CLEAN DEVELOPMENT MECHANISM

CDM-EB91-AA-A08

Analysis of past and current procedures in order to streamline the registration and issuance processes

Version 01.0

United Nations
Framework Convention on
Climate Change

COVER NOTE

1. Procedural background

1. At its ninetieth meeting the Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board) requested the secretariat to prepare an information note (i) detailing the purpose and implications of the steps in the current registration and issuance processes, the steps in past processes and the reasons for change; and (ii) identifying areas for improvement with a view to shortening the process time and increasing predictability.

2. Purpose

2. The purpose of this information note is to provide information on*:*

   (a) The purpose and implications of the steps in the current registration and issuance processes, the steps in past processes and the reasons for change; and

   (b) Areas for improvement with a view to shortening the process time and increasing predictability.

3. Key issues and proposed solutions

3. The key highlights of the analysis of areas of improvement is as follows:

   (a) Keeping in mind the shorter timeline for CC (7 days) and request for review period (28 days), which includes the timeline for the preparation of the summary note (SN) (14 days), further shortening the timelines for CC and SN might end up more spill-over in terms of cases missing these timelines.

   (b) For requests for registration of projects not deemed automatically additional, reducing the procedural IRC timeline might risk the quality of the assessment. Furthermore, reducing the timeline may also result in not enough time to raise issue of editorial nature for which the DOE has to respond within two days.

   (c) There is a possibility to shorten the IRC timeline (currently 23 days) for the requests for registration for project deemed automatically additional.

4. Based on the analysis of the past and current request for registration procedure, including the reasons for change in the procedures, it is proposed that:

   (a) The current procedural timelines should be retained for the completeness check (CC) and the information and reporting check (IRC), as well as for the request for review period, which includes the preparation of summary note (SN), since setting another (shorter) procedural timeline in the PCP and consequently modifying the current information technology system for requests for registration of project activities that are deemed automatically additional would not add much value, as currently these type of projects are already processed faster than other type of projects; and

(b) Further shortening the actual timeline, in particular for the IRC for requests for registration of project activities that are deemed automatically additional, can be conducted as practice without changing the procedural timeline specified in the "Clean development mechanism project cycle procedure" (PCP). Accordingly, the secretariat would like to commit to conduct IRC of requests for registration of project activities that are deemed automatically additional in less than 23 days.

4. Impacts

5. If the Board decides to retain the current procedural timelines for the CC, the IRC or the request for review period, no impact is foreseen.

6. If the Board decides to set another (shorter) timelines, in particular for the CC and/or the IRC, regulatory documents including PCP and current information technology system need to be modified.

5. Subsequent work and timelines

7. If the Board decides to set another (shorter) procedural timeline, the proposed work plan is as follows:

(a) Adoption of revised regulatory documents, including the PCP: EB92;

(b) Deployment of a modified IT system: 2017.

6. Recommendations to the Board

8. The secretariat recommends that the Board maintain the current procedural timelines for both the CC and the IRC.

TABLE OF CONTENTS **Page**

1. Introduction

1. The purpose of this information note is to describe the purpose and implications of the steps in the past and current registration and issuance process and to analyse the current procedure which include completeness check (CC), information and reporting check (IRC), and request for review procedures in order to identify areas for improvement with a view to shortening the process time and increasing predictability.

2. Request for registration and issuance processes

2. The first request for registration of projects came to the Board in year 2005. The initial rules for request for registration and issuance processes were developed following the adoption of the Marrakesh Accord and further developed over time as the Board gained more experience while examining requests for registration and issuance projects. Accordingly, there was no separation between completeness check and information and reporting check until May 2010 when EB adopted new (current) "Procedures for requests for registration of proposed CDM project activities" (version 01) at its 54th meeting. The details of both the old and current procedures are highlighted under section 2.1 and 2.2 below.

2.1. Old procedure for request for registration and issuance process

3. Upon the submission of the request for registration from the designated operational entity (DOE) and the receipt of the fee payment, the secretariat would conduct the CC, which included the enhanced check, within 30 days. Upon completion of the CC, the request for registration was published and the request for review period was open for eight weeks, during which the Board members or a Party could request a review. The Registration and Issuance Team (RIT) would carry out an appraisal of the request and, based on this, the secretariat would prepare a summary note. Based on the appraisal and the summary note, the Board member might issue a request for review or a request for review for minor issue. If there was no request for review, the project would then be marked as registered. If there was a request for review for minor issue, the project participant (PP)/DOE would be requested to make corrections and resubmit.

4. If there was a request for review, the PP/DOE would provide comments on the request for review and the RIT would appraise the comments. Based on this, during the meeting the Board would decide whether to register the proposed project, register the proposed project with correction, or undertake a review of the request for registration. Similar to the request for review for minor issue, if the Board decides to register the project with correction, the PP/DOE would be requested to make corrections. For cases where the Board decided to undertake a review, the Board would state the questions to the PP/DOE and form a review team which would look into the PP/DOE's response to the review. An appraisal by the RIT of this response was optional. The Board would consider the case at its next meeting and decide to register the proposed project, register the proposed project with correction, or reject the proposed project. If the corrections made by the PP/DOE were not satisfactory, the case would then be brought again to the next meeting of the Board. If the case was in the review stage, unsatisfactory corrections could have led to the rejection of the proposed project.

5. When no request for review was made, it was possible to register the proposed project within 86 days after the submission of the request and the receipt of the fee payment. When the request for registration received a request for review by the Board members or by a Party and it had to undergo the review cycle, it might have taken approximately 150 days until the Board made the final decision.

2.2. New (current) procedure for request for registration and issuance process

6. As requested by Parties at CMP 5 1[1], the Board adopted revised procedures for the registration of project activities and issuance of CERs, together with revised procedures for the review by the Board of requests for registration and issuance of CERs at EB54 and EB55. The revised procedures, which include clear timelines for each stage of registration and issuance, place emphasis on the need for DOEs to ensure the quality of their submissions and for the secretariat to identify, early in the processing stage, submissions that do not meet the expected quality standards. Problems are thereby reduced, and problems that do exist are more often addressed before they reach the Board, thus allowing the Board to devote more of its time to supervising CDM operations and developing policy guidance. These procedures serve as the basis for the current procedure for request for registration and issuance, which includes the scheduling of the requests, 7 calendar days for a completeness check (CC), 23 calendar days for an information and reporting check (IRC) and 28 days for the request for review period including 14 days for the secretariat to prepare the summary note (SN).

7. The current registration and issuance procedure requires that the secretariat maintain a publicly available list of all submitted requests for registration and issuance and the expected date of commencement can be inferred by the PPs/DOEs. As per the operational practice of the secretariat, the commencement of the CCs for all requests for registration and issuance cases received is performed in batches on a weekly basis. Following the commencement, the secretariat uses the CC and IRC checklists [2] to conduct a CC of a request for registration/issuance, which is to be performed within seven days, [3] and an IRC, which is to be performed within 23 days [4] upon the positive conclusion of the CC. Upon the positive conclusion of the IRC, the secretariat publishes the request for registration/issuance. Any Party involved in the proposed CDM project activity and any member of the Board may request a review of the request for

[1] CMP *5 requests the Executive Board to adopt as soon as possible, and subsequently apply on an interim basis, revised procedures for registration, issuance and review, under which alternative timelines to those defined in decision 3/CMP.1, annex, paragraph 41 and 65, and decision 4/CMP.1, annex II, paragraph 24, can be applied.*

[2] The checklists for the CC and IRC are attached as appendices 5 and 6.

[3] During the completeness check, the secretariat may identify editorial issues or inconsistencies in the submission, and the DOE will be requested to clarify and/or provide revised documentation within two days of the notification of the issues/inconsistencies. If the DOE does not respond within the deadline, the request will be concluded as incomplete

[4] During this check, the secretariat may also identify editorial issues or missing information. In these cases, the DOE will be requested to clarify and/or provide revised documentation within two days of the notification of the issues. If the DOE does not respond within the deadline, the request will be concluded as it cannot be processed any further.

registration/issuance within 28 days of the date of publication of the request for registration/issuance. In order to help Board members, the secretariat also analyses the request and provides its recommendation within 14 days to the Board in the form of a summary note. If the secretariat does not receive a request for review from a Party involved or at least three members of the Board, the Board registers the proposed CDM project or issues the certified emission reduction units. For requests for registration for which the initial submission was made on or after 11 December 2010, the effective date of registration is the date when the DOE submitted a complete request for registration (defined at CC stage).

8. If there is a request for review, the PP/DOE provides comments on the request for review within 28 days, and the RIT team and the secretariat submits their independent appraisal of the responses to the Board within 14 days after the commencement of the review. If there is a different recommendation by the RIT team and the secretariat, it goes to a subsequent EB meeting for the final decision. If the recommendations by the RIT team and the secretariat are same, this then becomes the final decision of the Board 20 days after the date of availability of the assessment report of the secretariat and the RIT Team, unless a member of the Board objects to the proposed decision.

9. When there is no request for review, upon the submission of the request and the receipt of the fee payment, the proposed project can be registered within 58 days. When there is a request for review, the final decision of the Board may take approximately 120 days, including 28 days for the PP/DOE to submit responses to the request for review.

2.3. Comparison between the previous and current procedure

10. As explained in section 2.1 and 2.2, there are considerable differences between the previous and current registration and issuance processes[5]. The current procedure significantly reduces:

    (a) Timeline for processing the automatic registration and issuance projects from 86 days (old procedure) to 58 days and the projects for which review is considered by the Board from 150 days (old procedure) to 120 days including 28 days for the PP/DOE to submit responses;

    (b) Number of request for review from 30% in 2009 and 21% in 2010 to 7% in 2011 and 5% in 2012; and

    (c) Time devoted by the Board at the meeting as under the current procedure the Board only considers the review cases where the recommendations of the RIT team and the secretariat are different or a Board member objects a same recommendation by the RIT team and the secretariat.

11. Further, the current procedure provides an opportunity to the PP/DOE to request a clarification through telephone call or an internet-based call of the issues identified at IRC, request for review and rejection ruling while the previous procedure did have any clarification channel and status of the project registration issuance publically available on CDM web page.

[5] The detailed comparisons between previous and current procedures are attached as appendix 2.

3. Analysis of current practices and timelines

3.1. Budgeted resources and internal processes

12. The CDM Management Plan for 2016 approved by the Board at EB87 indicates that the approved resources to assess forecasted 640 requests for registration and issuance are 95.4 staff months. However, since the second quarter of 2016, we are seeing about 80-90 submissions per month i.e. above the MAP estimates.

13. To maintain the quality and the consistency in assessments, the secretariat has put in place a system during information and reporting check (23 days) and preparation of summary notes (14 days), in particular regular (weekly) discussion within the team for internal calibration and to ensure the uniformity of assessments and review of additional editorial and/or minor information received from PP/DOE.

3.2. Actual timelines and analysis

14. Ninety-one per cent of all requests for registration and issuance processed between January 2014 and May 2016 were concluded within the procedural timeline for the CC (seven days), and 88 per cent of the requests were concluded within the procedural timeline for the IRC (23 days) as per the PCP (see figures 1 and 2 below).

15. For more than 50 per cent of the 9 per cent of requests for which the CCs were finalized after the procedural timeline has ended, editorial issues or inconsistencies in the submission were identified and additional inputs were sought from the DOEs, which delayed the processing of these cases. This means that if there had been no such problems in the submission, almost 96 per cent of the CCs would have been concluded within the procedural timeline. For the remaining 4 per cent, the delay was primarily due to unforeseen events such as individual staff members falling ill, etc.

16. For more than 50 per cent of the 12 per cent of requests for which the IRCs were finalized after the procedural timeline has ended, editorial issues or missing information were identified and additional inputs were sought from the DOEs, which delayed the processing of these cases. This means that if there had been no such problems, almost 94 per cent of the IRCs would have been concluded within the procedural timeline. For the remaining 6 per cent, the delay was primarily due the same reasons referred to in paragraph 14 above.

17. Since the secretariat does not process cases differently based on whether the request for registration is for a project activity that is deemed automatically additional or not, the data provided in figures 1 and 2 include both types of cases. Nevertheless, as assessing additionality during the IRC usually requires a significant amount of time, the requests for registration of project activities that are deemed automatically additional require relatively much less time in reality. Also, as the standardized registration templates for automatically additional project activities were adopted at EB90, they may marginally reduce the effort needed to process the requests for registration for this type of project activity. Therefore, the secretariat commits to conduct IRC of those projects in less than 23 days.

18. However, it should be noted that, as mentioned in the concept note "Standardized registration templates for automatically additional project activities" presented at EB89, the project activities that are deemed automatically additional only contribute to approximately 2 per cent of the total submissions received till date. Also as per the current pipeline the share of automatically additional projects is around 4 per cent.

Table 1. Actual timelines for completeness checks: 2014, 2015 and 2016 (until May)

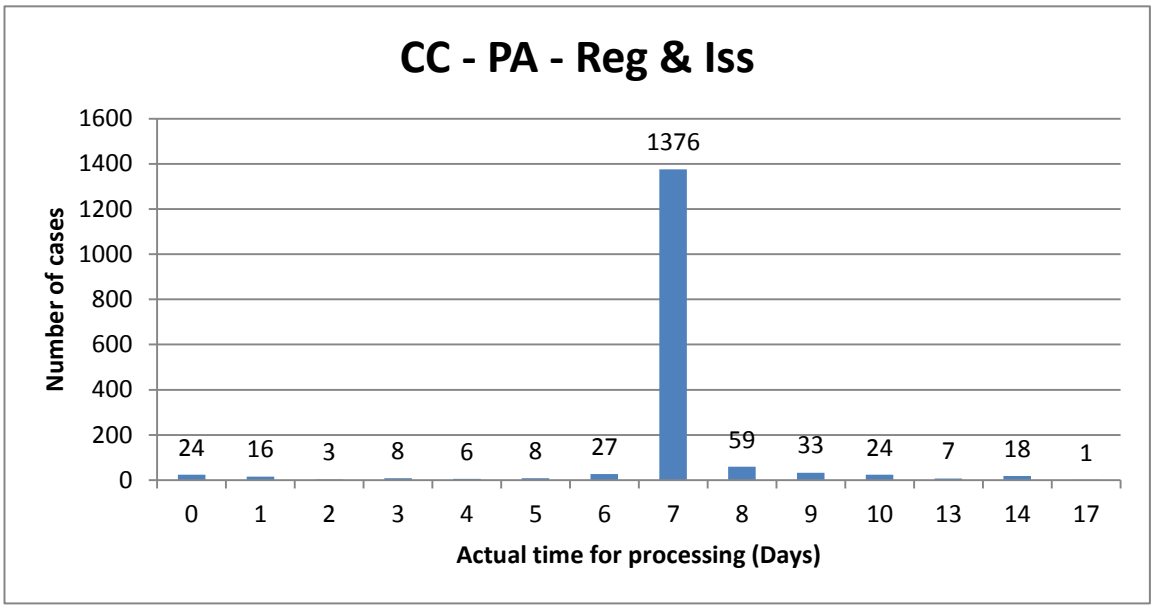
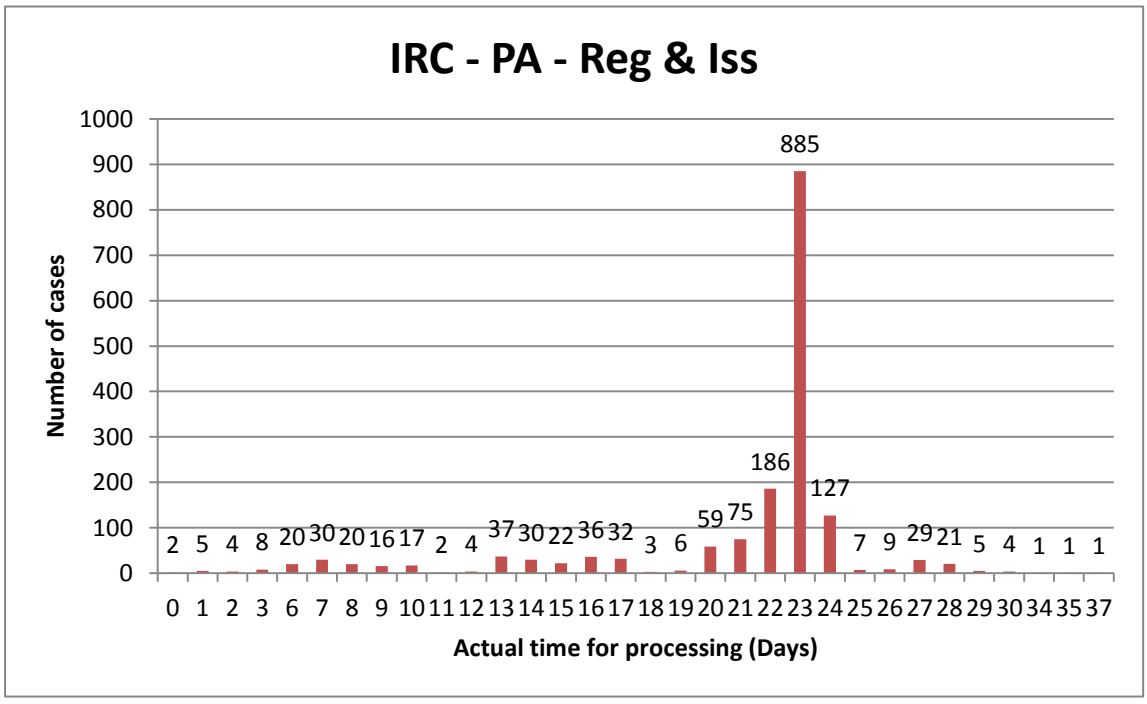


Table 2. Actual timelines for information and reporting checks: 2014, 2015 and 2016 (until May)



3.3. Proposed solutions

19. As highlighted above, the current registration and issuance process consists of CC, IRC, the summary note (SN) and review. Keeping in mind the shorter timeline for CC (7 days) and request for review period (28 days), which cover the timeline for SN (14 days), further shortening the timelines for CC and SN might end up more spill-over in terms of cases missing these timelines.

20. For requests for registration of projects not deemed automatically additional, reducing the procedural IRC timeline might risk the quality of the assessment, particularly in the assessment of additionality as it will not give sufficient time for discussion within the team for internal calibration and to ensure the uniformity of assessments. Furthermore, reducing the timeline may also result in not enough time to raise issue of editorial nature for which the DOE has to respond within two days.

21. Further, based on the above analysis (section 3.2), there is a possibility to shorten the IRC timeline (currently 23 days) for the requests for registration for project deemed automatically additional. It is also to be noted that the requests for registration of these type of project only comprise approximately 2 per cent of the total submissions received till date. Also as per the current pipeline the share of automatically additional projects is around 4 per cent.

22. Setting shorter procedural timeline in the PCP and consequently modifying the current information technology system for requests for registration of project activities that are deemed automatically additional would not add much value, as currently this type of projects is already processed faster than other type of projects (section 3.2). Therefore, the current procedural timelines can be retained for the IRC as the secretariat is able to process this type of projects faster and the practice can continue without changing the procedural timeline as specified in the PCP. The secretariat would also like to commit to conduct IRC of requests for registration of project activities that are deemed automatically additional in less than 23 days.

23. Based on the above impact analysis, the secretariat would like to propose the following solutions:

    (a) The Board retain the current procedural timeline for the CC, IRC and SN for all type of requests for registration and issuance, as differentiating procedural timeline for IRC for request for registration of projects deemed automatically additional would involve significant amount of work on the modification of current information technology system and keeping in mind lower share of such type of projects till date, might not be worth modifying the information technology system.

    (b) The secretariat commits to conclude the IRC earlier than the defined procedural timeline for projects that are deemed automatically additional.

Appendix 1. List of relevant documentation for the request for registration procedure up to EB55

1. The following is a list of the procedures, clarifications and documents that were relevant to the processing of requests for registration under the old procedure which are not in use anymore*:*

   (a) Procedures for registration of a proposed CDM project activity (EB09, annex 5);

   (b) Procedures for review as referred in paragraph 41 of the CDM modalities and procedures (EB09, annex 6);

   (c) Procedures for the registration of a proposed CDM project activity (version 2) (EB11, annex 4);

   (d) Procedures for the registration of a proposed CDM project activity (version 3) (EB14, annex 7);

   (e) Clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 41 of the modalities and procedures for a clean development mechanism (EB16, annex 5);

   (f) Clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 41 of the modalities and procedures for a clean development mechanism (annex II to decision 18/CP.9) (version 2) (EB22, annex 18);

   (g) Terms of reference and procedure for a Registration Team (version 1) (EB22, annex 19);

   (h) Clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 41 of the modalities and procedures for a clean development mechanism (annex II to decision 18/CP.9) (version 3) (EB24, annex 28);

   (i) Clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 41 of the modalities and procedures for a clean development mechanism (annex II to decision 18/CP.9) (version 4) (EB25, annex 44);

   (j) Terms of reference and procedure for a Registration and Issuance Team (version 4) (EB25, annex 43);

   (k) Clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 41 of the modalities and procedures for a clean development mechanism (annex II to decision 18/CP.9) (version 5) (EB27, annex 15);

   (l) Revision to the clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 41 of the modalities and procedures for a

clean development mechanism (annex III to decision 4/CMP.1) (version 6) (EB28, annex 41);

(m) Revision to the clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 41 of the modalities and procedures for a clean development mechanism (annex III to decision 4/CMP.1) (version 7) (EB29, annex 15);

(n) Terms of reference and procedure for a Registration and Issuance Team (RIT) (version 5.1) (EB29, annex 14);

(o) Revision to the clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 41 of the modalities and procedures for a clean development mechanism (annex III to decision 4/CMP.1) (version 8) (EB38, annex 20);

(p) Meeting report of EB41;

(q) Guidelines on completeness check of requests for registration (EB48, annex 60);

(r) Guidelines for the consideration of request for review and review cases (EB49, annex 21);

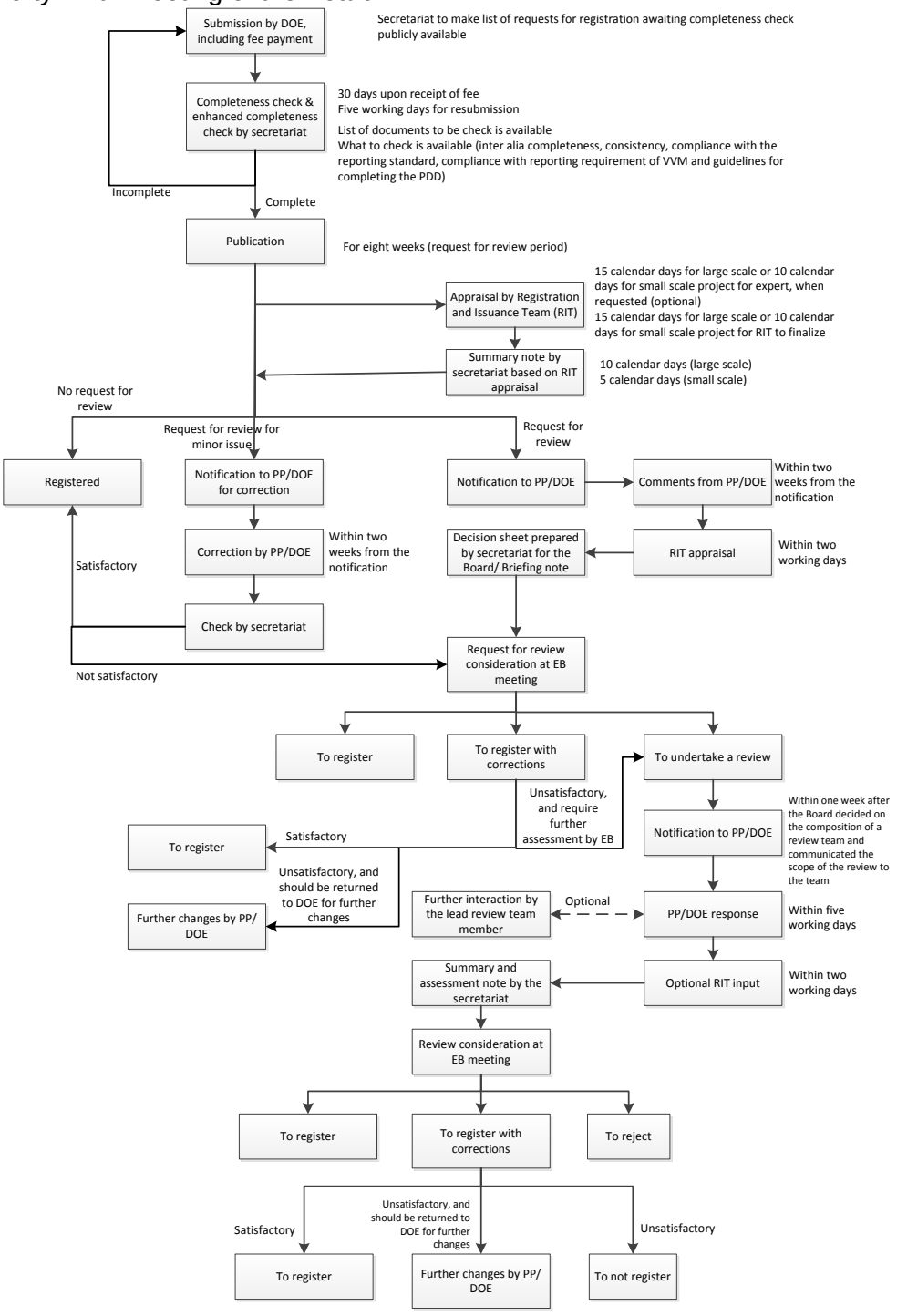
(s) Procedures for requests for registration of proposed CDM project activities (version 1) (EB54, annex 28).

Appendix 2. Comparison between previous and current procedure

	Previous procedure	Current procedure
Timeline for registration and issuance	86 days (30 days for CC & 56 days for request for review period) for automatic registration/issuance request and 150 days for the cases reviewed by the Board.	58 days (7 days for CC, 23 days for IRC and 28 days for request for review period) for automatic registration/issuance requests and 120 days for the cases reviewed by the Board including 28 days for the PP/DOE to submit responses.
Number of request for registration and issuance	High number of request for review mainly due to very less information required by the relevant standard (methodology, VVM etc.). For example, 478 and 344 and 265 requests for reviews (30% & 21%) in 2009-10 accordingly.	Low number of request for review due to the introduction of the information and report check with detailed checklists. For example, 265 and 218 requests for reviews (7% & 5%) in 2011-12 accordingly.
Number of request for review considered by the Board	All request for review cases and under review cases considered by the Board. (ex. the Board considered 85 requests for review at its 56th meeting, September 2010)	Only the requests for review wherein the recommendations between the RIT team and the secretariat is different or a Board member objects a same recommendation by the RIT team and the secretariat is considered by the Board. (ex. The Board considered 8 requests for review based on the different recommendations at its 66th meeting, February 2012)
Clarification process (DOE/PP teleconference)	No clarification process for the PP/DOE	The PP/DOE/CME can request the clarification requests to provide clarification on the issues identified at IRC, request for review and rejection ruling.
Communication to PP/DOE	Once a request was submitted and a fee was paid, there was no communication until the outcome of the CC was available.	From the website, the PP/DOE is able to check its submissions in the CDM website and can make out when its case will be scheduled.

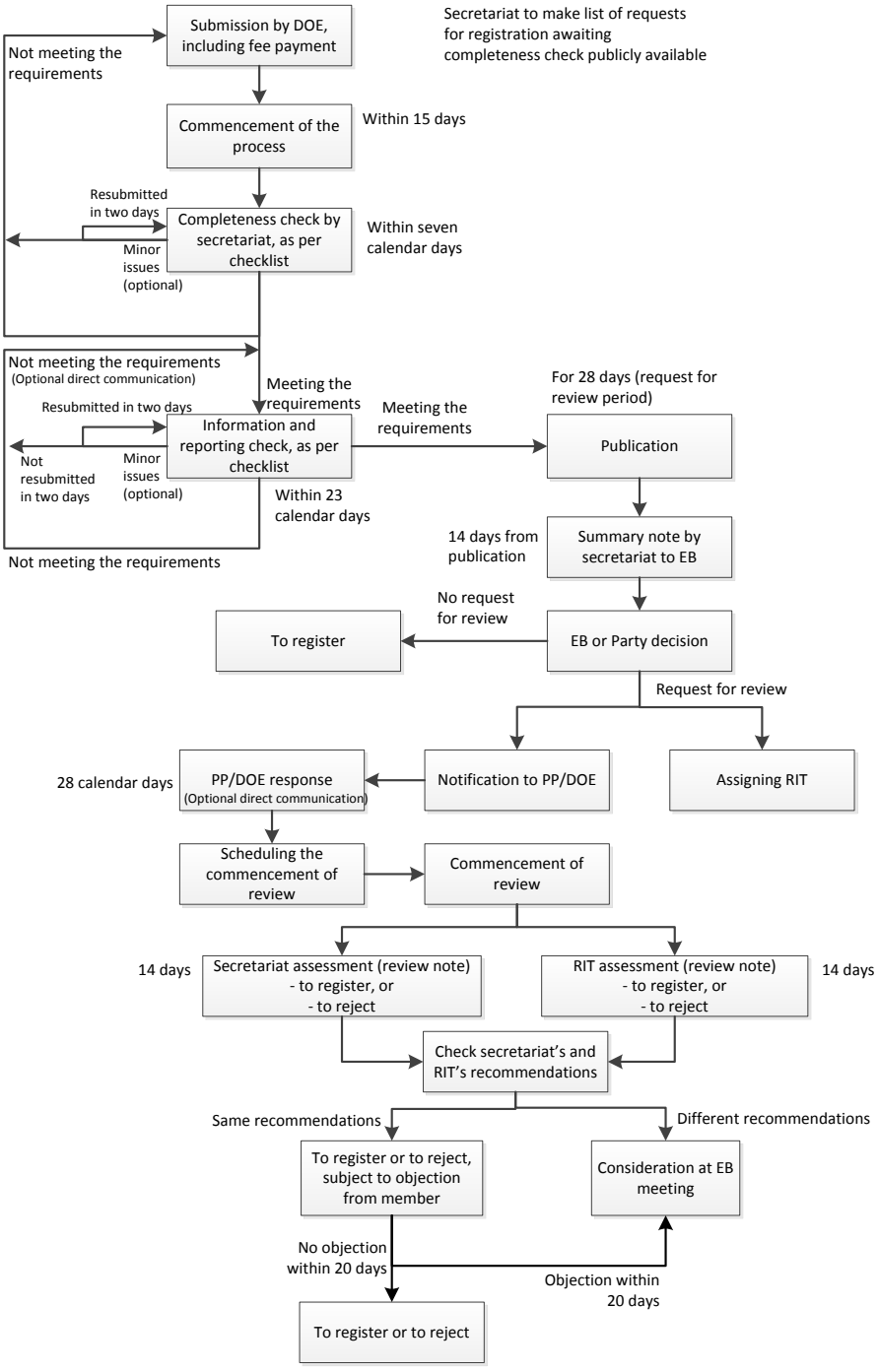
Appendix 3. Flow chart of the previous request for registration procedure

1. The following is the flow chart of the previous request for registration procedure up to the forty-ninth meeting of the Board:



Appendix 4. Flow chart of the current request for registration procedure

1. The following is the flow chart of the current request for registration procedure based on the "Clean development mechanism project cycle procedure" (version 9.0):



Appendix 5. Checklist for the completeness check

1. Version 4 is the latest approved version of the checklist for the completeness check for requests for registration and is based on the "Clean development mechanism project cycle procedure" (version 9.0), the "Clean development mechanism project standard" (version 9.0) and the "Clean development mechanism validation and verification standard" (version 9.0). The checklist is shown below:

Item	Description of the Item	References
1. SUBMISSION COMPLETENESS		
1.1 Document list: following documents are submitted, completed correctly using valid version of forms and instructions therein, if any:		
1.1.1	Is a duly completed CDM project activity registration request form (CDM-REG-FORM) submitted?	PCP para 72
1.1.2	Is a project design document (PDD) submitted and using the valid version of the applicable CDM-PDD form?	PS para 87, PCP para 19
1.1.3	Is a duly completed CDM small-scale project activities bundling form (F-CDM-SSC-BUN) submitted, where applicable?	PS para 101, General principles for bundling 03.0 para 13
1.1.4	Is(are) letter(s) of approval/authorization (LoA) from the DNA of each Party involved in the proposed CDM project activity submitted?	PS para 81, 82, 83, PCP para 72
1.1.5	Is a Modalities of communication (MoC) statement form (CDM-MOC-FORM) submitted?	PS para 86, PCP para 37-48
1.1.6	Is a Validation Report submitted and prepared in accordance with a valid version of the VVS?	VVS para 177, PCP para 72
1.2 Project View Page:		
1.2.1	Are all relevant sections of the Project View Page, including the geo -coordinates of the project site, completed?	PCP para 72
1.2.2	Is the version of applied methodology(ies) and, where applicable, of the applied standardized baseline(s), valid at the time of submission?	PS para 36
1.2.3	Is the PDD published for global stakeholder consultation for the project activity requested for registration accessible?	PCP para 20
1.2.4	For cases where the PDD 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 for global stakeholder consultation, is the request for registration submitted within 240 days after the standardized baseline became valid?	PCP para 28

2. DOCUMENT COMPLETENESS		
2.1 Project Design Document (PDD):		
2.1.1	Are the documents for additionality, such as spreadsheets for the investment analysis, provided where applicable?	PS para 91
2.1.2	Are the documents for the calculation of the baseline, such as spreadsheets, provided where applicable?	PS para 91
2.1.3	For information provided on a confidential basis, is it submitted both in a redacted format that can be disclosed to the public and in a format containing all information?	PS para 92
2.1.4	Are data, values and formulae included in electronic spreadsheets accessible and verifiable?	PS para 93
2.1.5	Are English versions of relevant sections in the submitted documents available? (if the original documents are not in English)	PS para 89
2.2 Letter of Approval/Authorization:		
2.2.1	Does the LoA of the each party include the statements on the Kyoto Protocol ratification and voluntary participation?	PS para 81
2.2.2	Does the LoA of the host party(ies) include the statements on the contribution to the sustainable development?	PS para 83
2.3 Modalities of Communication:		
2.3.1	Are the focal point entities' scopes of authority clearly and correctly indicated?	PCP para 39, 40
2.3.2	Is the Statement of Agreement (Section 3) signed by at least one authorized signatory for each project participant and the information is consistent with Annex 1?	PCP para 38, 41, 46

2.4 Validation Report		
2.4.1	Does the Validation Report contain appointment certificates or curricula vitae of the validation team members, technical experts and internal technical reviewers for the project activity?	VVS 176(h)
3. CONSISTENCY OF INFORMATION		
3.1	Are dates, versions and references consistent among the documents?[6]	All documents
3.2	Is the project title consistent in the following documents?	Project View Page
		PDD
		Validation Report
		LoA
		MoC
		Registration request form
		Bundling form
3.3	Are the parties consistent in the following documents?	Project View Page
		PDD
		Validation Report
		LoA
		MoC
		Registration request form
		Bundling form
3.4	Are the project participants consistent in the following documents?	Project View Page
		PDD
		Validation Report
		LoA
		MoC
		Registration request form

[6] Details of the cross referenced documents should be consistent with the submitted documents. For example, the PDD version number and date mentioned in the Validation Report should match the PDD submitted for request for registration.

		Bundling form
3.5	Is(are) the sectoral scope(s) consistent in the following documents?	Project View Page
		Registration request form
		Bundling form
3.6	Are the title(s) and version(s) of the methodology(ies) and, where applicable, of the standardized baseline(s) consistent in the following documents?	Project View Page
		PDD
		Validation Report
		Bundling form
3.7	Is the amount of emission reductions consistent in the following documents?	Project View Page
		PDD
		Validation Report
		Bundling form
3.8	Is the project activity starting date consistent in the following documents?	PDD
		Validation Report
3.9	Is(are) the project activity location consistent in the following documents?	Project View Page
		PDD
		Bundling form
		Validation Report
3.10	Is the duration of the crediting period of the project activity consistent in the following documents?	Project View Page
		PDD
		Validation Report
		Bundling form

2. The checklist also includes a list of editorial issues and inconsistencies:

Item	Description of the Item
1.	Inconsistencies clearly attributable to typographical errors and/or documents containing blank pages.
2.	Project information is not consistent (i.e. PDD version and date, crediting period, project title, geo-coordinates, name of Parties and project participants, type of involvement of the Parties (directly/indirectly), sectoral scope(s), title and valid version of the methodology and the standardized baseline, starting date of the project activities within the Validation Report).
3.	The MoC is not completely readable or information is missing.
4.	LoAs by multiple Parties have been submitted in one single pdf file.
5.	Separate LoAs have been submitted for different project participants (if multiple project participants are involved with the same Party).
6.	Documents and appendices (including spreadsheets) are not readable or contain part of text not in English.
7.	Request for registration information is not consistent (i.e. sign-off dates, valid version of the VVS).
8.	Version of forms submitted is not valid at the time of the request for registration.

Item	Description of the Item
9.	Lack of signatures on relevant documents.
10.	Inconsistency of CER numbers, only when the amount of CER reported in any submitted documents is lower than that in the Project View Page or the project is exempted from payment of the registration fee.
11.	Confidential documents are not submitted in two versions, one with redacted information for disclosure to the public and one with not-redacted information to be treated as confidential.
12.	The Validation Report does not contain appointment certificates or curricula vitae of the validation team members, technical experts and internal technical reviewers.

* This list is not exhaustive and will be revised as and when required. The secretariat may contact the Designated Operational Entity/Project Participant on any issues of an editorial nature that are not included in the list above.

Appendix 6. Checklist for the information and reporting check

1. Version 2.0 is the latest approved version of the checklist for the information and reporting check for the request for registration and is based on the "Clean development mechanism project cycle procedure" (version 9.0), the "Clean development mechanism project standard" (version 9.0) and the "Clean development mechanism validation and verification standard" (version 9.0). The checklist is shown below:

Item	Description of the Item	References
1. RE-SUBMISSION COMPLETENESS		
1.1 Applied methodology and/or standardized baseline	Is the version of applied methodology(ies) and/or standardized baseline(s) valid at the time of re-submission considering the extension granted until the end of the 28th-day period after the notification that the submission cannot be processed any further?	PCP para 83, 87
2. PROJECT DESIGN DOCUMENT		
2.1 Project description		
2.1.1 General description	Are all sections of the PDD for the description of the project activity completed, including the purpose of the project activity, its contribution to sustainable development, applied technologies and/or measures, involved Party(ies) and project participants, estimated amount of reductions, whether it receives public funding and the confirmation that it was not a CPA erroneously included in and excluded from a registered PoA?	PS para 31-35
2.1.2 Small scale project activity	For project activities requesting registration as a small scale project activity, does the PDD explain how it qualifies as a small scale project type, that it is not a de-bundled component of a large scale project activity, and contain separate information on type, technology measure and application of the methodology for each component in case of a bundled project activity?	PS para 99-104

2.2 Baseline		
2.2.1 Reference of methodology and standardized baseline	Does the PDD contain the reference (number, title and version) of the selected methodology(ies) and/or the selected standardize baseline(s), including any tools, standards and/ or guidelines as required by the methodology(ies), valid at the time of submission?	PS para 36-38
2.2.2 Applicability of methodology and standardized baseline	Does the PDD describe how applicability conditions of the methodology(ies) and/or the selected standardize baseline(s) are met?	PS para 39
2.2.3 Application of the selected methodology and standardized baseline for small scale project activities	Does the PDD explain how the specific requirements for the application of the selected methodology(ies) and/or standardized baseline(s) in case of small scale project activities are met?	PS para 105-110
2.2.4 Project boundary and sources of GHG	Does the PDD clearly define the boundary of the proposed project activity and the GHG sources included in the project boundary, in accordance with the selected methodology(ies) and/or the selected standardize baseline(s)?	PS para 40, 41
2.2.5 Establishment and description of baseline scenario	Does the PDD describe the baseline scenario and how it was established in accordance with the selected methodology(ies) or standardize baseline(s) ?	PS para 42-48
2.3 Additionality		
2.3.1 Prior consideration	Where project starting date is before the publication of the PDD for the global stakeholder consultation, does the PDD describe how the CDM benefits were considered in the decision to undertake the project?	PS para 27-29
2.3.2 Demonstration of additionality	Does the PDD describe how additionality of the project activity was demonstrated in accordance with the applied methodology(ies), tool(s) and/or guidelines, or with the applied standardized baseline(s)?	PS para 49-52 and 111

2.3.3 Investment analysis	Where investment analysis is used to demonstrate additionality of the project activity, does the PDD list all relevant assumptions such as the financial indicator, input values, benchmark and the results of the investment analysis, including sensitivity analysis?	PS para 50 (a)
2.3.4 Barrier analysis	Where barrier analysis is used to demonstrate additionality of the project activity, does the PDD describe each of the barriers presented?	PS para 50 (b), 51 (a)
2.3.5 Common practice analysis	For large scale project activities, does the PDD contain common practice analysis?	PS para 51 (b)
2.4 Emission reductions		
2.4.1 Methodological choices	Does the PDD explain the methodological choices for the calculation of the baseline and project emissions, leakage and emission reductions?	PS para 53, 54
2.4.2 Data and parameters fixed at validation	Does the PDD list data and parameters used to calculate the emission reductions? For parameters that are not monitored but remain fixed throughout the crediting period, are the details such as the values applied accompanied by appropriate units, source, and justification provided?	PS para 55-60 SS section 4
2.4.3 Ex-ante calculation of emission reductions	Does the PDD present step-wise calculation of the ex-ante emission reduction calculations, including how the selected values are applied in each equations, in accordance with the selected methodology(ies) and/or the selected standardized baseline(s)?	PS para 53
2.5 Monitoring methodology		
2.5.1 Delayed inclusion	Where the project participants choose to make a delayed submission of the monitoring plan, does the PDD contain the statement that the submission of the monitoring plan is delayed?	PS para 63

2.5.2 Data and parameters monitored	Does the PDD list all data and parameters to be monitored, as required by the applied methodology(ies) and/or the selected standardized baseline(s), including the details such as the unit, source, measurement methods, and QA/QC procedures?	PS para 64
2.5.3 Monitoring plan	Does the PDD contain a monitoring plan that explains the operational and management structure, responsibilities and institutional arrangement for data collection/ archiving, QA/QC procedures, and sampling plan where applicable?	PS para 65, 112, 113 SS section 4
2.6 Duration of the project activity		
2.6.1 Project starting date	Does the PDD indicate the project starting date and how it has been determined, and the expected operational lifetime?	PS para 66, 67
2.6.2 Crediting period	Does the PDD indicate the type, the duration and starting dates of the crediting period?	PS para 68-71
2.7 Environmental impact		
2.7.1 Environmental impact	Does the PDD include a summary of an analysis of the environmental impacts of the proposed CDM project activity, and if required by the host Party, an environmental impact assessment in accordance with the host Party's procedures?	PS para 72, 73, 114 and 115
2.8 Local stakeholder consultation		
2.8.1 Local stakeholder consultation	Does the PDD include description of how the stakeholders were invited to provide comments on the project activity prior to the start date of the project activity and submission of the PDD for validation, summary of the comments received and how the comments were considered?	PS para 74-80

3. VALIDATION REPORT		
3.1 Validation methods		
3.1.1 Standard auditing techniques	Does the validation report describe how the DOE has applied the standard auditing techniques as appropriate, including desk review, follow-up actions, referencing, review of the calculations, sampling approach?	VVS para 22-24 SS section 6
3.2 Global stakeholder consultation		
3.2.1 Global stakeholder consultation	Does the validation report contain information on the global stakeholder consultation, including dates, duration, how comments received have been taken in due account by the DOE, and whether the publication of a revised PDD for global stakeholder consultation is necessary?	VVS para 31-42
3.3 Letter of Approval/ Authorization		
3.3.1 Letter of Approval	Is the receipt of the valid letter reported in the validation report, including whether the LoA was received from the project participants or directly from the DNA?	VVS para 47, 48, 49 (a) (b)
3.3.2 Statements	Does the validation report indicate if the LoA(s) includes clear statements on: i) the ratification of Kyoto Protocol; ii) and voluntary participation; and iii) contribution to the sustainable development of the host country for the host Party LoA?	VVS para 44 (a)(b)(c), 45, 49 (d)
3.3.3 Authorization	Does the validation report indicate how it has confirmed that the participation for each project participant has been authorized by a Party to the Kyoto Protocol?	VVS para 51, 53-56
3.4 Project design document -PDD		
3.4.1 Form	Does the validation report indicate if the PDD was completed correctly using the latest PDD form and instructions therein?	VVS para 69, 70

3.5 Project description		
3.5.1 Validation method and opinion	Does the validation report describe the steps taken and the validation opinion on the accuracy and completeness of the project description in the PDD, and confirm that the CDM project activity is not a CPA that has been excluded from a registered PoA?	VVS para 71-76, 77 (a) (b)
3.5.2 Small scale project activity	For a project activity requesting for registration as a small scale project activity, does the validation report explain how the project activity fulfills the eligibility criteria for small scale project and confirm that it is not a de-bundled component of a large scale project?	VVS para - 184, 192
3.5.3 Site visit	In case no site visit was conducted, is the justification provided in the validation report?	VVS para, 77 (c)
3.6 Methodology and standardized baseline		
3.6.1 Applicability conditions	Does the validation report describe how each applicability condition of the selected methodology(ies) and/or the standardized baseline(s) is fulfilled by the project activity?	VVS para 85, 86
3.6.2 Deviation and/or clarification on the methodology	Does the validation report indicate if the project participant deviated from the approved methodology, hence requires a clarification on the applicability of an approved methodology and/or standardized baseline or requested for deviation from an approved methodology?	VVS para 87-90
3.6.3 Boundary and sources of GHG	Does the validation report describe how the DOE has validated the project boundary and sources of GHG, and if it has identified emission sources that are not addressed by the applied methodology(ies) and/or standardized baseline(s) which are expected to contribute more than 1 % of the annual emission reduction?	VVS para 95, 96

3.7 Baseline scenario		
3.7.1 Baseline scenario identification	Does the validation report describe the steps taken to assess the baseline scenario identified and a validation opinion on the assumptions and data used, the documentation and the relevant national and/or sectoral policies and circumstances, and the method applied to crosscheck the information contained in the PDD?	VVS para 101-103, 105, 106
3.7.2 Alternative scenario(s)	Does the validation report indicate if procedures in the methodology(ies) has been correctly applied in to identifying the baseline scenario, and confirm that no alternative scenario has been excluded where the methodology requires several alternative scenarios to be considered?	VVS para 99, 100
3.7.3 Standardized baseline scenario	Where the CDM project activity uses an approved standardized baseline that standardises the baseline scenario, does the validation report provide an opinion on as to whether the baseline scenario identified in the PDD is in accordance with the selected standardized baseline?	VVS para 104, 107
3.8 Additionality		
3.8.1 Additionality	Does the validation report describe all the steps taken to cross-check the given information in the PDD, and how it has determined the credibility of the evidence, where applicable?	VVS para 112, 198
3.8.2 Project starting date	Does the validation report describe how the project starting date was validated to be in line with the latest CDM glossary of terms?	VVS para 114, 120 (a)
3.8.3 Continuing and real actions	Does the validation report describe how real and continuing actions to secure the CDM status was validated?	VVS para 116 (b), 117, 118
3.8.4 Evidence of prior consideration	Does the validation report describe how the evidence of the prior consideration of CDM and the real and continuing actions, if applicable, were assessed?	VVS para 120 (b)

3.8.5 Compliance with the requirements	Does the validation report include a validation opinion regarding the project activity's compliance with the applicable requirements related to the prior consideration of and the real and continuing actions for the CDM status?	VVS para 120 (c)
3.8.6 Demonstration of additionality	Does the validation report describe the assessment of the option/ approach taken by the project participant and if it is in accordance with the requirements by the applied methodology(ies), applicable guidelines and/or additionality criteria in the selected standardized baseline(s)?	VVS para 110, 111, 195, 196
3.8.7 Identification of alternatives	Where the baseline scenario is not prescribed in the approved methodology, does the validation report indicate whether the list of alternatives presented in the PDD is credible and complete?	VVS para 122, 125
3.8.8 Accuracy of the investment analysis	Where investment analysis is used, does the validation report contain a confirmation of the appropriateness of the underlying assumptions and the accuracy of financial calculations carried out for any investment analysis?	VVS para 129, 132 (c)
3.8.9 Parameters used for the investment analysis	Where investment analysis is used, does the validation report describe how the suitability of parameters used in the financial calculation has been assessed?	VVS para 129 (a) (b) (c)
3.8.10 Sensitivity analysis of the investment analysis	Does the validation report contain assessment of the sensitivity analysis of the financial calculation to determine under what conditions variations in the result would occur and the likelihood of these conditions?	VVS para 129 (e)
3.8.11 Suitability of the benchmark	Where benchmark analysis is conducted, does the validation report describe how the suitability of the benchmark has been assessed?	VVS para 130, 132 (b)
3.8.12 Feasibility report	In case the financial parameters are taken from a feasibility study report (FSR) that is approved by a national authority, does the validation report provide a clear validation opinion on the project activity's compliance with the applicable requirements related to the reference to FSRs?	VVS para 131

3.8.13 Assessment of barrier analysis	Where barrier analysis is used, does the validation report describe how the DOE has assessed each barrier identified and the credibility of the barrier analysis?	VVS para 134-136
3.8.14 Common practice analysis	Where applicable, does the validation report describe validation of the common practice analysis, in particular: the applicable geographical area, existence of similar projects, essential distinctions between the project activity and any similar projects; and confirm that the project activity is not a common practice?	VVS para 138, 139
3.9 Emission reductions		
3.9.1 Application of equations and parameters	Does the validation report contain assessment on whether options for equations and parameters have been correctly applied in accordance with the selected methodology(ies) and/or standardized baseline(s), and all estimates can be replicated using the data and parameter values provided in the PDD?	VVS para 141, 144 (d), (e)
3.9.2 Fixed data and parameters	Does the validation report verify that choices for data and parameters fixed throughout the crediting period are justified, sources of data and assumptions are appropriate, and do result in an accurate or conservative estimation of the emission reductions?	VVS para 142 (a), 144 (a), (b), (c), 145
3.9.3 Monitored data and parameters	Does the validation report verify that estimates for data and parameters that will be monitored or estimated on implementation are reasonable?	VVS para 142 (b), 144 (a), (b), (c), 145

3.9.4 Sampling	Where parameters are determined by sampling, does the validation report verify that sampling efforts have been undertaken in accordance with the "Standard for sampling and surveys for CDM project activities"?	VVS para 142 (a), (b) SS section 6 -
3.10 Monitoring plan		
3.10.1 Delayed monitoring plan	Where applicable, does the validation report confirm whether the project participants have decided to delay the submission of the monitoring plan?	VVS para 151-153
3.10.2 Compliance with the Monitoring methodology	Does the validation report describe how the DOE has assessed the compliance of the monitoring plan with the applied methodology(ies), tools and/or standardized baseline(s): whether it contains all necessary parameters, how each parameter is monitored and if any proposed sampling plan is in line with the "Standard for sampling and surveys for CDM project activities"?	VVS para 149 (a) and (c), 150 (a) SS section 6
3.10.3 Implementation of the monitoring plan	Does the validation report describe how the DOE has assessed the monitoring plan, whether the monitoring arrangements, including the QA/QC procedures, are feasible within the project design and the project participants have ability to implement it?	VVS para 149 (b), 150 (b) and (c)
3.11 Duration and crediting period		
3.11.1 Start date and crediting period	Does the validation report describe the steps taken to assess the compliance of the project activity's start date, operational life time and crediting period with the relevant requirements in the Project standard?	VVS para 154-156

3.12 Environmental Impact		
3.12.1 Environmental impact	Does the validation report indicate whether the project participant(s) have undertaken an environmental impact assessment in accordance with procedures as required by the host Party?	VVS para 160, 200
3.13 Local Stakeholders consultation		
3.13.1 Local stakeholder comments	Does the validation report describe how it has assessed the adequacy of the local stakeholder consultation and how comments from stakeholders, if any, have been taken in due account?	VVS para 162-165, 166
3.14 Validation Report		
3.14.1 Summary of validation process	Does the validation report include a summary of validation process?	VVS 176 (a)
3.14.2 Dialogue with project participants	Does the validation report describe the results of the dialogue between the DOE and the project participants, as well as any adjustments made to the project design following stakeholder consultation?	VVS 176 (b)
3.14.3 Requests raised by the DOE	Does the validation report contain information on all CARs, CLs and FARs: the issues raised, the responses by the project participants, how they were resolved, and how they resulted in changes in the PDD or supporting annexes?	VVS para 30, 176 (b)
3.14.4 FARs	In case FARs are raised, are they related to the project implementation and not to the registration requirements?	VVS para 28

3.14.5 Validation conclusions and opinion	Does the validation report describe the approaches taken, findings and conclusions, to reach the final validation opinion?	VVS para 176 (c), (d)
2.14.6 List of reference	Does the validation report provide lists of on-site inspections, interviewees and documents reviewed?	VVS para 176 (e)
2.14.7 Sampling approach	Does the validation report provide a list of sampling approaches used, and a description of determination of sample size and conduction of field visit in case of sampling approach applied to on-site inspection?	VVS para 176 (e)
2.14.8 Quality control	Does the validation report provide information on quality control within the team and in the validation process?	VVS para 176 (g)
2.14.9 Validation team	Does the validation report include the details of the validation team members, technical experts, internal technical reviewers involved, and their roles in the validation activity?	VVS para 176 (f), (h)
2.15 Validation opinion		
2.15.1 Validation methodology	Does the validation opinion include a summary of the validation methodology, procedures and the validation criteria applied and if the project activity satisfies the criteria?	VVS para 171 (a) (e)
2.15.2 Non coverage	Does the validation opinion include a description of any of the project components or issues that are not covered by the validation?	VVS para 171 (b)
2.15.3 Validation conclusion	Does the validation opinion include a summary of the validation conclusions and a statement on the validation of the expected emission reductions?	VVS para 171 (c), (d)

2. The checklist also includes the following list of editorial issues and inconsistencies:

Item	Description of the Item
1.	Any issue of an editorial nature that is not picked at completeness check stage
2.	Hyperlink/weblink missing or not opening
3.	System diagram like project boundary, monitoring line diagram, management structure missing or is unclear
4.	GHG sources not discussed in the PDD
5.	Start date of crediting period missing except for cases in which project participant intends to start the crediting period after the registration of the project.
6.	Recording frequency of parameters not reported as per the methodology
7.	In case of resubmission after incomplete information and reporting check, any missing or not readable documents or document containing blank pages, typographical errors, or part of text not in English

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Document information

Version	*Date*	*Description*
01.0	30 August 2016	Initial publication as an annex to the annotated agenda of EB91.

Decision Class: Operational
Document Type: Information note
Business Function: Issuance, Registration
Keywords: certification, completeness check, timelines, request for registration, streamline