentation to a DOE for validation. The changes shall be within the scope of the following acceptable changes, and meet the associated conditions, as specified in the “CDM project standard for programmes of activities”:

- (a) Temporary deviation from a monitoring plan as described in the registered PoA-DD, or the applied methodologies or standardized baselines;
- (b) Permanent changes:
  - (i) Corrections;
  - (ii) Inclusion of a monitoring plan (to the registered PoA-DD, if a monitoring plan was not included at the time of registration);
  - (iii) Permanent change to a registered monitoring plan, or permanent deviation of monitoring from the applied methodologies, standardized baselines, or other applied standards or tools;
  - (iv) Changes to the programme design.

141<sub>bis</sub>. For the changes referred to in paragraph 141(b)(iv) above, the DOE shall submit a request for approval of changes within two years of the date when first CPA is included in the PoA.

### **2. Changes to section 6.3.1. Submission of notification of changes**

#### **2. Paragraphs 168 and 168<sub>bis</sub> shall read as follows:**

168. If there are changes that have occurred or are expected to occur to an included CPA, the coordinating/managing entity shall prepare a revised CPA-DD reflecting the changes and submit it together with supporting documentation to a DOE for validation. The changes shall be within the scope of the following acceptable changes, and meet the associated conditions, as specified in the “CDM project standard for programmes of activities”:

- (a) Temporary deviation from the monitoring plan as described in the included CPA-DD, or the applied methodologies or standardized baselines;
- (b) Permanent changes:
  - (i) Corrections;

- (ii) Changes to the start-date of the crediting period;
- (iii) Inclusion of the monitoring plan (to the included CPA-DD, if the monitoring plan was not included at the time of inclusion);
- (iv) Permanent changes to the registered monitoring plan, or permanent deviation of monitoring from the applied methodologies, standardized baselines, or other applied standards or tools;
- (v) Changes to the project design.

**168<sup>bis</sup>.** For the changes referred to in paragraph 168(b)(v) above, the DOE shall submit a notification of changes to the secretariat within two years of the commissioning, or implementation of the CPA, whichever is later.

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### Document information

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