

CDM-EB91-AA-A07

Revision of CDM project standard, validation and verification standard, and project cycle procedure

Version 01.0



United Nations
Framework Convention on
Climate Change

COVER NOTE

1. Procedural background

1. The Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board), at its sixty-fifth meeting, adopted the “CDM project standard” (PS), “CDM validation and verification standard” (VVS) and “CDM project cycle procedure” (PCP), consolidating, and modifying as appropriate, the existing regulatory documents at that time. To date, the Board has revised each of these documents several times, mainly reflecting the evolving rules for programmes of activities (PoAs) and introducing the rules for carbon dioxide capture and storage project activities and project activities and PoAs applying standardized baselines.
2. Since its eighty-sixth meeting (EB 86), the Board has been considering various concrete proposals prepared by the secretariat to simplify and streamline the CDM. By EB 90, the Board had agreed on the directions for most of those proposals, and requested the secretariat to prepare revised regulatory documents reflecting the agreed directions.
3. Based on a request from the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its eleventh session, the Board, at EB 88, considered options for developing standalone PoA guidance, and requested the secretariat to start developing two sets of regulatory documents, one applicable only for PoAs and the other only for project activities, taking as a basis the provisions of the existing PS, VVS and PCP, and reflecting all new directions and changes agreed by the Board since the last revision of these documents.

2. Purpose

4. The purpose of the revision of the PS, VVS and PCP covered by the attached drafts is to generally simplify and streamline the CDM regulations, as well as to accommodate the request from the CMP at its eleventh session with regard to the development of standalone PoA guidance.

3. Key issues and proposed solutions

3.1. General

5. The draft revised PS, VVS and PCP contained in appendices 2–4 are the set of these documents applicable only for PoAs. As most agreed directions of changes are applicable to both PoAs and project activities, similar changes will be made to the set of these documents applicable only for project activities. The latter will be presented to the Board at EB 92 together with the final version of the set for PoAs.
6. The merger of the PS and VVS for each set, which was agreed by the Board at EB 88, has not yet been reflected due to time constraints. In the meantime, the secretariat feels that the merger of the two documents, although it has some merits (e.g. removing

repetitions of the same requirements in the PS and VVS), the time and resources required to do so may outweigh the merits.

7. The draft revised PS, VVS and PCP for PoAs contained in appendices 2–4 reflect or incorporate the following:
- (a) The directions of changes for the simplification and streamlining of the CDM agreed by the Board based on the considerations of:
 - (i) “Concept note: Proposals for simplification and streamlining of the CDM” (presented at EB 86);
 - (ii) “Concept note: Revised proposals for simplification and streamlining of the CDM (first batch)” (presented at EB 87);
 - (iii) “Concept note: Revised proposals for simplification and streamlining of the CDM (second batch)” (presented at EB 88);
 - (iv) “Concept note: Revised proposals for simplification and streamlining of the CDM (third batch)” (presented at EB 89);
 - (v) “Concept note: Progress of the work on the simplification and streamlining of the CDM” (presented at EB 90);
 - (b) The structure of revised PS, VVS and PCP agreed by the Board based on the consideration of the “Concept note: Options for developing programme of activities guidance” (presented at EB 87);
 - (c) Other changes agreed by the Board with regard to:
 - (i) Voluntary monitoring of sustainable development co-benefits (EB 82 report, para. 43);
 - (ii) Timing of local stakeholder consultation (EB 85 report, para. 69(a));
 - (iii) Improving stakeholder consultation processes (EB 86 report, annex 12);
 - (iv) Updating the status of validation and verification (EB 89 report, para. 13);
 - (v) Applicability of pro rata approach to issuance of temporary certified emission reductions (tCERs) and long-term certified emission reductions (ICERs) (EB 89 report, para. 49);
 - (vi) Reducing the risk of disputes and irregularities in the modalities of communication processes (presented as part of the concept note referred to in subparagraph (a)(v));
 - (d) Relevant existing regulatory documents:
 - (i) “Standard: Demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities” (version 04.0);
 - (ii) “Standard: General principles for bundling” (version 03.0);

- (iii) “Amendment to version 09.0 of the CDM project standard” (issued at EB 86);
 - (iv) “Amendment to version 09.0 of the CDM project cycle procedure” (issued at EB 86);
 - (v) “Clarification: Renewal of crediting period of registered CDM project activity that has not been implemented in the first crediting period” (issued at EB 82);
 - (vi) “Clarification: New project activity in the same physical or geographical location at which a project activity whose crediting period has expired existed” (issued at EB 83);
 - (e) General editorial and consistency improvement.
8. In the draft revised PS, VVS and PCP for PoAs contained in appendices 2–4, the parts that include substantive changes to the currently effective versions are highlighted in yellow. Obvious changes that are necessary to create the PoA versions, such as removing “project participants” and “project activity” or replacing them with “the coordinating/managing entity” and “PoA” (or “component project entity”), respectively, and general editorial improvement are not highlighted. Paragraph numbers in the currently effective versions are maintained to avoid confusion for comparison of the texts between them.
9. The tables in appendix 1 list all areas of substantive changes made to the PS, VVS and PCP for PoAs, with the affected paragraph numbers of these documents.

4. Impacts

10. Revised PS, VVS and PCP would benefit all stakeholders, as well as the Board and the secretariat, due to simplified and streamlined CDM regulations and improved consistency, clarity and comprehensiveness.

5. Proposed work and timeline

11. Based on the feedback from the Board at EB 91 on the draft revised PS, VVS and PCP for PoAs, the secretariat will revise these documents and prepare draft revised PS, VVS and PCP for project activities, and present both at EB 92 for adoption.
12. Upon the adoption by the Board of the two sets of revised PS, VVS and PCP, the secretariat will prepare the implementation of the revised framework, including:
- (a) Modification to the IT workflow for handling submissions of requests for registration, issuance, post-registration changes, renewal of crediting period, etc.;
 - (b) Development/revision of affected guidelines, forms and checklists referred to in the revised PS, VVS and PCP;
 - (c) Dissemination of information to stakeholders.
13. At EB 92, the secretariat will propose the implementation plan of the revised PS, VVS and PCP, including possible transitional measures regarding the validity of the current

versions and revised versions, taking into account the time required for the preparation referred to in paragraph 12 above and the impact on the users of these documents.

6. Recommendations to the Board

14. The Board may wish to reconsider the decision at EB 88 to merge the PS and VVS, and decide to keep them separate.
15. Based on the consideration at EB 88, the Board may wish to consider whether to merge the PCP applicable to both PoAs and project activities or keep them separate.
16. The Board may wish to provide feedback on the draft revised PS, VVS and PCP for PoAs, and request the secretariat to prepare the final drafts of revised PS, VVS and PCP for PoAs and for project activities.

TABLE OF CONTENTS	Page
APPENDIX 1. AREAS OF SUBSTANTIVE CHANGES TO THE “CDM PROJECT STANDARD”, “CDM VALIDATION AND VERIFICATION STANDARD” AND “CDM PROJECT CYCLE PROCEDURE”	7
APPENDIX 2. DRAFT STANDARD. CDM PROJECT STANDARD FOR PROGRAMME OF ACTIVITIES (VERSION 01.0)	11
APPENDIX 3. DRAFT STANDARD. CDM VALIDATION AND VERIFICATION STANDARD FOR PROGRAMMES OF ACTIVITIES (VERSION 01.0)	87
APPENDIX 4. DRAFT PROCEDURE. CDM PROJECT CYCLE PROCEDURE FOR PROGRAMMES OF ACTIVITIES (VERSION 01.0)	174

Appendix 1. Areas of substantive changes to the “CDM project standard”, “CDM validation and verification standard” and “CDM project cycle procedure”

1. The tables below list areas of substantive changes to the “CDM project cycle procedure” (PS), “CDM validation and verification standard” (VVS) and “CDM project cycle procedure” (PCP), indicating affected paragraph numbers in the drafts of these documents in appendices 2–4.

Table 1. Changes for simplification and streamlining of the CDM as agreed by the Board

#	Area of substantive change	Affected paragraph/section		
		PS	VVS	PCP
1	Clarifying conditions for exemption from on-site inspection at validation and verification	Not applicable (N.A.)	23 _{bis} –23 _{ter} , 373 _{bis} –373 _{quater}	N.A.
2	Removing the requirement of submission of the first specific-case component project activity (CPA) corresponding to each generic CPA for the assessment by the secretariat and the Board when requesting registration of a programme of activities (PoA) or through the post-registration change, and introducing sample check by the secretariat of any included CPAs	71 _{quinquies} , 209, 228(a), 234, 271 _{bis} , 271 _{ter} (c) 290(c), 293, 307	270, 275, 292, 327 _{ter} , 340	19–20, 21(d), 21(g), 21(j), 128, 129, 130 , 149, 155(c), 161(c), 161(d), 161 _{bis} , 162, 173 _{bis} , 173 _{ter} , 175(b), 175(c), 179, 312(c)
3	Simplifying the inclusion process for automatically additional microscale CPAs in a PoA	34 _{sexies} , 238 _{quinquies}	380 _{quater} , 427(a)	21(j)(ii), 129 _{bis} , 130 _{bis} , 145 _{bis}
4	Allowing voluntary update and change of methodology after registration	290(f)	323	148(b)(vii)
5	Increasing the flexibility in changes to the start date of the crediting period	278, 280–280 _{bis}	N.A.	N.A.

#	Area of substantive change	Affected paragraph/section		
		PS	VVS	PCP
6	Allowing the change of designated operational entity (DOE) at validation and verification	97 _{bis} , 263 _{bis}	N.A.	217 _{bis} –217 _{quater}
7	Extending the validity of applied methodologies for resubmissions	N.A.	N.A.	86–87
8	Making the choice of prior-approval track or issuance track flexible for any post-registration change types, and converting the current list of post-registration change types that may be submitted under the issuance track into an indicative list	267, 271, 271 _{bis} –271 _{ter} , 272–274, 276, 280(b), 282–283, 286, 290 _{bis} , 297, appendix 2	289, 299, 331, 402(a)	155–159,
9	Providing unlimited flexibility to verification schedules for PoAs	258, 263 _{ter} (b), 315(b)–315(c)	380 _{sexies} , 380 _{sep} ties	N.A.
10	Allowing re-inclusion of excluded CPAs into a PoA	322–325	76	144, 147 _{bis}
11	Clarifying the types of information for requesting authorization of a DOE to perform both validation and verification for the same PoA	N.A.	N.A.	209–210

Table 2. Other changes as agreed by the Board

#	Area of substantive change	Affected paragraph/section		
		PS	VVS	PCP
11	Voluntary monitoring of sustainable development co-benefits of a PoA	80 _{bis} , 91, 262	353(d) _{bis} , 403 _{bis} –403 _{quater}	N.A.
12	Timing of local stakeholder consultation	78(a)	162(e)	N.A.
13	Improving stakeholder consultation process	74–77 _{ter}	380 _{bis} , 380 _{ter}	21(h), 213 _{bis}
14	Updating the status of validation and verification	N.A.	N.A.	34, 219

#	Area of substantive change	Affected paragraph/section		
		PS	VVS	PCP
15	Applicability of pro rata approach to issuance of temporary certified emission reductions (tCERs) and long-term certified emission reductions (ICERs)	254(c)	419 _{bis}	N.A.
16	Reducing the risk of disputes and irregularities in the modalities of communication process	N.A.	N.A.	44 _{bis} , 189, , 206(e),

Table 3. Incorporation of existing relevant regulatory documents

#	Area of substantive change	Affected paragraph/section		
		PS	VVS	PCP
17	“Standard: Demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities” (version 04.0)	34 _{bis} –34 _{ter} , 37 _{bis} –37 _{septies} , 52 _{bis} –52 _{ter} , 65 _{bis} –65 _{ter} , 290(b)(iv)–(vi), 290 _{bis} , appendix 1, footnote 50	69 _{ter} , 70 _{sexies}	128
18	“Standard: General principles for bundling” (version 03.0)	101, 257 _{bis} , 314	185–188	N.A.
19	“Amendment to version 09.0 of the CDM project standard” (issued at EB 86)	35 _{bis} , 220, 290(b)(iii)	N.A.	N.A.
20	“Amendment to version 09.0 of the CDM project cycle procedure” (issued at EB 86)	N.A.	N.A.	150(b)(iii)
21	“Clarification: Renewal of crediting period of registered CDM project activity that has not been implemented in the first crediting period (issued at EB 82)	N.A.	N.A.	290 _{bis}
22	“Clarification: New project activity in the same physical or geographical location at which a project activity whose crediting period has expired existed (issued at EB 83)	35 _{ter} –35 _{quater}	75 _{bis}	N.A.

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Appendix 2. Draft Standard. CDM project standard for programme of activities (version 01.0)

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CDM project standard for programmes of activities

Version 01.0

DRAFT



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TABLE OF CONTENTS	Page
1. INTRODUCTION	19
1.1. Background	19
1.2. Objectives	20
2. SCOPE, APPLICABILITY AND ENTRY INTO FORCE	20
2.1. General	20
2.2. Application	20
2.3. Entry into force	20
3. NORMATIVE REFERENCES	20
4. TERMS AND DEFINITIONS	20
5. PRINCIPLES	21
5.1. General	21
5.2. Relevance	21
5.3. Completeness	21
5.4. Consistency	21
5.5. Accuracy and conservativeness	21
5.6. Transparency	22
6. GENERAL REQUIREMENTS	22
6.1. Use of and compliance with applicable standards	22
6.2. Identification of programme type	22
6.3. Selection of methodology	23
6.4. Selection of standardized baseline	23
6.5. Determination of start date of programme of activities	24
7. DESIGN REQUIREMENTS FOR ALL PROGRAMME TYPES	24
7.1. Description of programme of activities	24
7.1 _{bis} . Eligibility criteria for inclusion of component project activities	26
7.1 _{ter} . Description of component project activities	28
7.2. Application of selected approved methodology and standardized baseline	31

7.2.1.	General.....	31
7.2.1 _{bis}	Application of multiple methodologies	31
7.2.2.	Reference of methodology and standardized baseline	34
7.2.3.	Applicability of methodology and standardized baseline.....	34
7.2.4.	Project boundary	34
7.2.5.	Establishment and description of baseline scenario	34
7.2.6.	Demonstration of additionality	36
7.2.7.	Emission reductions	36
7.2.8.	Monitoring plan.....	37
7.2 _{bis} .	Management system	38
7.3.	Duration and crediting period.....	39
7.3.1.	Duration and renewal of programme of activities	39
7.3.2.	Duration and crediting period of component project activities.....	39
7.4.	Environmental impacts.....	40
7.5.	Local stakeholder consultation.....	41
7.5.1.	General.....	41
7.5.2.	Scope of local stakeholder consultation	41
7.5.3.	Minimum group of stakeholders to be involved	41
7.5.4.	Means for inviting stakeholders' participation	41
7.5.5.	Information to be made available to stakeholders	42
7.5.6.	Conduct of the consultation	42
7.5.7.	Summary of comments received	42
7.5.8.	Consideration of comments received	42
7.5.9.	Timing of local stakeholder consultation.....	42
7.5.10.	Post-local stakeholder consultation activities	43
7.5 _{bis} .	Sustainable development co-benefits	43
7.6.	Approval and authorization	43
7.7.	Modalities of communications	44
7.8.	Validation.....	44
8.	SPECIFIC DESIGN REQUIREMENTS FOR SMALL-SCALE COMPONENT PROJECT ACTIVITIES.....	46

8.1.	General requirements	46
8.2.	Project activity type and eligibility	46
8.3.	Bundling of project activity [DELETED]	47
8.4.	Debundling of project activity	48
8.5.	Description of component project activity	48
8.6.	Application of selected methodology and selected standardized baseline	48
8.6.1.	General.....	48
8.6.2.	Demonstration of additionality	49
8.6.3.	Monitoring plan.....	49
8.7.	Environmental impacts.....	50
9.	SPECIFIC DESIGN REQUIREMENTS FOR AFFORESTATION AND REFORESTATION COMPONENT PROJECT ACTIVITIES.....	50
9.1.	Description of component project activity	50
9.2.	Project boundary	50
9.3.	Eligibility of land.....	52
9.4.	Addressing non-permanence.....	52
9.5.	Application of selected methodology and selected standardized baseline	52
9.5.1.	General.....	52
9.5.2.	Demonstration of additionality	53
9.5.3.	Monitoring	53
9.6.	Duration and crediting period.....	53
9.7.	Environmental impacts.....	54
9.8.	Socio-economic impacts	54
10.	SPECIFIC DESIGN REQUIREMENTS FOR SMALL-SCALE AFFORESTATION AND REFORESTATION COMPONENT PROJECT ACTIVITIES.....	55
11.	SPECIFIC DESIGN REQUIREMENTS FOR CARBON DIOXIDE CAPTURE AND STORAGE PROJECT ACTIVITIES [DELETED]	55
11.1.	Definitions for CCS project activities [DELETED].....	55
11.2.	Description of project activity [DELETED]	56
11.3.	Host Party participation requirements [DELETED].....	56

11.4.	Selection and characterization of the geological storage site [DELETED]	56
11.5.	Project boundary [DELETED]	56
11.6.	Risk and safety assessment [DELETED]	56
11.7.	Monitoring [DELETED]	57
11.8.	Requirements for financial provision [DELETED]	57
11.9.	Liability [DELETED]	57
11.10.	Environmental and socioeconomic impact assessments [DELETED]	57
11.11.	Verification and certification [DELETED]	57
12.	SPECIFIC DESIGN REQUIREMENTS FOR PROGRAMMES OF ACTIVITIES [CONTENT MOVED TO OTHER SECTIONS]	58
12.1.	General [CONTENT MOVED TO SECTION 7.1 _{ter}]	58
12.2.	Selection of methodology and standardized baseline [CONTENT MOVED TO SECTION 7.2.1]	58
12.3.	Description of programme of activities [CONTENT MOVED TO SECTIONS 7.1, 7.1 _{ter} , 7.2.4, 7.2.5, 7.2 _{bis}]	58
12.4.	Description of component project activities [CONTENT MOVED TO SECTION 7.1 _{ter}]	58
12.5.	Eligibility criteria [CONTENT MOVED TO SECTION 7.1 _{bis}]	58
12.6.	Application of selected baseline and monitoring methodologies and selected standardized baselines [CONTENT MOVED TO SECTIONS 7.2.1 _{bis} , 7.2.6, 7.2.7, 13.5]	59
12.6.1.	General requirements [CONTENT MOVED TO SECTION 7.2.1 _{bis}]	59
12.6.2.	Demonstration of additionality [CONTENT MOVED TO SECTION 7.2.6]	59
12.6.3.	Sampling [CONTENT MOVED TO SECTIONS 7.2.7, 13.5]	59
12.7.	Debundling of small-scale component project activities [CONTENT MOVED TO SECTION 7.1 _{ter}]	59
12.8.	Duration and crediting period [CONTENT MOVED TO SECTIONS 7.3.1, 7.3.2, 9.6]	59
12.8.1.	Duration of programme of activities and component project activities [CONTENT MOVED TO SECTIONS 7.3.1, 7.3.2]	59
12.8.2.	Crediting period [CONTENT MOVED TO SECTIONS 7.3.1, 7.3.2, 9.6]	59
12.9.	Environmental impacts [CONTENT MOVED TO SECTION 7.4]	60

12.10.	Local stakeholder consultation [CONTENT MOVED TO SECTIONS 7.5.1, 7.5.9]	60
12.11.	Approval and authorization [CONTENT MOVED TO SECTION 7.6]	60
12.12.	Modalities of communications [CONTENT MOVED TO SECTION 7.7]	60
12_{Bis}.	INCLUSION OF COMPONENT PROJECT ACTIVITIES IN A PROGRAMME OF ACTIVITIES	61
13.	IMPLEMENTATION AND MONITORING REQUIREMENTS FOR ALL PROJECT TYPES	61
13.1.	General requirements	61
13.2.	General description	62
13.3.	Description of implemented registered project activity or programme of activities	62
13.4.	Description of monitoring system	62
13.5.	Data and parameters	63
13.6.	Calculation of emission reductions or net removals	65
13.7.	Verification of implementation of registered programme of activities and monitored emission reductions or net removals	66
13.8.	Post-registration changes [PROMOTED AS NEW SECTION 14]	68
13.9.	Renewal of crediting period or programme [PROMOTED AS NEW SECTION 15]	68
13.10.	Specific requirements for small-scale projects activities [CONTENT MOVED TO SECTION 15.3]	68
13.11.	Specific requirements for programme of activities [CONTENT MOVED TO SECTION 15.4]	68
14.	POST-REGISTRATION CHANGES	68
14.1.	General requirements	68
14.2.	Temporary deviations from the registered monitoring plan, applied methodology or applied standardized baseline	69
14.3.	Permanent changes	70
14.3.1.	Corrections	70
14.3.2.	Changes to the start date of the crediting period of component project activities	70
14.3.3.	Delay in submission of monitoring plan	71
14.3.4.	Permanent changes to the registered monitoring plan	71
14.3.5.	Changes to the programme and project design	72

14.3.6.	Change of coordinating/managing entity	75
15.	RENEWAL OF PROGRAMME AND COMPONENT PROJECT ACTIVITIES	76
15.1.	Renewal of programme	76
15.1.1.	Renewal of crediting period of project activities [SECTION TITLE DELETED]	76
15.1.2.	Renewal of programme of activities [CONTENT MOVED TO SECTIONS 15.1.1, 15.2]	78
15.1.3.	Withdrawal of request for renewal of crediting period or renewal of programme of activities [SECTION TITLE DELETED]	79
15.2.	Renewal of crediting period of component project activities	79
15.3.	Specific requirements for small-scale projects activities [CONTENT MOVED TO SECTION 13.6]	79
15.4.	Specific requirements for programme of activities [CONTENT MOVED TO SECTIONS 12 _{bis} , 13.7, 14.3.6]	79
15.4.1.	Monitoring reports [CONTENT MOVED TO SECTION 13.7]	79
15.4.2.	Changes of coordinating/managing entity [CONTENT MOVED TO SECTION 14.3.6]	80
15.4.3.	Inclusion of component project activities in a programme of activities [CONTENT MOVED TO SECTION 12 _{bis}]	80
16.	VOLUNTARY EXCLUSION AND RE-INCLUSION OF COMPONENT PROJECT ACTIVITIES	80
16.1.	Voluntary exclusion of component project activities	80
16.2.	Re-inclusion of excluded component project activities	80
APPENDIX 1.	INSTRUCTIONS FOR THE CONSIDERATION OF CROSS EFFECTS FOR THE APPLICATION OF MULTIPLE METHODOLOGIES FOR A PROGRAMME OF ACTIVITIES	82
APPENDIX 2.	INDICATIVE LIST OF POST-REGISTRATION CHANGES THAT MAY BE SUITABLE FOR APPROVAL UNDER THE ISSUANCE TRACK	84

1. Introduction

1.1. Background

1. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) established the basis of the regulatory framework for the clean development mechanism (CDM) to implement Article 12 of the Kyoto Protocol through the following:
 - (a) Annex to decision 3/CMP.1: Modalities and procedures for a clean development mechanism (hereinafter referred to as the CDM M&Ps);
 - (b) Annexes to decision 4/CMP.1, including annex II: Simplified modalities and procedures for small-scale clean development mechanism project activities (hereinafter referred to as the CDM SSC M&Ps);
 - (c) Annex to decision 5/CMP.1: Modalities and procedures for afforestation and reforestation project activities under the clean development mechanism (hereinafter referred to as the CDM A/R M&Ps);
 - (d) Annex to decision 6/CMP.1: Simplified modalities and procedures for small-scale afforestation and reforestation project activities under the clean development mechanism (hereinafter referred to as the CDM SSC A/R M&Ps);
 - (e) Decision 7/CMP.1;
 - (f) Annex to decision 10/CMP.7: Modalities and procedures for carbon dioxide capture and storage in geological formations under the clean development mechanism (hereinafter referred to as the CDM CCS M&Ps).
2. The CMP revised some of the provisions in these decisions through new decisions in subsequent sessions.
- 2^{bis}. The concept of a programme of activities (PoA) was introduced by decision 7/CMP.1, paragraph 20, which states “(The CMP) Decides that a local/regional/national policy or standard cannot be considered as a clean development mechanism project activity, but that project activities under a programme of activities can be registered as a single clean development mechanism project activity provided that approved baseline and monitoring methodologies are used that, inter alia, define the appropriate boundary, avoid double-counting and account for leakage, ensuring that the emission reductions are real, measurable and verifiable, and additional to any that would occur in the absence of the project activity.”
3. Pursuant to its mandate from the CMP to operationalize the CDM, the Executive Board of the CDM (hereinafter referred to as the Board) has adopted various standards (including methodologies, tools and standardized baselines), procedures, guidelines, clarifications and forms, and revised them, as appropriate, with a view to improving the CDM process.

1.2. Objectives

4. The objectives of the “CDM project standard for programmes of activities” (hereinafter referred to as this standard) are to:
 - (a) Enhance consistency and clarity of requirements applicable to all types of CDM PoAs, and facilitate and promote a clear and common understanding by all parties involved in the CDM;
 - (b) Improve the quality of PoA design documents (PoA-DDs), component project activity (CPA) design documents (CPA-DDs) and monitoring reports prepared by coordinating/managing entities and submitted in the CDM project cycle;
 - (c) Enhance the overall efficiency and integrity of the CDM.

2. Scope, applicability and entry into force

2.1. General

5. This standard provides coordinating/managing entities with minimum requirements for designing and implementing a CDM PoA and seeking issuance of certified emission reductions (CERs).

2.2. Application

6. The principles set out in section 5 and the requirements in sections 6, 7 and 12 of this standard apply to any type of CDM PoA.
7. In addition to the requirements in sections 6 and 7, the requirements in sections 8, 9 and 10 apply specifically to small-scale CPAs, large-scale afforestation and reforestation (A/R) CPAs and small-scale A/R CPAs, respectively.

2.3. Entry into force

8. Version 01.0 of this standard enters into force on [DATE TO BE DETERMINED].

3. Normative references

9. The following referenced documents are indispensable for the application of this standard:
 - (a) “CDM project cycle procedure for programme of activities”;
 - (b) “Glossary of CDM terms”.

4. Terms and definitions

10. In addition to the definitions contained in the “Glossary of CDM terms”, the following terms apply in this standard:
 - (a) “Shall” is used to indicate requirements to be followed;

- (b) “Should” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
- (c) “May” is used to indicate what is permitted.
- (d) [MOVED TO “GLOSSARY OF CDM TERMS”]
- (e) [MOVED TO “GLOSSARY OF CDM TERMS”]
- (f) [MOVED TO “GLOSSARY OF CDM TERMS”]

5. Principles

5.1. General

- 11. The following principles¹ guide the design and implementation of a CDM PoA, the monitoring of greenhouse gas (GHG) emission reductions by sources or net anthropogenic GHG removals by sinks, and contribute to enhancing the environmental integrity of CDM PoAs.

5.2. Relevance

- 12. Select the GHG sources, GHG sinks, GHG reservoirs, data, methodologies and all other information that are appropriate to the needs of the intended user.²

5.3. Completeness

- 13. Include all relevant GHG sources and sinks, and information to support compliance with all requirements.

5.4. Consistency

- 14. Enable meaningful comparisons in PoA and CPA-related information.

5.5. Accuracy and conservativeness

- 15. Reduce bias and uncertainties as far as it is practical/cost-effective, or otherwise use conservative assumptions, values and procedures to ensure that GHG emission reductions by sources or net anthropogenic GHG removals by sinks are not over-estimated.

¹ This text is adapted to the CDM and is taken from ISO 14064-2:2006 - Greenhouse gases -- Part 2: Specification with guidance at the project level for quantification, monitoring and reporting of greenhouse gas emission reductions or removal enhancements; it is reproduced with the permission of the International Organization for Standardization, ISO. This standard can be obtained from any ISO member and from the website of the ISO Central Secretariat at the following address <<http://www.iso.org>>. Copyright remains with ISO.

² “Intended users” include project participants, coordinating/managing entities, designated operational entities (DOEs), the Board, the UNFCCC secretariat, designated national authorities (DNAs) and local and other stakeholders.

5.6. Transparency

16. Disclose sufficient and appropriate PoA and CPA-related information in a truthful manner to allow intended users to make decisions with reasonable confidence. Do not disclose proprietary or confidential information marked as such by coordinating/managing entities without the written consent of the provider of the information, except as required by national law. In this context, information used to determine additionality, to describe the baseline methodology and its application, and to support an environmental impact assessment shall not be considered as proprietary or confidential.

6. General requirements

6.1. Use of and compliance with applicable standards

17. While designing as well as implementing and monitoring a CDM PoA, the coordinating/managing entity shall consider and use, in addition to this standard, all applicable baseline and monitoring methodologies (hereinafter referred to as methodologies), standardized baselines, tools and other regulatory documents adopted by the CMP or the Board.³
18. The coordinating/managing entity shall ensure that the proposed CDM PoA complies with all requirements in the CDM M&Ps applicable to the PoA, as referred to in paragraph 1 above, all applicable requirements in this standard and all other applicable CDM rules and requirements adopted by the CMP and the Board.

6.2. Identification of programme type

19. The coordinating/managing entity shall determine the type of CDM PoA they intend to design and implement from the following:
 - (a) [DELETED]
 - (b) [DELETED]
 - (c) [DELETED]
 - (d) [DELETED]
 - (e) [DELETED]
 - (f) [DELETED]
 - (g) PoA that will include only non-A/R CPAs (hereinafter referred to as non-A/R PoA);
 - (h) PoA that will include only A/R CPAs (hereinafter referred to as A/R PoA).

³ These documents are available on the UNFCCC CDM website.

6.3. Selection of methodology

20. The project participants or the coordinating/managing entity shall select a methodology that has been approved by the Board and that is applicable to the proposed CDM PoA (hereinafter referred to as selected methodology).
21. In considering the use of a methodology applicable to the proposed CDM PoA in accordance with the applicable guidelines and/or procedure, the coordinating/managing entity may:
 - (a) Propose a new methodology in accordance with the “Procedure: Development, revision and clarification of methodologies and methodological tools” (hereinafter referred to as the methodology procedure);
 - (b) Propose a revision to an approved methodology or methodological tool in accordance with the methodology procedure;
 - (c) Seek clarification of an approved methodology or methodological tool in accordance with the methodology procedure; or
 - (d) Request for deviation from an approved methodology in accordance with the “CDM project cycle procedure for programme of activities”.⁴

6.4. Selection of standardized baseline

22. The coordinating/managing entity may select an approved standardized baseline (hereinafter referred to as selected standardized baseline) if the selected standardized baseline is valid and applicable to the proposed CDM PoA and to the selected methodology in accordance with its applicability section.
23. Notwithstanding the provision in paragraph 22 above, the coordinating/managing entity shall select an approved standardized baseline if the selected standardized baseline is valid and applicable to the proposed CDM PoA and to the selected methodology, and the selection of the applicable approved standardized baseline is mandatory, in accordance with its applicability section.⁵
 - (a) [CONSOLIDATED INTO THE CHAPEAU PARA.]
 - (b) [CONSOLIDATED INTO THE CHAPEAU PARA.]
24. Notwithstanding the provisions in paragraphs 22 and 23 above, the coordinating/managing entity shall not select an applicable approved standardized baseline that standardizes additionality if the start date of the proposed CDM PoA is before the date when the approved standardized baseline becomes valid.

⁴ See the relevant provisions in the “CDM validation and verification standard” (CDM-EB65-A04-STAN) for examples of deviation in project-specific situations.

⁵ Such standardized baselines include ASB0001 and ASB0003 that state in their applicability section that the latest approved and valid values of the standardized baseline are the only values of the carbon dioxide (CO₂) emission factor(s) that shall be applied for the project electricity system.

25. If PoA-DD has been published for global stakeholder consultation when no applicable approved standardized baseline was valid, and if after the publication of the PoA-DD for global stakeholder consultation but before the submission of a request for registration of the proposed CDM PoA an applicable approved standardized baseline whose selection is mandatory has become valid, the request for registration may be submitted without selecting the standardized baseline within 240 days after the standardized baseline became valid.
26. In considering the use of a standardized baseline applicable to the proposed CDM PoA, the coordinating/managing entity may, in accordance with the "Procedure: Development, revision, clarification and update of standardized baselines":
- (a) Propose a new standardized baseline;
 - (b) Propose a revision to an approved standardized baseline;
 - (c) Seek clarification of an approved standardized baseline; or
 - (d) Propose an updated standardized baseline.

6.5. Determination of start date of programme of activities

27. [DELETED]
28. [DELETED]
29. [DELETED]
- (a) [DELETED]⁶
 - (b) [DELETED]⁷
 - (c) [DELETED]
30. The coordinating/managing entity may notify the designated national authority (DNA) of the host Party(ies) of the PoA and the UNFCCC secretariat (hereinafter referred to as the secretariat) of the intention to seek the CDM status for the PoA in accordance with the "CDM project cycle procedure for programme of activities" for the purpose of determining the start date of the PoA.

7. Design requirements for all programme types

7.1. Description of programme of activities

31. The coordinating/managing entity shall describe the proposed CDM PoA in the PoA-DD to provide an understanding of the nature and the implementation of the PoA.

⁶ [DELETED]

⁷ [DELETED]

32. When describing the proposed CDM PoA, the coordinating/managing entity shall provide, inter alia, the following information:
- (a) A title for the PoA;
 - (b) The sectoral scope(s) **linked to the applied methodology**;
 - (c) The purpose and a general description of the PoA, including:
 - (i) The policy/measure or stated goal that the PoA seeks to achieve;
 - (ii) A framework for the implementation of the PoA and inclusion of CPAs in the PoA;
 - (iii) A confirmation that the PoA is a voluntary action by the coordinating/managing entity;
 - (iv) How the PoA contributes to the sustainable development of the host Party;
 - (d) The physical/geographical boundary of the PoA;
 - (e) The technologies and measures to be employed and/or implemented by the CPAs in the PoA. Include a description of how the technologies, measures and know-how for the use of them are transferred to the host Party, where applicable;
 - (f) The facilities, systems and equipment in operation under the existing scenario prior to the implementation of CPAs under the PoA and in the baseline scenario as established in accordance with section 7.2.5 below. Clearly explain how the same types and levels of services provided by CPAs under the PoA would have been provided in the baseline scenario;
 - (g) The types and levels of services provided by the facilities, systems and equipment that are being modified and/or installed under CPAs under the PoA and their relation, if any, to other manufacturing/production facilities, systems and equipment outside the project boundary. Include in the description information on the age and average lifetime of the facilities, systems and equipment based on the manufacturer's specifications and industry standards, and existing and forecast installed capacities, load factors and efficiencies. Provide energy and mass flows and balances of the facilities, systems and equipment included in CPAs under the PoA if necessary.
33. The coordinating/managing entity shall identify:
- (a) The Parties involved in the proposed CDM PoA, including the host Party(ies);
 - (b) The project participants of the proposed CDM PoA;
 - (c) The coordinating/managing entity.
34. The coordinating/managing entity shall provide information on sources of public funding for the proposed CDM PoA. In cases where public funding from Parties included in Annex I to the United Nations Framework Convention on Climate Change (hereinafter referred to as the Convention) is involved, the coordinating/managing entity shall provide an affirmation obtained from the Parties included in Annex I that such funding does not

result in a diversion of official development assistance, is separate from and is not counted towards the financial obligations, of those Parties.

7.1^{bis}. Eligibility criteria for inclusion of component project activities

34^{bis}. The coordinating/managing entity shall define the eligibility criteria for inclusion of CPAs in the proposed CDM PoA, and demonstrate their usability to assess the inclusion of CPAs in the PoA. If the PoA includes combinations of technologies/measures and/or methodologies, the coordinating/managing entity shall develop distinct eligibility criteria for each combination.

34^{ter}. The eligibility criteria shall cover as a minimum the following:⁸

- (a) Geographical boundaries of CPAs consistent with the geographical boundary of the PoA;
- (b) Conditions to avoid double counting of GHG emission reductions or net anthropogenic GHG removals, such as unique identifications of product and end-user locations (e.g. programme logo);
- (c) Conditions to confirm that CPAs are neither registered as CDM project activities, included in another registered PoAs, nor project activities that have been deregistered.
- (d) Specifications of technology/measure⁹ including the level¹⁰ and type of service, performance specifications including compliance with testing/certifications;
- (e) Conditions to check the start dates of CPAs through documentary evidence;
- (f) Conditions to ensure the compliance with the applicability and other requirements of methodologies applied by CPAs;
- (g) Conditions to ensure that CPAs meet the requirements on the demonstration of additionality as follows:
 - (i) if the PoA defines a generic CPA that applies large-scale methodologies, the conditions shall derive from the requirements contained in the additionality section of the methodologies;
 - (ii) If the PoA defines a generic CPA that is of small-scale in accordance with the thresholds referred to in paragraphs 99–100 below and applies small-scale methodologies, the conditions shall derive from the requirements contained in the additionality section of the methodologies, or if such

⁸ Validating DOE and/or the Board may specify additional criteria depending on the specific characteristics of a PoA.

⁹ Specifications of the technology/measure shall include the type, capacity and other key features of the design of the systems. For example, indicating the installed capacity (in kW), size or dimensions, fixed/portable operation, and other key design features that makes the project cook stoves efficient, would be appropriate; however, only indicating that all cook stoves will have an efficiency X% would not be sufficient.

¹⁰ The level of service shall be defined in comparison with the baseline system being replaced.

section does not exist, from applicable additionality tool or the “Methodological tool: Demonstrating additionality of small-scale project activities”;

- (iii) If the PoA defines a generic CPA that is of microscale in accordance with the thresholds referred to in paragraph 111(c) below and the “Methodological tool: Demonstrating additionality of microscale project activities” regardless of the scale of methodologies applied (i.e. large-scale methodologies, small-scale methodologies or combination thereof), the conditions shall derive from this tool;
- (iv) If investment analysis is used for the demonstration of additionality under the options referred to in subparagraphs (i) or (ii) above, it shall be done for each CPA through:
 - a. Defining the input parameters that will be used in the investment analysis, together with a description of how the values for these parameters will be obtained for each CPA. The additionality of each CPA shall then be assessed by using the actual values, applicable to the CPA at the time of inclusion, in the investment analysis conducted for the purpose of demonstrating the additionality of the CPA; or
 - b. Defining technical and economic criteria with a range of values for each input parameter which qualify a CPA for inclusion in the PoA.¹¹ Under this option, the eligibility criteria shall be updated in accordance with the requirements specified in the applied methodologies,¹² following the process of post-registration changes in accordance with the “CDM project cycle procedure for programme of activities”. At the time of inclusion of a CPA, the coordinating/managing entity shall assess whether the actual values applicable to the CPA at that time fall within the range;
- (v) If the PoA applies a combination of large-scale methodologies or large-scale and small-scale methodologies, and that the combination results in changed cash-flow for individual measures in comparison to the situation where the measures are implemented separately, the conditions shall be such that additionality is demonstrated for the measures both individually (i.e. each of the measures) and collectively (i.e. the combination of the measures);
- (vi) If the PoA involves a combination of technologies/measures and/or methodologies, the conditions shall be developed for each of them, taking

¹¹ For example, see the guidance in ACM0002 “Consolidated baseline methodology for grid-connected electricity generation from renewable sources” version 13.0.0, under the section ‘Project activity under a programme of activities’ to apply this option.

¹² For example version 13.0.0 of ACM0002 requires that the eligibility criteria related to costs, revenues and investment climate shall be updated every two years in order to correctly reflect the technical and market circumstances of a CPA implementation.

into account the types of combinations as indicated in section 7.2.1^{bis} below;

- (h) The PoA-specific requirements including any conditions related to undertaking local stakeholder consultation and environmental impact analysis;¹³
- (i) Conditions to provide an affirmation that funding from Annex I Parties, if any, does not result in a diversion of official development assistance;
- (j) Target group (e.g. domestic/commercial/industrial, rural/urban, grid-connected/off-grid), and where applicable, distribution mechanisms (e.g. direct installation);¹⁴
- (k) If the PoA applies sampling for the determination of parameter values for calculating GHG emission reductions, conditions related to sampling requirements for the PoA in accordance with the “Standard: Sampling and surveys for CDM project activities and programme of activities”;
- (l) If the PoA defines a generic CPA that is of small-scale or microscale, conditions to ensure that CPAs that will be included meet the small-scale or microscale thresholds and remain within those thresholds throughout the crediting period of the CPAs. However, if the generic CPA consists solely of units that qualify as ‘microscale CDM units’ as defined in the “Methodological tool: Demonstration of additionality of microscale project activities”, these conditions are not required;
- (m) If the PoA defines a generic CPA that is of small-scale or microscale, requirements for the debundling check based on the “Methodological tool: Assessment of debundling for small-scale project activities”. However, for CPAs that consist solely of units that qualify as ‘microscale CDM units’, these requirements are not required.

7.1^{ter}. Description of component project activities

³⁴_{quater}. As part of the proposed CDM PoA, the coordinating/managing entity shall prepare a generic CPA-DD with generic information applicable to all CPAs that will be included in the PoA. For a PoA applying more than one technology/measure or more than one

¹³ See also relevant paragraphs of the “CDM project cycle procedure for programme of activities”.

¹⁴ This is to re-test the validity of assumptions made at the PoA level. For example, in a lighting efficiency application, lighting usage hours of 3.5 hours per day would be valid if the target group is residences/households. Usage hours would be different in commercial applications and vice versa.

methodology, the coordinating/managing entity shall prepare a generic CPA-DD for each technology/measure, each methodology and each combination thereof.¹⁵

34^{quinquies}. The coordinating/managing entity shall consider any specific guidance in applied methodologies regarding the requirement to prepare separate generic CPA-DDs for each technology/measure, taking into account differences in the means of demonstration of additionality, emission reduction calculations, and monitoring methods applicable to the technologies/measures being implemented. As an exception, when the technologies/measures are included in the positive lists for additionality demonstration in the “Methodological tool: Demonstration of additionality of small-scale project activities” or “Methodological tool: Demonstration of additionality of microscale project activities” a generic CPA-DD may cover more than one technology/measure. However, the coordinating/managing entity shall still include all information related to eligibility criteria, emission reduction calculations and monitoring requirements for each technology/measure separately taking into account any specific guidance in the applied methodologies.

34^{sexies}. If a generic CPA-DD indicates that the corresponding CPAs are deemed automatically additional in accordance with the “Methodological tool: Demonstration of additionality of microscale project activities” and if the coordinating/managing entity intends to include such CPAs without validation by a DOE prior to inclusion in accordance with the “CDM project cycle procedure for programme of activities”, the coordinating/managing entity shall prepare the CPA inclusion template as part of the proposed CDM PoA.

34^{septies}. To include a CPA in the registered CDM PoA, the coordinating/managing entity shall develop a CPA-DD that describes the specific design of the CPA.¹⁶

34^{octies}. Each CPA-DD shall correspond to one of the generic CPA-DDs prepared in accordance with paragraphs 34^{quater} and 34^{quinquies} above and conform to the eligibility criteria for inclusion of CPAs in the PoA. If a generic CPA-DD contains more than one technology/measure in accordance with paragraph 34^{quinquies} above, a CPA-DD may correspond to any one of the technologies/measures or their combination covered by the generic CPA-DD.

¹⁵ For instance a PoA for efficient residential lighting applying more than one methodology will need more than one generic CPA-DD (e.g. a generic CPA-DD for efficient residential lighting under AMSII.C and a generic CPA-DD for efficient residential lighting under AMSII.J). Similarly a PoA for energy efficiency activities applying a single methodology but including different technologies will need more than one generic CPA-DD (e.g. a generic CPA-DD for efficient street lighting under AMSII.C and a generic CPA-DD for efficient water pumping under AMSII.C). Furthermore, a PoA for treatment of domestic manure would need more than one generic CPA-DD for applying more than one combination of methodologies (e.g. a generic CPA-DD for applying the combination AMSIII.R.+AMSI.E.+AMSI.I. and a generic CPA-DD for applying the combination AMSIII.R.+AMSI.I.). However, separate generic CPA-DDs are not required to cover cases that do not differ in terms of emission reduction calculations (e.g. separate generic CPA-DDs are not required for installing prefabricated project stoves of efficiency N under methodology AMSII.G by manufacturer M1 versus installing prefabricated project stoves of efficiency N under methodology AMSII.G by manufacturer M2).

¹⁶ In this standard, “CPA” and “CPA-DD” without prepositive “generic” mean they are of a specific-case CPA.

- 34^{nonies-} The coordinating/managing entity shall provide the geographic reference or other means of identification¹⁷ of each CPA.
- 34^{decies-} The coordinating/managing entity shall identify the entity/individual responsible for the operation of each CPA (name and contact details).
- 34^{undecies-} The coordinating/managing entity shall confirm for each CPA that it is neither registered as a CDM project activity nor included in another registered PoA.
35. The coordinating/managing entity shall confirm that the proposed CPA is not a project activity that has been deregistered.
- 35^{bis-} The coordinating/managing entity shall demonstrate that the proposed small-scale CPA is not a debundled component of a large-scale project activity in accordance with the “Methodological tool: Assessment of debundling for small-scale project activities”.¹⁸
- 35^{ter-} The coordinating/managing entity shall declare the existence of a registered CDM project activity or a CPA under a registered CDM PoA whose crediting period has expired (hereinafter referred to as former project) in the same geographical location of the proposed CPA, if applicable.
- 35^{quater-} If the coordinating/managing entity identifies that the proposed CPA is in the same geographical location as a former project, it or through a DOE that conducts validation of the proposed CPA, shall, prior to the inclusion of the CPA in a registered CDM PoA, submit a communication to the Board in accordance with the “Procedure: Direct communication with stakeholders”, explaining that the proposed CPA would not lead to the continuation or modification of the former project and does not impact its GHG emission reductions, and including at least the information on the following issues:
- (a) Measure¹⁹: Whether the proposed CPA uses the same measure to reduce GHG emissions as the former project. Measures are: fuel/feedstock switch, technology switch, methane destruction and methane avoidance;
 - (b) Technology: Whether the proposed CPA uses the same technology or technologies as the former project. In this context, the two activities are considered to be using the same technology or technologies if they:
 - (i) Provide the same kind of output and use the same kind of equipment and conversion process; or
 - (ii) Undertake the same course of action that results in the same kind of effect (e.g. two projects using the same management practice such as fuel switching);

¹⁷ For example: the geographic reference for stationary CPAs; the registration number or GPS devices for mobile CPAs.

¹⁸ If a CPA solely comprises ‘microscale CDM units’ as defined in the “Methodological tool: Demonstration of additionality of microscale project activities”, the requirement regarding debundling as stated here is not applicable.

¹⁹ “Guidelines for determining baselines for measure(s)” EB69 annex 21, <http://cdm.unfccc.int/Reference/Guidclarif/meth/meth_guid50.pdf>.

- (c) Assets: Whether the proposed CPA uses the same assets as the former project; the assets could be physical, that is, project equipment, or non-corporeal such as permits and exclusive position in legislation. Assets are essential to the implementation of a CPA. The definition of assets in this context excludes land;
- (d) Output: Whether the proposed CPA provides the same output as the former project, for example, a CPA that utilizes waste heat for electricity generation provides a different output if the former project utilized waste heat for drying;
- (e) Resource: Whether the proposed CPA uses the same resource type as the former project; the resource may include categories of goods, energy and energy carrier that are supplied into the project location and are required for the implementation of the CPA, such as fossil fuel, by-product of a process, biomass, solar, wind, geothermal heat;
- (f) Any additional information pertaining to the establishment of baseline, additionality and leakage considerations.

7.2. Application of selected approved methodology and standardized baseline

7.2.1. General

36. The coordinating/managing entity shall apply the valid version(s) of the selected methodology(ies) and, where applicable, of the selected standardized baseline(s), that is the latest version, or the previous version if the submission of the request for registration of the CDM PoA to the secretariat in accordance with the “CDM project cycle procedure for programme of activities” is still within the grace period of the previous version for use.
- 36_{bis}. In selecting an approved methodology(ies), the coordinating/managing entity may select any approved methodology(ies) that are applicable to CPAs under a PoA, irrespective of the description in the methodologies on the applicability to PoAs.²⁰
37. The coordinating/managing entity shall apply the selected methodology(ies) and, where applicable, the selected standardized baseline(s), to the proposed CDM PoA including any tools, standards or guidelines required by the methodology(ies).

7.2.1_{bis} Application of multiple methodologies

7.2.1_{bis}.1 Application of multiple small-scale methodologies

- 37_{bis}. The coordinating/managing entity may apply combinations of multiple technologies/measures and/or small-scale methodologies for a PoA in one of the following options under the conditions indicated:²¹
- (a) The same combination of technologies/measures under the same combination of methodologies will be applied consistently in every CPA in a PoA. For example,

²⁰ See EB 68 meeting report, paragraph 97.

²¹ Combinations of approved methodologies contained in the “General guidelines for SSC CDM methodologies” may be applied without further assessment of cross effects or other conditions, while other combinations can be applied with the analysis of cross effects.

methane recovered from an anaerobic digester to treat animal manure under the methodology AMS-III.D is used for heat generation applying the methodology AMS-I.C;

- (b) A single methodology will be consistently applied in each CPA in a PoA but using multiple technologies/measures. For example, different wastewater treatment technologies may be used in different CPAs in the same PoA, applying the methodology AMS-III.H;
- (c) A principal technology/measure is used consistently in each CPA in a PoA applying different combinations of methodologies in different CPAs. For example, wastewater treatment projects²² with different ways of utilizing recovered methane (methodologies AMS-I.C for heat, AMS-I.D and AMS-I.F for electricity, or both), biomass/biogas projects with different fuel displacement (methodologies AMS-I.C and AMS-I.I for fossil fuel, AMS-I.E for non-renewable biomass, or both);
- (d) Combinations of technologies/measures and/or methodologies vary across CPAs in a PoA to realize the policy or the goal of the PoA. To apply such combinations,²³ the coordinating/managing entity shall demonstrate that the implementation of the activities is integrated through the design of the programme, for example,:
 - (i) The coordinating/managing entity initiates and coordinates different emission reduction activities as part of a city-wide effort to reduce GHG emissions to implement policy goals adopted by the city or the government. This may include different measures, such as energy production, transport, energy efficiency and waste management;
 - (ii) The coordinating/managing entity initiates and coordinates the installation of renewable electricity systems, which may include grid-connected and off-grid systems by providing financial incentives for the installation of these systems.

37_{ter} In any of the options referred to in paragraph 37_{bis} above, the coordinating/managing entity shall demonstrate that there are no cross effects between the technologies/measures by following the instructions provided in appendix 1. If cross effects exist, the coordinating/managing entity shall take them into account in the calculation of emission reductions. The coordinating/managing entity may seek clarification from the Board on the existence of cross effects or how they should be taken into account in the calculation of emission reductions, or request for revision of applied methodologies in accordance with the "Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools", or request for deviation from the applied methodologies in accordance with the "CDM project cycle procedure for programme of activities".

²² Biogas/methane recovery from an anaerobic digester is the principal technology/measure in this example.

²³ Choosing this option may influence the choices for the sampling plan.

7.2.1^{bis-2} Application of multiple large-scale methodologies

37^{quater}. The coordinating/managing entity may apply combinations of multiple large-scale methodologies for a PoA, if it demonstrates that the application of multiple methodologies for the PoA is to realize the policy or goal of the PoA, and that the implementation of the activities through CPAs is integrated through the design of the PoA as illustrated in paragraph 37^{bis}(d) above.

37^{quinquies}. To apply multiple large-scale methodologies for a PoA, the coordinating/managing entity shall follow the instructions on the consideration of cross effects provided in appendix 1 and seek clarification from the Board on potential cross effects in the proposed combinations in accordance with the "Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools". In doing so, a draft PoA-DD with completed sections of detailed technical descriptions shall also be submitted.

37^{sexies}. Notwithstanding paragraph 37^{quinquies} above, the coordinating/managing entity may apply the combinations explicitly permitted in the methodologies or the combinations that satisfy one of the following two conditions without seeking clarification from the Board:

- (a) If each CPA applies only one methodology, and there is no interaction between different CPAs. An interaction shall be deemed to occur in the following cases, but not limited to, where:
 - (i) One CPA is dependent on the implementation of another CPA or that one CPA impacts the profitability or GHG emission reductions or net anthropogenic GHG removals achieved by another CPA;
 - (ii) One CPA is interlinked with another CPA by the technologies applied or economic decisions taken;
- (b) If multiple large-scale methodologies are combined within a CPA, or different CPAs applying different methodologies are implemented such that geographical boundaries overlap, the combination falls under one of the following types:
 - (i) Recovery of waste gas/energy under one measure and its use in another measure for one or more applications (e.g. power, heat, natural gas distribution grid, feedstock). For example, biogas may be firstly recovered (methodology ACM0010), and then used as a feedstock and fuel for town gas production (methodology AM0069) or for the purpose of injection to a natural gas distribution grid (methodology AM0053);
 - (ii) Waste gas destruction (e.g. N₂O) under one measure and energy efficiency/fuel switch as another measure in the same industrial plant where the waste gas is generated. For example, while implementing N₂O abatement from nitric acid production (methodology ACM0019), fossil fuel tri-generation systems may also be implemented in the facilities (methodology AM0076);
 - (iii) Renewable energy production for different uses. For example, renewable energy power plant supplies power to the grid under one measure (methodology ACM0002), and the same plant replaces part of the electricity

production of a stand-alone fossil fuel fired power plant under another measure (methodology AM0019);

(iv) Interconnection of electricity grid systems and at the same time, the introduction of renewable, natural gas or clean coal based power plants. For example, while interconnecting different electricity systems for energy exchange (methodology AM0108), new renewable based power plant may be built to supply power to the exporting grid (methodology ACM0002);

(v) Aeration of landfills and collection of the residual landfill gas or residual waste after aeration for further utilization. For example, the solid waste in the landfill after aeration (methodology AM0083) may be further incinerated for gainful use (methodology ACM0022).

7.2.1^{bis}.3 Application of combination of multiple large-scale and small-scale methodologies

37^{septies}. The coordinating/managing entity may apply combinations of large-scale and small-scale methodologies for a PoA if it complies with the same requirements for the combinations of multiple large-scale methodologies referred to in section 7.2.1^{bis}.2.

7.2.2. Reference of methodology and standardized baseline

38. The coordinating/managing entity shall specify the reference (number, title and version) of the selected methodology(ies) and, where applicable, of the selected standardized baseline(s) that is(are) applied to the proposed CDM PoA, including any other methodologies or tools to which the selected methodology(ies) refers.

7.2.3. Applicability of methodology and standardized baseline

39. The coordinating/managing entity shall demonstrate why the selected methodology(ies) and, where applicable, the selected standardized baseline(s), is(are) applicable to the proposed CDM PoA by showing that all applicability conditions of the methodology(ies) and, where applicable, the standardized baseline(s) are met.

7.2.4. Project boundary

40. The coordinating/managing entity shall define the boundary of the proposed CDM PoA in terms of geographical area (e.g. municipality, region within a country, country or several countries) within which all CPAs to be included in the PoA will be implemented, the physical delineation of each CPA, and which sources and GHGs are included in the CPA boundary, in accordance with the selected methodology(ies) and, where applicable, the selected standardized baseline(s).

41. In cases where the selected methodology(ies) allow(s) the coordinating/managing entity to choose whether a source or GHG is to be included in the CPA boundary, the coordinating/managing entity shall explain and justify the choice.

7.2.5. Establishment and description of baseline scenario

42. The coordinating/managing entity shall establish a baseline scenario for the proposed CPA in accordance with the selected methodology(ies) and the PoA.

43. When establishing a baseline scenario, and where “future anthropogenic emissions by sources are projected to rise above current levels due to the specific circumstances of the host Party”, the coordinating/managing entity may follow the “Guidelines on the consideration of suppressed demand in CDM methodologies” to propose a revision to an approved methodology to cover such scenario if it is not covered in the methodology.
44. As a general principle, national and/or sectoral policies, regulations and circumstances within the chosen boundary shall be taken into account in the establishment of a baseline scenario, without creating perverse incentives that may impact host Parties’ contributions to the ultimate objective of the Convention.
45. When establishing a baseline scenario, the coordinating/managing entity shall take into account the following two types of national and/or sectoral policies:
- (a) National and/or sectoral policies or regulations that give comparative advantages to more emissions-intensive technologies or fuels over less emissions-intensive technologies or fuels;²⁴
 - (b) National and/or sectoral policies or regulations that give comparative advantages to less emissions-intensive technologies over more emissions-intensive technologies (e.g. public subsidies to promote the diffusion of renewable energy or to finance energy efficiency programmes).²⁵
46. The coordinating/managing entity shall address the two types of policies described in paragraph 45 above as follows:
- (a) Only national and/or sectoral policies or regulations described in paragraph 45(a) above that have been implemented before the adoption of the Kyoto Protocol by the Conference of the Parties (hereinafter referred to as the COP) (decision 1/CP.3, 11 December 1997) shall be taken into account when establishing a baseline scenario. If such national and/or sectoral policies have been implemented since the adoption of the Kyoto Protocol, the baseline scenario should refer to a hypothetical situation without the national and/or sectoral policies or regulations being in place;
 - (b) National and/or sectoral policies or regulations described in paragraph 45(b) above that have been implemented since the adoption by the COP of the CDM M&Ps (decision 17/CP.7, 11 November 2001) need not be taken into account in establishing a baseline scenario. If such national and/or sectoral policies have been implemented since the adoption of the CDM M&Ps, the baseline scenario could refer to a hypothetical situation without the national and/or sectoral policies or regulations being in place.
47. The coordinating/managing entity shall describe the established baseline scenario for the proposed CPA, including the technology(ies) that would be employed and/or the activities that would take place in the absence of the CPA.

²⁴ Such policies, which increase GHG emissions, are called E+ policies.

²⁵ Such policies, which decrease GHG emissions, are called E- policies.

48. The following applies to a proposed CPA using an approved standardized baseline that standardizes baseline scenario instead of paragraphs 42–47 above and 130–133 below: the coordinating/managing entity shall describe the baseline scenario(s) as per the selected standardized baseline(s).

7.2.6. Demonstration of additionality

49. [DELETED]

50. [DELETED]

(a) [DELETED]

(b) [DELETED]

51. [DELETED]

(a) [DELETED]

(b) [DELETED]

52. [DELETED]

52_{bis}. The coordinating/managing entity shall demonstrate additionality of the proposed CDM PoA by establishing that in the absence of the PoA, none of the implemented CPAs would occur.

52_{ter}. The coordinating/managing entity shall include conditions that would systematically demonstrate additionality of CPAs under the CDM PoA in the eligibility criteria for inclusion of CPAs in the PoA in accordance with paragraph 34_{ter}(g) above.

7.2.7. Emission reductions

53. The coordinating/managing entity shall provide ex ante calculations of baseline, project and leakage GHG emissions as well as GHG emission reductions of the proposed CPA for each year of the crediting period in accordance with the selected methodology(ies) and, where applicable, the selected standardized baseline(s). The coordinating/managing entity shall describe all steps undertaken for these calculations and provide all results.

54. If the selected methodology(ies) and, where applicable, the selected standardized baseline(s) include(s) different scenarios or cases, or provide(s) different options and/or default values to choose from, the coordinating/managing entity shall justify its choice for the proposed CPA.

55. The coordinating/managing entity shall, in accordance with the selected methodology(ies), provide the data and parameters that are not monitored during the crediting period but are determined before the registration of the CDM PoA and remain fixed throughout the crediting period. These data and parameters shall be available at the time of validation.

56. In cases where the selected methodology(ies) and, where applicable, the selected standardized baseline(s) allow(s) the use of sampling for the determination of parameter values for calculating GHG emission reductions, the coordinating/managing entity may use sampling. In such cases, the coordinating/managing entity shall develop and

describe a sampling plan in accordance with the “Standard: Sampling and surveys for CDM project activities and programme of activities”.

57. The coordinating/managing entity shall use the global warming potentials (GWPs) adopted by the CMP at its seventh session, in accordance with decision 4/CMP.7, to calculate the GHG emission reductions or net anthropogenic GHG removals achieved by the CDM PoA in the second commitment period of the Kyoto Protocol. This requirement shall apply from 1 January 2013, notwithstanding any GWPs stated to be applicable in the relevant procedures, standards, guidelines, approved methodologies, methodological tools and other rules being used in relation to that PoA.
58. The coordinating/managing entity shall apply the GWPs valid for the second commitment period for the purposes of demonstrating additionality and ex ante calculation of GHG emission reductions or net anthropogenic GHG removals, if the PoA-DD to be published for global stakeholder consultation or the request for registration of the PoA is submitted on or after 1 January 2013. A request for registration submitted before 1 January 2013 that has applied the GWPs valid for the first commitment period in relation to additionality demonstration is not required to re-assess additionality or redo ex ante calculation of GHG emission reductions or net anthropogenic GHG removals applying the GWPs valid for the second commitment period.
59. The PoA-DDs for PoAs registered before 1 January 2013 are not required to be amended, republished for global stakeholder consultation, or revalidated using the GWPs as applied by decision 4/CMP.7.
60. All references in methodologies and methodological tools to one or more GWPs, including specific references to GWPs valid for the first commitment period, from 1 January 2013, shall be read as references to the relevant GWPs valid for the second commitment period.

7.2.8. Monitoring plan

7.2.8.1. General

61. The coordinating/managing entity shall develop and describe a monitoring plan for the proposed CDM PoA or CPA, in accordance with the selected methodology(ies), where applicable, the selected standardized baseline(s) and all other applicable CDM rules and requirements.
62. The coordinating/managing entity may choose to **make a delayed submission** of the monitoring plan for the proposed CDM PoA or CPA, **that is after the registration of the PoA or inclusion of the CPA and** either:
 - (a) At any time prior to the submission of request for issuance for the first monitoring period; or
 - (b) Together with the request for issuance for the first monitoring period.
63. In cases where the coordinating/managing entity choose to make a delayed submission of a monitoring plan for the proposed CDM PoA or CPA in accordance with paragraph 62 above, the coordinating/managing entity shall clearly state that the submission of the monitoring plan is delayed and that the PoA-DD submitted for registration of the PoA, **or**

the CPA-DD uploaded for inclusion of the CPA in the PoA do not contain information related to the monitoring plan.

7.2.8.2. Data and parameters monitored

64. The coordinating/managing entity shall include in the monitoring plan all data, parameters and related information required by the selected methodology(ies) and, where applicable, the selected standardized baseline(s).

7.2.8.3. Other elements of monitoring plan

65. The coordinating/managing entity shall also include in the monitoring plan the following information:
- (a) The operational and management structure to be put in place to implement the monitoring plan;
 - (b) Provisions to ensure that data monitored and required for verification and issuance be kept and archived for two years after the end of the **final** crediting period or the last issuance of CERs, whichever occurs later;
 - (c) Definition of responsibilities and institutional arrangements for data collection and archiving;
 - (d) Quality assurance and quality control (QA/QC) procedures;
 - (e) Uncertainty levels, methods and the associated accuracy level of measuring instruments to be used for various parameters and variables;
 - (f) Specifications of the calibration frequency for the measuring equipment. In cases where neither the selected methodology and, where applicable, the selected standardized baseline, nor the Board's guidance specifies any requirements for calibration frequency for measuring equipment, the coordinating/managing entity shall ensure that the equipment is calibrated either in accordance with the local/national standards, or as per the manufacturer's specifications. If local/national standards or the manufacturer's specifications are not available, international standards may be used.

7.2_{bis}. Management system

- 65_{bis}. The coordinating/managing entity shall establish and implement, and provide a description of, the operational and management system for the implementation of the proposed CDM PoA, **including the following:**
- (a) A clear definition of roles and responsibilities of personnel²⁶ involved in the process of inclusion of CPAs, including a review of their competencies;
 - (b) Records of arrangements for training and capacity development for personnel;
 - (c) A procedure for technical review of inclusion of CPAs;

²⁶ It is not necessary to specify the names of personnel, but the descriptions of functions are required.

- (d) A procedure to avoid double counting (e.g. to avoid the case of including a new CPA that has already been registered either as a CDM project activity or included as a CPA in another PoA);
- (e) Records and documentation control process for each CPA under the PoA;
- (f) Measures for continuous improvements of the PoA management system;²⁷
- (g) Any other relevant elements.

65_{ter}. The coordinating/managing entity shall have the competencies to check the features of potential CPAs and ensure that each CPA meets all requirements and eligibility criteria for inclusion in the PoA before its inclusion.

7.3. Duration and crediting period

7.3.1. Duration and renewal of programme of activities

66. [DELETED]

67. [DELETED]

67_{bis}. The coordinating/managing entity shall determine the start date of the proposed CDM PoA and provide a description of how the start date has been determined. The start date of a PoA shall be either of the two dates below:

- (a) The date of notification of the intention to seek the CDM status by the coordinating/managing entity to the DNA(s) of the host Party(ies) and the secretariat; or
- (b) The date of publication of the PoA-DD for global stakeholder consultation.

67_{ter}. The coordinating/managing entity shall specify the duration of the proposed CDM PoA, which shall not exceed 28 years (60 years for the proposed CDM A/R PoA), counting from the start date of the PoA.

67_{quater}. The coordinating/managing entity shall renew the PoA every seven years (every 20 years for the A/R PoA) counting from the date of its registration.

7.3.2. Duration and crediting period of component project activities

68. [DELETED]

(a) [DELETED]

(b) [DELETED]

69. [DELETED]²⁸

²⁷ Improvements may include addition or restructuring of functions/posts for which prior approval by the Board is not required as long as the CME is able to demonstrate to the DOE that the deliverables of the management system specified in the registered PoA-DD are fully met.

²⁸ [DELETED]

70. [DELETED]

71. [DELETED]

71^{bis}. The coordinating/managing entity shall determine the start date of the proposed CPA and provide a description of how the start date has been determined. The start date of a CPA is the earliest date at which either the implementation, construction or real action of the CPA begins.

71^{ter}. The coordinating/managing entity shall confirm that the start date of the proposed CPA is on or after the start date of the PoA.

71^{quater}. The coordinating/managing entity shall define the expected operational lifetime of the proposed CPA.

71^{quinques}. The coordinating/managing entity shall select the type (fixed or renewable) and duration of the crediting period of the proposed CPA, considering that:²⁹

(a) The start date of the crediting period for the CPA shall be on or after the date when the CPA was included in accordance with the “CDM project cycle procedure for programme of activities”;

(b) If a renewable crediting period type is chosen for the CPA, each renewable crediting period shall be at most seven years and may be renewed at most two times, for a maximum total length of 21 years. The timing of the renewal of the crediting period of the CPA does not have to coincide with that of the renewal of the PoA;

(c) A fixed crediting period shall be at most 10 years;

(d) The duration of the crediting period of a CPA shall not exceed the duration of the PoA, regardless of the crediting period type (renewable or fixed) of the CPA;

71^{sexies}. The coordinating/managing entity shall determine only one start date for the crediting period for the proposed CPA, even in cases of phased implementation of the CPA.

71^{septies}. The coordinating/managing entity shall state the start date of the crediting period of the proposed CPA in the format dd/mm/yyyy, and shall not attach any qualifications to the start date, such as “expected”.

7.4. Environmental impacts

71^{octies}. The analysis of the environmental impacts and the environmental impact assessment referred to in this section may be carried out for the whole PoA or at the CPA level. The coordinating/managing entity shall reflect and describe the level applied.

72. The coordinating/managing entity shall carry out an analysis of the environmental impacts of the proposed CDM PoA or CPA, including transboundary impacts and provide a summary of the analysis and references to all related documentation.

²⁹ See footnote 17.

73. If the coordinating/managing entity or the host Party(ies) consider(s) the environmental impacts of the proposed CDM PoA or CPA significant, the coordinating/managing entity shall carry out an environmental impact assessment in accordance with the relevant procedures of the host Party(ies) and provide all conclusions and references to all related documentation.
- 73^{bis}. If the proposed CDM PoA will include only non-A/R small-scale CPAs, the coordinating/managing entity shall carry out an analysis of the environmental impacts of the PoA if required by the host Party(ies). If the analysis is carried out, the coordinating/managing entity shall provide a summary of the analysis and the reference to all related documentation.

7.5. Local stakeholder consultation

74. [DELETED]
75. [DELETED]
76. [DELETED]

7.5.1. General

- 76^{bis}. Local stakeholder consultation referred to in section 7.5 may be carried out for the whole PoA or at the CPA level. The coordinating/managing entity shall specify the level of consultation applied.

7.5.2. Scope of local stakeholder consultation

- 76^{ter}. The scope of local stakeholder consultation shall comprise, as a minimum, the potential direct positive and negative impacts that the PoA or CPA may have.
- 76^{quater}. Where host country rules on local stakeholder consultation are applicable, the coordinating/managing entity shall provide in the PoA-DD or CPA-DD a summary of the consultations carried out under the host country rules, including the direct positive and negative impacts identified and how the negative impacts identified will be addressed.

7.5.3. Minimum group of stakeholders to be involved

- 76^{quinquies}. For the purpose of local stakeholder consultation, the coordinating/managing entity shall invite, as a minimum, representatives of local stakeholders directly impacted by the PoA or CPA and representatives of local authorities relevant to the PoA or CPA.
- 76^{sexies}. The coordinating/managing entity shall provide evidence that invitations were sent to the relevant stakeholders and that their comments were invited. If any of the relevant stakeholders are not invited, the coordinating/managing entity shall provide appropriate justification.

7.5.4. Means for inviting stakeholders' participation

- 76^{septies}. The coordinating/managing entity shall invite local stakeholders to provide comments on the PoA or CPA, and shall describe the steps/actions taken to invite comments, taking into account local and national circumstances.

76_{octies} The coordinating/managing entity shall convey information to stakeholders about the local stakeholder consultation and the PoA or CPA. This should include information disseminated in ways that are appropriate for the community that is directly affected by the PoA or CPA. In areas where a significant part of the population is illiterate, the information shall be provided orally.

7.5.5. Information to be made available to stakeholders

76_{nonies} The information to be made available to stakeholders shall include, inter alia:

- (a) A summary of the PoA or CPA, explaining the PoA or CPA in simple, non-technical terms, and containing a description of the direct positive and negative impacts;
- (b) Information on the projected scope, lifetime, and direct positive and negative impacts of the PoA or CPA;
- (c) Other relevant information about the PoA or CPA, taking into account confidentiality provisions of the applicable CDM M&Ps;
- (d) The means to provide comments about the PoA or CPA.

7.5.6. Conduct of the consultation

76_{decies} The coordinating/managing entity shall conduct local stakeholder consultation through means that are appropriate for the local and national circumstances.

76_{undecies} The coordinating/managing entity shall provide local stakeholders with the opportunity to comment in writing or via other means and their comments about the PoA or CPA and gather its direct impacts.

77. The coordinating/managing entity shall request the DNA(s) of the host Party(ies) to forward comments from local stakeholders, if any, to them.

7.5.7. Summary of comments received

77_{bis} The coordinating/managing entity shall prepare a summary report of the comments received from local stakeholders.

7.5.8. Consideration of comments received

77_{ter} The coordinating/managing entity shall consider the comments provided by local stakeholders and report on how they have taken them into account in the PoA-DD or CPA-DD, or the revised PoA-DD or CPA-DD. The coordinating/managing entity shall provide justification if any comments were not incorporated.

7.5.9. Timing of local stakeholder consultation

78. The coordinating/managing entity shall complete the local stakeholder consultation process before:

- (a) The start date of the PoA or CPA, as determined in accordance with paragraphs 67_{bis} and 71_{bis} above respectively. This condition is not mandatory for the cases where the start date is before 27 November 2015;

- (b) Submitting the PoA-DD or CPA-DD of the proposed CDM PoA or CPA to a DOE for validation.

7.5.10. Post-local stakeholder consultation activities

79. If, during the validation of the proposed CDM PoA **or CPA**, complaints submitted to the DNA(s) **of the host Party(ies)** on the handling of the outcome of the local stakeholder consultation are forwarded to the coordinating/managing entity through the DOE in accordance with the “CDM project cycle procedure for programme of activities”, the coordinating/managing entity shall take due account of such complaints and modify the PoA-DD or CPA-DD as appropriate before the DOE concludes the validation.
80. If significant changes to the project/**programme** design occur after the invitation of comments from local stakeholders, the coordinating/managing entity shall conduct local stakeholder consultation with relevant stakeholders.

7.5_{bis}. Sustainable development co-benefits

- 80_{bis}. The coordinating/managing entity may, separately from the monitoring plan referred to in section 7.2.8 above, develop a document describing how they intend to monitor sustainable development co-benefits of the CDM PoA, including the frequency of reporting of monitoring results and whether they intend to have monitoring results independently verified.

7.6. Approval and authorization

81. The coordinating/managing entity shall obtain a letter of approval³⁰ from the DNA of each Party involved in the proposed CDM PoA, confirming that:³¹
 - (a) The Party is a Party to the Kyoto Protocol;
 - (b) The participation in the proposed CDM PoA is voluntary;
 - (c) It refers to the precise title of the proposed CDM PoA.
82. Each project participant shall **be authorized by** at least one Party involved in the proposed CDM PoA to participate in the proposed CDM PoA, **to be confirmed in the letter of approval referred to in paragraph 81 above or in a separate authorization letter.**
- 82_{bis}. The coordinating/managing entity shall be authorized by each host Party to coordinate the proposed CDM PoA, confirmed in the letter of approval referred to in paragraph 81 above or in a separate letter of authorization.

³⁰ A PoA supported by a multilateral fund involving many host Parties does not necessarily require letters of approval from the DNAs of all Parties. However, those not providing a letter may be giving up some of their rights and privileges in terms of being a Party involved in the proposed PoA.

A letter of approval from a Party may cover more than one proposed CDM PoA, provided that the PoAs are clearly listed in the letter.

³¹ At the time of making the PoA-DD public at the stage of validation, a Party involved may or may not have provided its approval of the proposed CDM PoA, but by the time of requesting registration, approval from all Parties involved including the host Party shall be obtained.

- 82^{ter}. The CPA implementers responsible for the operation of individual CPAs are not required to be project participants. The participation in the CDM is only recorded at the PoA level.
83. In addition to the requirement in paragraph 81 above, the letter of approval from the host Party shall also confirm that the proposed CDM PoA assists the host Party in achieving sustainable development.
84. A CPA shall have only one host Party, which is the Party in which the CPA is located as set out in the CPA-DD.
85. Where the methodology applied to the proposed CDM PoA provides for the application of a system, such as an electricity grid, and that the system extends across more than one Party, a letter of approval is required from the host Party and all other Parties involved as indicated in the PoA-DD.³²

7.7. Modalities of communications

86. The coordinating/managing entity shall define for the proposed CDM PoA its modalities of communication with the Board, and present them in a “Modalities of communication statement” (MoC statement), with the following content:
- (a) The title of the proposed CDM PoA (and UNFCCC reference number if available);
 - (b) The date of submission of the MoC statement (to a DOE for inclusion in the request for registration or to the secretariat for changes after registration);
 - (c) The designation of a focal point for each scope of authority, contact details and specimen signatures of the authorized signatories of each focal point entity;
 - (d) A list of all project participants, contact details and specimen signatures of their authorized signatories;
 - (e) The signature of an authorized signatory (electronic if available) of the coordinating/managing entity confirming its agreement with the MoC statement.

7.8. Validation

87. The coordinating/managing entity wishing to have a proposed CDM PoA or CPA validated by a DOE shall prepare a PoA-DD or a CPA-DD, using the valid version of the applicable PoA-DD or CPA-DD form.³³
88. When completing the PoA-DD or CPA-DD, the coordinating/managing entity shall provide all necessary information and documentation to demonstrate compliance of the proposed CDM PoA or CPA with all applicable requirements in this standard and other CDM rules and requirements.

³² This requirement replaces the clarification provided by the Board at its twenty-eighth meeting, as recorded in paragraph 14 of the meeting report.

³³ All the various PoA-DD and CPA-DD forms are available on the UNFCCC CDM website.

89. When completing the PoA-DD or CPA-DD, the coordinating/managing entity shall follow the applicable instructions for completing the PoA-DD or CPA-DD forms as contained in the form.
90. The project participants or the coordinating/managing entity shall select a DOE for the validation of the proposed CDM PoA or CPA that is accredited for the validation function and sectoral scopes(s)³⁴ relevant to the PoA or CPA. The project participants or the coordinating/managing entity shall have a contractual arrangement with the DOE for the validation.
91. The coordinating/managing entity shall submit the completed PoA-DD or CPA-DD, together with supporting documentation, to the selected DOE for validation. If the coordinating/managing entity developed a document for voluntary monitoring of sustainable development co-benefits in accordance with paragraph 80_{bis} above, they may also submit it to the selected DOE for publication.
92. If the PoA-DD or CPA-DD contains confidential or proprietary information, the project participants or the coordinating/managing entity shall submit documentation in the following two versions:
- (a) A version where all parts containing confidential/proprietary information are made redacted (e.g. by covering those parts with black ink) so that the version can be made publicly available without displaying confidential/proprietary information;
 - (b) A version containing all information that is to be treated as confidential /proprietary by all parties handling this documentation (DOEs and applicant entities (AEs); Board members and alternate members; CDM panel and working group members; external experts requested to consider such documents in support of the work of the Board; and the secretariat).
93. Information used to demonstrate additionality, to describe the application of the selected methodology and, where applicable, the selected standardized baseline, and to support an environmental impact assessment shall not be considered proprietary or confidential. Any data, values and formulae included in electronic spreadsheets provided shall be made accessible and verifiable.
94. Before publishing the PoA-DD for global stakeholder consultation in accordance with the “CDM project cycle procedure for programme of activities”, the coordinating/managing entity may request the DOE to seek guidance from the Board on the acceptability of deviation from:
- (a) The selected methodology(ies); or
 - (b) Sections in the selected methodology that are not standardized by the selected standardized baseline(s).
95. If, after the publication of the PoA-DD for global stakeholder consultation, the coordinating/managing entity has changed the selected methodology or the combination thereof for the proposed CDM PoA, the coordinating/managing entity shall prepare a

³⁴ The list of all 16 sectoral scopes, the DOEs accredited in each scope as well as the approved methodologies linked with these sectoral scopes are provided on the UNFCCC CDM website.

revised PoA-DD and submit it to any DOE for publication for a new global stakeholder consultation in accordance with the “CDM project cycle procedure for programme of activities”, and request the DOE to restart the validation.

- 95^{bis}. The coordinating/managing entity may request the DOE to withdraw the published PoA-DD before the submission of a request for registration of the proposed CDM PoA in accordance with the “CDM project cycle procedure for programme of activities”.
96. The coordinating/managing entity may request the DOE to withdraw the request for registration in accordance with the “CDM project cycle procedure for programme of activities”.
97. [MOVED TO PARA. 95^{bis}]
- 97^{bis}. The project participants or the coordinating/managing entity may change the DOE after the publication of the PoA-DD in accordance with the “CDM project cycle procedure for programme of activities”.

8. Specific design requirements for small-scale component project activities

8.1. General requirements

98. The coordinating/managing entity designing a small-scale CPA following the CDM SSC M&Ps and other CDM rules and requirements for small-scale project activities shall only use a small-scale methodology and, where applicable, a standardized baseline. However, the coordinating/managing entity may use a large-scale methodology and, where applicable, a standardized baseline, for a CPA that is within the small-scale project activity thresholds if the CPA follows the CDM M&Ps and other CDM rules and requirements for large-scale project activities.

8.2. Project activity type and eligibility

99. The coordinating/managing entity shall indicate, from among the following below, the project type of the proposed small-scale CPA, and shall demonstrate that the CPA qualifies as this type:
- (a) Type I: Renewable energy project with a maximum output capacity of 15 MW (or an appropriate equivalent). In this context:
 - (i) “Output” is the installed/rated capacity as indicated by the manufacturer of the equipment or plant, irrespective of the actual load factor of the plant. The installed/rated capacity of renewable electricity generating units that involve turbine generator systems shall be based on the installed/rated capacity of the generator;
 - (ii) Regarding the “appropriate equivalent” of 15 MW, decision 17/CP.7, paragraph 6(c)(i) refers to MW, but the coordinating/managing entity may

refer to MW(p),³⁵ MW(e) or MW(th). As MW(e) is the most common denomination, MW is defined as MW(e), and otherwise an appropriate conversion factor shall be applied;

- (iii) For biomass, biofuel and biogas projects, the maximal limit of 15 MW(e) is equivalent to a 45 MW thermal output of the equipment or the plant (e.g. boilers). For thermal applications of biomass, biofuels or biogas (e.g. cookstoves), the limit of 45 MW(th) is the installed/rated capacity of the thermal application equipment or device(s) (e.g. biogas stoves). For electrical or mechanical applications, the limit of a 15 MW installed/rated output shall be used. In the case of co-firing renewable and fossil fuels, the rated capacity of the system when using fossil fuel shall apply;
 - (iv) For thermal applications of solar energy projects, “maximum output” shall be calculated using a conversion factor of 700 W(th)/m² of aperture area of glazed flat plate or evacuated tubular collector, that is the eligibility limit in terms of aperture area is 64,000 m² of the collector.³⁶ The coordinating/managing entity may also use other conversion factors determined as per the requirements in paragraph 106 below, but shall then justify why the chosen conversion factor is more appropriate to the CPA;
 - (b) Type II: Energy efficiency improvement projects that reduce energy consumption, on the supply and/or demand side, with a maximum **energy saving** of 60 GWh per year (or an appropriate equivalent) in any year of the crediting period. In this context, for thermal energy efficiency CPAs, the maximum energy saving of 60 GWh(e) per year is equivalent to 180 GWh(th) per year saving; or
 - (c) Type III: Other projects not included in Type I or Type II that result in GHG emission reductions not exceeding 60 kt CO₂e per year in any year of the crediting period.
100. **In selecting a project type for the proposed small-scale CPA,** the coordinating/managing entity shall consider that:
- (a) The three project types referred to in paragraph 99 above are mutually exclusive;
 - (b) A small-scale CPA may contain more than one component, each belonging to one of the three project types referred to in paragraph 99 above. In this case, the sum of the scale of components belonging to the same project type shall not exceed the limit of that project type.

8.3. **Bundling of project activity [DELETED]**

101. **[DELETED]**

³⁵ For solar photovoltaic applications, 15 MW(p) may be defined by manufacturers' specifications under testing conditions of 1000 W/m² and 25 deg C or 600 W/m² and 35 deg C.

³⁶ This conversion is not applicable for solar thermal parabolic and trough type collectors used for high grade solar thermal energy applications.

8.4. Debundling of project activity

102. The coordinating/managing entity shall demonstrate that the proposed small-scale CPA is not a debundled component of a large-scale project activity.
103. The coordinating/managing entity shall follow the applicable provisions in the “Methodological tool: Assessment of debundling for SSC project activities”.

8.5. Description of component project activity

104. If the coordinating/managing entity wishes to include in the proposed small-scale CPA more than one component by presenting them in the same CPA-DD, the coordinating/managing entity shall provide the information regarding the sections covering the project type (i.e. Type I, II and/or III) and technology/measure of the project activity and application of the selected methodology separately for each component.

8.6. Application of selected methodology and selected standardized baseline

8.6.1. General

105. If the proposed small-scale CPA involves more than one component, the coordinating/managing entity shall provide ex ante calculations of baseline, project and leakage GHG emissions as well as GHG emission reductions for each component separately for each year of the crediting period.
106. To determine the performance of equipment used in the proposed small-scale CPA, the coordinating/managing entity shall use:
- (a) The appropriate value specified in the selected methodology or, where applicable, the selected standardized baseline;
 - (b) The national standard for the performance of the equipment type (the coordinating/managing entity shall identify the standard used) if the value referred to in subparagraph (a) above is not available;
 - (c) An international standard for the performance of the equipment type, such as International Organization for Standardization (ISO) and International Electrotechnical Commission (IEC) standards (the coordinating/managing entity shall identify the standard used) if the values referred to in subparagraphs (a) and (b) above are not available;
 - (d) The manufacturer’s specifications, provided that they are tested and certified by national or international certifiers, if the values referred to in subparagraphs (a)–(c) above are not available;
 - (e) Performance data from test results conducted by an independent entity for equipment installed under the project activity, if the values referred to in subparagraphs (a)–(d) above are not available.
107. In cases where leakage is to be considered in the proposed small-scale CPA, the coordinating/managing entity shall consider leakage only within the boundaries of non-Annex I Parties.

108. In case of replacement of existing equipment, the coordinating/managing entity shall estimate the point in time where the existing equipment would be replaced in the absence of the proposed small-scale CPA in accordance with the “Tool to determine the remaining lifetime of equipment”.
109. For household devices/appliances, the coordinating/managing entity may disregard the remaining lifetime.
110. The coordinating/managing entity shall consider that the norms, specifications, standards and test procedures cited in the selected methodology and, where applicable, the selected standardized baseline refer to the valid version of the documentation available at the time of submission of the CPA-DD to a DOE for validation.

8.6.2. Demonstration of additionality

111. For demonstration of additionality of the proposed small-scale CPA, the coordinating/managing entity shall apply or use one of the following:

(a)_{-bis} The additionality section of the applied methodology;

- (a) “Methodological tool: Demonstration of additionality of small-scale project activities”. In such cases, the coordinating/managing entity should also follow the “Non-binding best practice examples to demonstrate additionality for SSC project activities”;
- (b) Any applicable additionality tool; or
- (c) “Methodological tool: Demonstration of additionality of microscale project activities”, if the proposed CPA meets one of the following criteria:
- (i) Type I: CPAs up to 5 MW output capacity that employ renewable energy as their primary technology;
 - (ii) Type II: Energy efficiency CPAs that aim to achieve energy savings at a scale of no more than 20 GWh per year; or
 - (iii) Type III: Other CPAs not included in Type I or Type II that aim to achieve GHG emission reductions at a scale of no more than 20 kt CO₂e per year.

8.6.3. Monitoring plan

112. In developing the monitoring plan for the proposed small-scale CPA, the coordinating/managing entity shall consider the following:
- (a) Data variables that impact the GHG emission reductions continuously (e.g. quantity of fuel inputs, amount of heat or electricity produced, gas captured) shall be measured continuously and recorded at appropriate intervals. Data elements that are generally constant (e.g. emission factors, calorific value, system efficiencies) shall be measured or calculated at least once a year, unless other specifications are provided in the selected methodology or, where applicable, the selected standardized baseline;
- (b) Measuring equipment shall be certified to national or IEC standards;

- (c) The calibration of measuring equipment shall be carried out by an accredited person or institution;
 - (d) Measured data with high levels of uncertainty or without adequate calibration shall be compared with location/national data and commercial data to ensure consistency.
113. For parameters to be measured in accordance with the selected methodology or, where applicable, the selected standardized baseline, the coordinating/managing entity shall include in the monitoring plan the following:
- (a) The measurement methods and procedures, including accepted industry standards or national or international standards that will be applied; the measuring equipment that will be used; how the measurements will be undertaken; the accuracy of the measurement methods; the measurement intervals and the responsible person/entity who will undertake the measurements;
 - (b) The calibration procedures to be applied and the responsible person/entity who will perform the calibration.

8.7. Environmental impacts

114. Paragraph 115 below shall apply instead of paragraphs 72 and 73 above.
115. If required by the host Party, the coordinating/managing entity shall carry out an analysis of the environmental impacts of the proposed small-scale CPA, and provide a summary of the analysis and the reference to all related documentation.

9. Specific design requirements for afforestation and reforestation component project activities

9.1. Description of component project activity

116. When describing a proposed A/R CPA, the coordinating/managing entity shall:
- (a) Describe the present environmental conditions of the area planned for the A/R CPA, including the climate, hydrology, soils and ecosystems;
 - (b) Describe the presence, if any, of rare and endangered species and their habitats;
 - (c) Describe the species and varieties selected for the A/R CPA;
 - (d) Describe the technologies and know-how that will be transferred to the host Party, if applicable;
 - (e) Describe or list the legal title(s) to the land, current land tenure and rights enabling determination of the owner of the temporary CERs (tCERs) or long-term CERs (ICERs) to be issued for the A/R CPA.

9.2. Project boundary

117. The coordinating/managing entity shall define the project boundary that geographically delineates the proposed A/R CPA under the control of the the coordinating/managing

- entity, including information allowing the unique identification(s) of the A/R CPA. If the proposed A/R CPA contains more than one discrete area of land, each discrete area of land shall have a unique identification.
118. The coordinating/managing entity shall demonstrate that, for all areas of land planned for the proposed A/R CPA, the control over afforestation or reforestation as required by the CDM A/R M&Ps is already established or is expected to be established. The control of the coordinating/managing entity over afforestation or reforestation shall be considered as established if the coordinating/managing entity have the exclusive right to implement the proposed A/R CPA, defined in a way that is acceptable under the legal system of the host country.
119. When submitting the CPA-DD to a DOE for validation, the coordinating/managing entity shall have established the control over afforestation or reforestation for at least two-thirds of the total area of land planned for the proposed A/R CPA.
120. When submitting the CPA-DD to a DOE for validation, the coordinating/managing entity shall demonstrate that all areas of land planned for the proposed A/R CPA comply with all requirements, except those related to the control.
121. If the control over afforestation or reforestation has not been established for all areas of land planned for the proposed A/R CPA when submitting the CPA-DD to a DOE for validation, the coordinating/managing entity shall:
- (a) Demonstrate additionality separately for:
 - (i) The area of land for which the control over the A/R CPA has already been established by the coordinating/managing entity;
 - (ii) The entire area of land;
 - (b) Estimate the baseline net GHG removals by sinks separately for:
 - (i) The area of land for which the control over the A/R CPA has already been established by the coordinating/managing entity;
 - (ii) The entire area of land.
 - (c) Express each of the estimates of baseline net GHG removals by sinks on a per hectare basis. The largest of these estimates shall be used to determine the baseline net GHG removals by sinks for the proposed A/R CPA.
122. **[MOVED TO PARA. 121(c)]**
123. For all areas of land for which the control over the A/R CPA has not yet been established when the CPA-DD is submitted to a DOE for validation, the coordinating/managing entity shall provide evidence of control at the latest by the time of submitting the first monitoring report to a DOE for verification.
124. When submitting the first monitoring report to a DOE for verification, the project boundary shall be fixed in such a way that it geographically delineates exclusively the included A/R CPA under the control of the coordinating/managing entity.

9.3. Eligibility of land

125. The coordinating/managing entity shall demonstrate that each discrete area of land to be included in the project boundary is eligible for an A/R CPA in accordance with the selected methodology, the “A/R methodological tool: Demonstration of eligibility of lands for A/R CDM project activities” or, where applicable, the selected standardized baseline. For such demonstration, for both large-scale and small-scale A/R CPAs, it is sufficient to follow this tool and it is not essential to differentiate between afforestation and reforestation project activities.

9.4. Addressing non-permanence

126. The coordinating/managing entity shall specify which of the following approaches to address non-permanence has been selected for the proposed A/R CPA, considering that the selected approach shall be applied to all A/R CPAs to be included in the same A/R PoA and remain fixed for the crediting period including any renewals:
- (a) Issuance of tCERs; or
 - (b) Issuance of ICERs.

9.5. Application of selected methodology and selected standardized baseline

9.5.1. General

127. The coordinating/managing entity shall select the carbon pools and GHGs to account for the proposed A/R CPA in accordance with the selected methodology.
128. If the selected methodology allows the exclusion of certain carbon pools and the coordinating/managing entity does so, it shall justify the exclusion.
129. The coordinating/managing entity shall ensure that the application of default data in the estimation of the net anthropogenic GHG removals by sinks for the proposed A/R CPA results in conservative estimates.
130. The coordinating/managing entity shall establish the baseline scenario separately for each stratum of the proposed A/R CPA in accordance with the selected methodology.
131. Paragraphs 132, 133, 134 and 135 below shall apply instead of paragraphs 44–46, 47, 53 and 56 above respectively.
132. In establishing a baseline scenario, the coordinating/managing entity shall take into account relevant national and/or sectoral policies and circumstances, such as historical land use practices, without creating perverse incentives that may impact host Party’s contributions to the ultimate objective of the Convention in the following manner: national and/or sectoral land-use policies or regulations, which give comparative advantages to afforestation/reforestation activities and have been implemented since the adoption by the COP of the CDM M&Ps (decision 17/CP.7, 11 November 2001), need not be taken into account in developing a baseline scenario (i.e. the baseline scenario could refer to a hypothetical situation without the national and/or sectoral policies or regulations being in place).

- 133. The coordinating/managing entity shall describe the baseline scenario established for each stratum of the proposed A/R CPA, including the land use that would occur in the absence of the A/R CPA.
- 134. The coordinating/managing entity shall calculate and provide an estimate of the ex ante baseline net GHG removals by sinks, ex ante actual net GHG removals by sinks, leakage, and net anthropogenic GHG removals by sinks achieved by the proposed A/R CPA for each year of the crediting period, in accordance with the selected methodology and, where applicable, the selected standardized baseline.
- 135. In cases where the selected methodology allows for the use of sampling for the determination of parameter values for calculating net anthropogenic GHG removals, the coordinating/managing entity may use sampling, in accordance with the requirements of the methodology and any applicable tool referenced in the methodology.

9.5.2. Demonstration of additionality

- 136. The coordinating/managing entity shall demonstrate, in accordance with the selected methodology, that the actual net GHG removals by sinks are increased above the sum of the changes in carbon stocks in the carbon pools within the project boundary that would have occurred in the absence of the proposed A/R CPA.

9.5.3. Monitoring

- 137. The coordinating/managing entity shall plan management activities, including harvesting cycles, and verifications such that a systematic coincidence of verification and peaks in carbon stocks is avoided.
- 138. The coordinating/managing entity shall monitor forest establishment and management, if required for compliance with the applicability conditions of the selected methodology.
- 139. The coordinating/managing entity shall describe how the geographic coordinates of the project boundary, including boundaries of strata if any, are determined and recorded.
- 140. The coordinating/managing entity shall describe, or provide reference to, standard operating procedures and QA/QC procedures implemented for data monitoring, as required by the selected methodology.
- 141. The coordinating/managing entity shall identify measures to minimize potential leakage and describe how these will be implemented.
- 142. The coordinating/managing entity shall specify the procedures for the periodic review of implementation of activities and measures to minimize leakage, if required by the selected methodology.

9.6. Duration and crediting period

- 143. Paragraphs 71_{ter} and 71_{quater} shall not apply to A/R CPAs.
- 144. Paragraph 145 below shall apply instead of paragraph 71_{quinquies} above.
- 145. The coordinating/managing entity shall select a crediting period for the proposed A/R CPA, either renewable or fixed, considering that:

- (a) Each renewable crediting period shall be at most 20 years and may be renewed at most two times, for a maximum total length of 60 years. The timing of the renewal of the crediting period of the A/R CPA does not have to coincide with that of the renewal of the A/R CDM PoA;
- (b) A fixed crediting period shall be at most 30 years;
- (c) The provisions of paragraphs 12 and 13 of decision 17/CP.7 do not apply to A/R CPAs. An A/R CPA starting after 1 January 2000 can also be validated and included in a registered A/R PoA after 31 December 2005 as long as the first verification for the A/R CPA occurs after the date of inclusion of this A/R CPA. Given that the crediting period starts on the same date as the starting date of the A/R CPA, A/R CPAs starting in 2000 onwards can accrue tCERs/ICERs as of the starting date.³⁷
- (d) Where ICERs are expected to be issued for an A/R PoA, the dates of renewal of the crediting periods of all A/R CPAs included in the PoA shall be aligned with the date of renewal of the A/R PoA;
- (e) The duration of the crediting period of an A/R CPA shall not exceed the duration of the A/R PoA, regardless of the crediting period type (renewable or fixed) of the A/R CPA.

9.7. Environmental impacts

- 146. Paragraphs 147–149 below shall apply instead of paragraphs 72 and 73 above.
- 147. The coordinating/managing entity shall carry out an analysis of the environmental impacts of the proposed A/R CDM PoA or A/R CPA, including impacts on biodiversity and natural ecosystems and impacts outside the project boundary. The coordinating/managing entity shall provide a summary of the analysis and references to all related documentation.
- 148. If the coordinating/managing entity or the host Party considers the environmental impacts of the proposed A/R CDM PoA or A/R CPA significant, the coordinating/managing entity shall carry out an environmental impact assessment in accordance with the relevant procedures of the host Party. The coordinating/managing entity shall provide all conclusions and references to all related documentation.
- 149. If the environmental impacts of the proposed A/R CDM PoA or A/R CPA are considered significant, the coordinating/managing entity shall provide a description of the planned monitoring and remedial measures to address these significant impacts.

9.8. Socio-economic impacts

- 150. The coordinating/managing entity shall carry out an analysis of the major socio-economic impacts of the proposed A/R CDM PoA or A/R CPA, including impacts outside the project boundary. The coordinating/managing entity shall provide a summary of the analysis and references to all related documentation.

³⁷ Exceptions indicated for A/R project activities also apply to A/R CPAs.

151. If the coordinating/managing entity or the host Party consider any negative impact as significant, the coordinating/managing entity shall carry out a socio-economic impact assessment in accordance with the host Party's procedures. The coordinating/managing entity shall provide all conclusions and references to all related documentation.
152. If the socio-economic impacts of the proposed A/R CDM PoA or A/R CPA are considered significant, the coordinating/managing entity shall provide a description of the planned monitoring and remedial measures to address these significant impacts.

10. Specific design requirements for small-scale afforestation and reforestation component project activities

153. The coordinating/managing entity shall demonstrate that the proposed small-scale A/R CPA:
- (a) Complies with the definition and limit for small-scale A/R CDM project activities specified in decision 9/CMP.3.³⁸ as follows: "Small-scale afforestation and reforestation project activities under the CDM" are those that are expected to result in net anthropogenic greenhouse gas removals by sinks of less than 16 kt of carbon dioxide (CO₂) per year and are developed or implemented by low-income communities and individuals as determined by the host Party. If a small-scale afforestation or reforestation project activity under the CDM results in net anthropogenic greenhouse gas removals by sinks greater than 16 kt of CO₂ per year, the excess removals will not be eligible for the issuance of tCERs or ICERs";
 - (b) Complies with one of the types of small-scale A/R CDM project activities defined in appendix B of the annex to decision 6/CMP.1 and qualifies to apply one of the simplified methodologies for small-scale A/R CDM project activities;
 - (c) Is not part of a debundled large-scale A/R CDM project activity, in accordance with the rules defined in appendix C of the annex to decision 6/CMP.1.
154. The coordinating/managing entity shall provide a written declaration that the proposed small-scale A/R CPA is developed or implemented by low-income communities and individuals as determined by the host Party.

11. Specific design requirements for carbon dioxide capture and storage project activities [DELETED]

11.1. Definitions for CCS project activities [DELETED]

155. [DELETED]

156. [DELETED]

³⁸ Decision 9/CMP.3 revised the limit for small-scale A/R CDM project activities defined in the annex to decision 5/CMP.1.

157. [DELETED]

158. [DELETED]

159. [DELETED]

160. [DELETED]

161. [DELETED]

162. [DELETED]

163. [DELETED]

164. [DELETED]

165. [DELETED]

166. [DELETED]

11.2. Description of project activity [DELETED]

167. [DELETED]

11.3. Host Party participation requirements [DELETED]

168. [DELETED]

169. [DELETED]

11.4. Selection and characterization of the geological storage site [DELETED]

170. [DELETED]

171. [DELETED]

172. [DELETED]

173. [DELETED]

174. [DELETED]

175. [DELETED]

11.5. Project boundary [DELETED]

176. [DELETED]

11.6. Risk and safety assessment [DELETED]

177. [DELETED]

178. [DELETED]

179. [DELETED]

11.7. Monitoring [DELETED]

180. [DELETED]

181. [DELETED]

182. [DELETED]

183. [DELETED]

184. [DELETED]

185. [DELETED]

186. [DELETED]

187. [DELETED]

11.8. Requirements for financial provision [DELETED]

188. [DELETED]

189. [DELETED]

190. [DELETED]

191. [DELETED]

11.9. Liability [DELETED]

192. [DELETED]

193. [DELETED]

194. [DELETED]

195. [DELETED]

196. [DELETED]

11.10. Environmental and socioeconomic impact assessments [DELETED]

197. [DELETED]

198. [DELETED]

11.11. Verification and certification [DELETED]

199. [DELETED]

200. [DELETED]

12. Specific design requirements for programmes of activities [CONTENT MOVED TO OTHER SECTIONS]**12.1. General [CONTENT MOVED TO SECTION 7.1_{ter}]**201. [CONSOLIDATED INTO PARAS. 34_{quater} AND 34_{quinquies}]**12.2. Selection of methodology and standardized baseline [CONTENT MOVED TO SECTION 7.2.1]**202. [MOVED TO PARA. 36_{bis}]³⁹**12.3. Description of programme of activities [CONTENT MOVED TO SECTIONS 7.1, 7.1_{ter}, 7.2.4, 7.2.5, 7.2_{bis}]**

203. [MOVED TO PARA. 32(c)(ii)]

204. [MOVED TO PARA. 32(c)(i)]

205. [MOVED TO PARA. 32(c)(iii)]

206. [CONSOLIDATED INTO PARAS. 40 AND 44]

207. [MOVED TO PARA. 34_{quater}]⁴⁰208. [MOVED TO PARA. 34_{quinquies}]

209. [DELETED]:

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

210. [MOVED TO PARA. 65_{bis}]**12.4. Description of component project activities [CONTENT MOVED TO SECTION 7.1_{ter}]**211. [MOVED TO PARA. 34_{nonies}]212. [MOVED TO PARA. 34_{decies}]213. [MOVED TO PARA. 34_{undecies}]**12.5. Eligibility criteria [CONTENT MOVED TO SECTION 7.1_{bis}]**214. [MOVED TO PARA. 34_{bis}]

³⁹ [MOVED TO FOOTNOTE 20]⁴⁰ [MOVED TO FOOTNOTE FOOTNOTE 15].

12.6. Application of selected baseline and monitoring methodologies and selected standardized baselines [CONTENT MOVED TO SECTIONS 7.2.1_{bis}, 7.2.6, 7.2.7, 13.5]**12.6.1. General requirements [CONTENT MOVED TO SECTION 7.2.1_{bis}]**215. [CONSOLIDATED INTO SECTION 7.2.1_{bis}]**12.6.2. Demonstration of additionality [CONTENT MOVED TO SECTION 7.2.6]**

216. [DELETED]

217. [CONSOLIDATED INTO PARAS. 52_{bis} AND 52_{ter}]**12.6.3. Sampling [CONTENT MOVED TO SECTIONS 7.2.7, 13.5]**

218. [CONSOLIDATED INTO PARA. 56]

219. [MOVED TO PARA. 249_{bis}]**12.7. Debundling of small-scale component project activities [CONTENT MOVED TO SECTION 7.1_{ter}]**220. [MOVED TO PARA. 35_{bis}]**12.8. Duration and crediting period [CONTENT MOVED TO SECTIONS 7.3.1, 7.3.2, 9.6]****12.8.1. Duration of programme of activities and component project activities [CONTENT MOVED TO SECTIONS 7.3.1, 7.3.2]**

221. [DELETED]

222. [MOVED TO PARA. 67_{bis}](a) [MOVED TO PARA. 67_{bis}(a)](b) [MOVED TO PARA. 67_{bis}(b)]223. [MOVED TO PARA. 67_{ter}]224. [MOVED TO PARAS. 71_{bis} AND 71_{quater}]225. [MOVED TO PARA. 71_{ter}]⁴¹**12.8.2. Crediting period [CONTENT MOVED TO SECTIONS 7.3.1, 7.3.2, 9.6]**

226. [DELETED]

227. [MOVED TO PARA. 67_{quater}]

⁴¹ [CONSOLIDATED INTO PARA. 145(c)]

228. [MOVED TO PARA. 71_{quinquies}]⁴²

(a) [MOVED TO PARA. 71_{quinquies}(a)]

(i) [DELETED]

(ii) [DELETED]

(iii) [CONSOLIDATED INTO PARA. 71_{quinquies}(a)]

(b) [MOVED TO PARA. 71_{quinquies}(b)]

(c) [MOVED TO PARA. 71_{quinquies}(c)]

(d) [MOVED TO PARA. 71_{quinquies}(d)]

(e) [MOVED TO PARA. 145(d)]

229. [MOVED TO PARA. 71_{sexies}]

230. [MOVED TO PARA. 71_{septies}]

12.9. Environmental impacts [CONTENT MOVED TO SECTION 7.4]

231. [MOVED TO PARA. 71_{octies}]

232. [MOVED TO PARA. 73_{bis}]

12.10. Local stakeholder consultation [CONTENT MOVED TO SECTIONS 7.5.1, 7.5.9]

233. [MOVED TO PARA. 76_{bis}]

234. [PARTIALLY DELETED, PARTIALLY CONSOLIDATED INTO PARA. 78]

12.11. Approval and authorization [CONTENT MOVED TO SECTION 7.6]

235. [CONSOLIDATED INTO PARA. 82]

236. [MOVED TO PARA. 82_{ter}]

12.12. Modalities of communications [CONTENT MOVED TO SECTION 7.7]

237. [DELETED]

238. [CONSOLIDATED INTO PARA. 86(e)]

⁴² [MOVED TO FOOTNOTE 29]

12^{bis}. Inclusion of component project activities in a programme of activities

- 238^{bis}. A CPA may be included in a registered CDM PoA at any time during the duration of the PoA provided that the requirements in paragraphs 238^{ter} and 238^{quater} below are met.
- 238^{ter}. To include a CPA in a registered CDM PoA, the coordinating/managing entity shall ensure that the proposed CPA meets all applicable requirements, including the eligibility criteria for inclusion of CPAs in the PoA specified in the latest version of the registered PoA-DD.
- 238^{quater}. The coordinating/managing entity shall then submit to a DOE a completed CPA-DD specific to the proposed CPA, demonstrating its compliance with all applicable requirements.

238^{quinquies}. If the registered CDM PoA indicates in the generic CPA-DD that the corresponding CPAs are deemed automatically additional in accordance with the "Guidelines on demonstration of additionality of microscale project activities" and if the CPA inclusion template has been included in the registered PoA-DD, the coordinating/managing entity may directly include CPAs in the PoA without validation by a DOE in accordance with the "CDM project cycle procedure for programme of activities". If any CPA included by the coordinating/managing entity is found that it has been erroneously included in the PoA, the coordinating/managing entity may no longer directly include CPAs in the PoA, but shall request a DOE to validate and include them.

13. Implementation and monitoring requirements for all project types

13.1. General requirements

239. The coordinating/managing entity shall implement the registered CDM PoA in accordance with the description in the registered PoA-DD or uploaded CPA-DD, including all physical features.
- 239^{bis}. If the registered PoA has not proceeded with a request for issuance after two years of its registration, the coordinating/managing entity shall provide an update of the status of the implementation of the PoA in accordance with the "CDM project cycle procedure for programme of activities".
240. The coordinating/managing entity shall operate the registered CDM PoA in accordance with the description in the registered PoA-DD or uploaded CPA-DD.
241. The coordinating/managing entity shall monitor the registered CDM PoA and its GHG emission reductions or net anthropogenic GHG removals in accordance with the monitoring plan as described in the registered PoA-DD or uploaded CPA-DD (hereinafter referred to as the registered monitoring plan).
242. All monitoring, verifications and requests for issuance of CERs in respect of GHG emission reductions and net anthropogenic GHG removals achieved by CDM PoAs in the second commitment period (from 1 January 2013) shall be calculated using the GWPs as applied by decision 4/CMP.7.

13.2. General description

243. The coordinating/managing entity shall provide the following information regarding the implemented registered CDM PoA:
- (a) Title and number;
 - (b) Project participants involved;
 - (c) Location;
 - (d) Reference of applied methodology(ies), tool(s) and, where applicable, standardized baseline(s);
 - (e) Type, duration and start date of the crediting period;
 - (f) Number and date of the monitoring period.

13.3. Description of implemented registered project activity or programme of activities

244. The coordinating/managing entity shall provide a description of the implemented registered CDM PoA as follows:
- (a) Description of the installed technology, technical processes and equipment;
 - (b) Information on the implementation and actual operation of the CPAs, including relevant dates (e.g. construction, commissioning, start of operation, etc.). For a CPA that consist of more than one site, the coordinating/managing entity shall describe the status of implementation and start date of operation for each site. For a CPA with phased implementation, the coordinating/managing entity shall indicate the progress of the CPA achieved in each phase;
 - (c) Description of:
 - (i) The events or situations that occurred during the monitoring period that may impact the applicability of the applied methodology and, where applicable, the applied standardized baseline;
 - (ii) How the issues resulting from these events or situations have been addressed.
245. The coordinating/managing entity shall indicate whether any request for prior approval by the Board of changes to the registered PoA has been submitted in accordance with the “CDM project cycle procedure for programme of activities”, and, if applicable, the date of approval.

13.4. Description of monitoring system

246. The coordinating/managing entity shall describe the monitoring system and provide line diagrams (graphical schemes) showing all relevant monitoring points. This description may include data collection procedures (information flow including data generation, aggregation, recording, calculations and reporting), organizational structure, roles and responsibilities of personnel, and emergency procedures for the monitoring system.

13.5. Data and parameters

247. The coordinating/managing entity shall provide all parameters used to calculate the baseline, project, and leakage GHG emissions by sources or GHG removals by sinks as well as other relevant parameters for the monitoring period as required by the applied methodology, the registered monitoring plan and, where applicable, the applied standardized baseline. The coordinating/managing entity shall provide information on how data and parameters have been monitored.
248. For each parameter, the coordinating/managing entity shall:
- (a) Provide the values of the monitored parameter for the purpose of calculating GHG emission reductions or net anthropogenic GHG removals. Where data are measured continuously, they shall be presented using an appropriate time interval (e.g. monthly for a monitoring period of six months or more; weekly for a monitoring period of less than six months; daily for a monitoring period of one month or less). For default values that are not fixed at **registration or inclusion**, the most recent value shall be applied;
 - (b) Describe the equipment used to monitor each parameter, including details on accuracy class, and calibration information (frequency, date of calibration and validity), if applicable as per **the registered** monitoring plan;
 - (c) Describe how the parameters are measured/calculated and the measurement and recording frequency;
 - (d) Provide and/or identify the sources of data (e.g. logbooks, daily records, surveys, etc.);
 - (e) Provide the calculation method of the parameters, where relevant;
 - (f) Describe the QA/QC procedures applied (if applicable as per **the registered** monitoring plan);
 - (g) Provide information about appropriate emission factors, IPCC default values and any other reference values that have been used in the calculation of GHG emission reductions or net anthropogenic GHG removals.
249. If data and parameters monitored are determined by a sampling approach, the coordinating/managing entity shall describe how the sampling has been conducted in accordance with the sampling plan in the registered **monitoring plan**.
- 249_{bis}. If the request for issuance is to be made for a batch of CPAs in the PoA in accordance with paragraph 263_{ter}(b) below, the sampling shall be conducted at the level of the batch or **each** CPA.
250. The coordinating/managing entity shall indicate whether any request for temporary deviations from, or permanent changes to, the registered monitoring plan, applied methodology or applied standardized baseline has been submitted in accordance with the “CDM project cycle procedure for programme of activities”, and, if applicable, include the date of approval.
251. For an included CPA using an approved standardized baseline that standardizes baseline emissions, the coordinating/managing entity shall apply, in the first monitoring

report of the first crediting period, the version of the applied standardized baseline that contains the more conservative standardized value(s)⁴³ of the parameter(s) (e.g. emission factors) between those in the latest version⁴⁴ applicable on the first day of the first monitoring period and those in the latest version applicable on the last day of the first monitoring period.⁴⁵ In the subsequent monitoring reports for the first crediting period, the coordinating/managing entity shall apply:

- (a) The same version of the standardized baseline as the one applied in the first monitoring report, where the included CPA applies:
 - (i) An approved constant standardized baseline that standardizes baseline emissions and that does not require an ex post application of the standardized values; or
 - (ii) An approved dynamic standardized baseline⁴⁶ that standardizes baseline emissions; or
- (b) The latest version of the standardized baseline applicable on the first day of each monitoring period, where the included CPA applies an approved constant standardized baseline that standardizes baseline emissions and that requires an ex post application of the standardized values.⁴⁷

252. For an included CPA using an approved standardized baseline that standardizes baseline emissions, if the selected type of crediting period is renewable, the coordinating/managing entity shall apply, in the first monitoring report for the second or

⁴³ A more conservative value(s) provides lower baseline emissions. However, if a standardized parameter(s) (e.g. the grid emission factors) as an approved standardized baseline is(are) also used for the purpose of determining the project emissions and/or leakage emissions, a more conservative value(s) provides lower emission reductions.

⁴⁴ The latest version of the applied standardized baseline(s), referred to in paragraphs 251 and 252, does not refer to the previous version(s) that is(are) still valid after a major and/or minor revision(s) in accordance with the "Procedure: Development, revision, clarification and update of standardized baselines" but refers to the latest version only.

⁴⁵ See EB 70 meeting report, paragraph 45(c). For example, if version 01.0 is the latest version of the applied standardized baseline at the first day of the first monitoring period while version 02.0 is the latest version at the last day of the first monitoring period and contains more conservative values, version 02.0 applies to the first monitoring report. However, if version 01.0 is the latest version both at the first and last days of the first monitoring period, then version 01.0 applies to the first monitoring report.

⁴⁶ See EB70 meeting report, paragraph 45(f). A "constant standardized baseline" refers to a standardized baseline without a dynamic factor(s) such as approved standardized baselines ASB0001, ASB0002, ASB0003 and ASB0004. On the other hand, a "dynamic standardized baseline" refers to a standardized baseline with a dynamic factor(s) (e.g. autonomous improvement factors). For example, one option in the calculation of baseline emissions in the approved methodology AM0070 requires that a specific electricity consumption of a certain class and design of refrigerators be reduced annually by a fixed percentage of autonomous improvement factors. Therefore, a standardized baseline developed using the methodological approach of AM0070 can be a dynamic standardized baseline.

⁴⁷ This refers to an approved standardized baseline that requires project participants to use the latest standardized value(s) of baseline emission parameter(s) in the latest version of the standardized baseline for the monitoring reports subsequent to the first monitoring report.

third crediting period, the version of the applied standardized baseline that contains the more conservative standardized value(s) of the parameter(s) (e.g. emission factors) between those in the latest version applicable on the submission date of the notification of their intention to request a renewal of the crediting period and those in the latest version applicable on the first day of the first monitoring period in the new crediting period.⁴⁸ In the subsequent monitoring reports for the second or third crediting period, the coordinating/managing entity shall apply:

- (a) The same version of the standardized baseline as the one applied in the first monitoring report of the respective crediting period, where the included CPA applies:
 - (i) An approved constant standardized baseline that standardizes baseline emissions and that does not require an ex post application of the standardized values; or
 - (ii) An approved dynamic standardized baseline that standardizes baseline emissions; or
- (b) The latest version of the standardized baseline applicable on the first day of each monitoring period, where the included CPA applies an approved constant standardized baseline that standardizes baseline emissions and that requires an ex post application of the standardized values.

13.6. Calculation of emission reductions or net removals

253. The coordinating/managing entity shall identify the formulae used for and provide the calculations of the following for the monitoring period of the registered CDM PoA:
- (a) Baseline GHG emissions or baseline net GHG removals;
 - (b) Project GHG emissions or actual net GHG removals;
 - (c) Leakage GHG emissions;
 - (d) GHG emission reductions or net anthropogenic GHG removals.
254. If the monitoring period starts before 31 December 2012 and ends anytime thereafter, the coordinating/managing entity shall calculate GHG emission reductions or net anthropogenic GHG removals in the following manner:
- (a) The amount of (raw) emission reductions achieved in the monitoring period for each GHG shall be allocated proportionally to the duration of the period up to 31 December 2012 and the period from 1 January 2013 onwards before multiplying with the GWPs for the respective periods in accordance with paragraph 242 above;
 - (b) If annual caps are applied in the calculation of GHG emission reductions, the annual caps shall be pro-rated to the periods before and after 31 December

⁴⁸ See EB 70 meeting report, paragraph 45(d).

2012. In cases where further apportionment is required, the total emission reductions shall be pro-rated.

(c) For a registered A/R CDM PoA:

(i) For ICERs, if the monitoring period falls partly in the first commitment period and partly in the second commitment period of the Kyoto Protocol, all net anthropogenic GHG removals achieved since the last verification shall be allocated to the second commitment period;

(ii) For tCERs, for any issuance, all net anthropogenic GHG removals achieved since the start of the project activity shall be allocated to the commitment period in which the monitoring period ends.

255. If the monitoring report covers the first date of the renewed PoA, and where there was a delay in the submission of notification of intention to renew the PoA, the coordinating/managing entity shall determine the first day in which CERs are claimed in accordance with the "CDM project cycle procedure for programme of activities".
256. The coordinating/managing entity shall provide a comparison of actual GHG emission reductions or net anthropogenic GHG removals by the included CPA with the estimates in the uploaded CPA-DD.
257. For any included CPA, except for A/R CPA, the coordinating/managing entity shall explain the cause of any increase in the actual GHG emission reductions achieved during the current monitoring period (e.g. higher water availability, higher plant load factor, etc.), including all information (i.e. data and/or parameters) that is different from that stated in the uploaded CPA-DD.
- 257_{bis}. For an included small-scale CPA, the coordinating/managing entity shall demonstrate that the scale of **the activities** belonging to the same small-scale project type (Type I, II or III) referred to in paragraph 99 above will remain under the limit of that type every year during the crediting period. If, during its crediting period, the combined scale goes beyond the limit of that type, the emission reductions that can be claimed for that year shall be capped at the amount calculated with the limit of its type.

13.7. Verification of implementation of registered programme of activities and monitored emission reductions or net removals

- 257_{ter}. The coordinating/managing entity shall maintain all monitoring results of all CPAs in accordance with the record-keeping system identified in the registered PoA-DD.
258. The coordinating/managing entity wishing to have the GHG emission reductions or net anthropogenic GHG removals achieved by the implemented registered CDM PoA verified by a DOE shall prepare, for each monitoring period, either a single monitoring report or **multiple** separate monitoring reports using the valid version of the applicable monitoring report form (CDM-POA-MR-FORM) in the following manner:
- (a) In the case of a single monitoring report, the report shall contain all monitoring results of all CPAs included in the PoA;
 - (b) In the case of multiple separate monitoring reports, each CPA shall be included only in one of the monitoring reports and all the monitoring reports shall

collectively contain all monitoring results of all CPAs included in the PoA (i.e. all monitoring reports shall contain mutually exclusive batches of CPAs). Also, all monitoring reports shall have the same monitoring period and the start of the first monitoring period shall be the earliest date of the crediting periods of all CPAs in the PoA;

- (c) In both cases referred to in subparagraphs (a) and (b) above, the monitoring results of individual CPAs shall be separated and grouped by CPA type defined by the corresponding generic CPA-DD.
259. When completing a monitoring report form, the coordinating/managing entity shall provide all necessary information and documentation to demonstrate compliance of the implemented registered CDM PoA and monitored GHG emission reductions or net anthropogenic GHG removals with all applicable requirements in this standard and other applicable CDM rules and requirements.
260. When completing a monitoring report form, the coordinating/managing entity shall follow the instructions for filling out the monitoring report form attached to the form.
261. The project participants or the coordinating/managing entity shall select a DOE, accredited for the verification function and in the sectoral scope(s) relevant to the PoA, for the verification of the implementation of the registered CDM PoA and monitored GHG emission reductions or net anthropogenic GHG removals for the relevant monitoring period. The project participants or the coordinating/managing entity shall have a contractual arrangement with the DOE for the verification.
262. The coordinating/managing entity shall submit to the selected DOE a completed monitoring report(s) of the implemented registered CDM PoA for the relevant monitoring period, together with supporting documentation, for its publication and verification. If the coordinating/managing entity voluntarily monitored sustainable development co-benefits of the implemented registered CDM PoA, including those monitored in accordance with the document referred to in paragraph 80_{bis} above, it may also submit the monitoring results to the selected DOE for its publication and verification.
- 262_{bis}. The coordinating/managing entity shall make available all monitoring results to the DOE upon its request for verification purposes.
263. The coordinating/managing entity may request the DOE to withdraw the published monitoring report in accordance with the “CDM project cycle procedure for programme of activities”.
- 263_{bis}. The project participants or the coordinating/managing entity may change the DOE after the publication of the monitoring report in accordance with the “CDM project cycle procedure for programme of activities”.
- 263_{ter}. The coordinating/managing entity shall, through a DOE, request the issuance of CERs, tCERs or ICERs as follows:
- (a) In a single request, if only one monitoring report has been published covering all CPAs in the PoA unless the coordinating/managing entity decided to separate the monitoring results into multiple monitoring reports during the verification in accordance with subparagraph (b) below; or

- (b) In **multiple** separate requests, with each request corresponding to each monitoring report or to a subset of monitoring results in a monitoring report. If originally there were fewer monitoring reports published, and during the verification, the coordinating/managing entity decided to separate the monitoring results into more monitoring reports, the number of the requests for issuance shall not be less than the number of monitoring reports originally published and the coordinating/managing entity shall prepare and submit separate monitoring reports to the DOE for verification.
264. The coordinating/managing entity may request the DOE to withdraw the request for issuance in accordance with the “CDM project cycle procedure for programme of activities”. In this case, the coordinating/managing entity may prepare a revised monitoring report with the same, reduced or extended monitoring period for publication and verification by the same or a different DOE.
265. If the DOE’s verification of the monitoring report has been selected by the secretariat as a performance assessment under the “CDM accreditation procedure”, the coordinating/managing entity shall facilitate the access to the project site for the CDM assessment team.
266. In case of an A/R CDM PoA, the coordinating/managing entity may select a time for the DOE to undertake the initial verification/certification. In case where tCERs are issued, the subsequent verifications/certifications may be carried out at most once in each subsequent commitment period, at a time selected by the coordinating/managing entity. In case where ICERs are issued, the subsequent verifications/certifications shall be carried out within eight years of the date when the previous certification report was submitted until the end of the crediting period.⁴⁹

13.8. Post-registration changes [PROMOTED AS NEW SECTION 14]

13.9. Renewal of crediting period or programme [PROMOTED AS NEW SECTION 15]

13.10. Specific requirements for small-scale projects activities [CONTENT MOVED TO SECTION 15.3]

13.11. Specific requirements for programme of activities [CONTENT MOVED TO SECTION 15.4]

14. Post-registration changes

14.1. General requirements

267. The coordinating/managing entity shall identify and document any actual or proposed changes to the implementation, operation and/or monitoring of the registered CDM PoA or included CPA.

⁴⁹ Decision 4/CMP.10 revised the timing of verification for A/R CDM project activities defined in the annex to decision 5/CMP.1.

268. If there is any change regarding the modalities or information in the MoC statement or its annexes after the request for registration has been submitted, the project participants or the coordinating/managing entity shall revise the MoC statement in accordance with the "CDM project cycle procedure for programme of activities".

269. **[MOVED TO PARA. 271_{quater}]**

270. The coordinating/managing entity shall prepare a revised PoA-DD or CPA-DD (in both track-change and clean versions) using the valid version of the applicable PoA-DD or CPA-DD form. The coordinating/managing entity shall provide a summary of the changes, including the reasons for the changes and any additional information relating to the changes to the PoA-DD or CPA-DD.

271. The coordinating/managing entity shall take into account the possible types of changes as well as the restrictions and conditions for the approval of those changes described in the sections below.

271_{bis}. Unless otherwise stated in the respective provisions, post-registration changes require approval by the Board. The coordinating/managing entity may choose to submit a request for approval of a post-registration change prior to proceeding with a request for issuance (the prior-approval track) or to combine a request for approval of post-registration change with a request for issuance (the issuance track), irrespective of the types of change. In doing so, the coordinating/managing entity may take into account appendix 2, which contains an indicative list of types of post-registration changes that may be suitable for approval under the issuance track. For a post-registration change to a CPA, a request for approval is not needed, but such change shall be reported after the positive validation by a DOE.

271_{ter}. The coordinating/managing entity shall:

- (a) Under the prior-approval track, request any DOE at any time prior to the commencement of verification for the next request for issuance to assess whether the post-registration change complies with the relevant requirements;
- (b) Under the issuance track, request the DOE contracted to perform verification for the next request for issuance to also assess whether the post-registration change complies with the relevant requirements; or
- (c) For a post-registration change to a CPA, the coordinating/managing entity shall request any DOE to assess whether the post-registration change comply with the relevant requirements.

271_{quater}. The coordinating/managing entity shall ensure that the DOE selected for the assessment of the post-registration change is accredited for the validation function and in sectoral scope(s) relevant to the registered CDM PoA or the CPA.

14.2. Temporary deviations from the registered monitoring plan, applied methodology or applied standardized baseline

272. If the coordinating/managing entity are temporarily unable to monitor the registered CDM PoA or a CPA in accordance with the registered monitoring plan, the applied methodology or the applied standardized baseline, the coordinating/managing entity

shall describe in the monitoring report the nature, extent and duration of the non-conforming monitoring period and:

- (a) Propose alternative monitoring arrangements for the non-conforming monitoring period. In this case, the coordinating/managing entity shall apply conservative assumptions or discount factors to the calculations to the extent required to ensure that GHG emission reductions or net anthropogenic GHG removals will not be over-estimated as a result of the deviation; or
- (b) Apply the following most conservative values approach when alternative monitoring arrangements are not proposed. This does not require approval by the Board:
 - (i) Apply zero for baseline GHG emissions for the entire non-conforming monitoring period; and/or
 - (ii) Apply the values assuming that the source of GHG emissions is operated at the maximum capacity for the entire non-conforming monitoring period. In the case of project GHG emissions related to the consumption of electricity, add 10 per cent to account for transmission and distribution losses.

273. [COVERED BY PARAS. 271_{bis} AND 271_{ter}]

- (a) [COVERED BY PARA 271_{ter}(b)]
- (b) [COVERED BY PARA 271_{ter}(a)]

274. [CONSOLIDATED INTO PARA. 272(a)]

14.3. Permanent changes

14.3.1. Corrections

275. If the coordinating/managing entity make any corrections to the project information or parameters fixed at registration of the PoA or inclusion of a CPA as described in the registered PoA-DD or uploaded CPA-DD, the coordinating/managing entity shall document these corrections in a revised PoA-DD or CPA-DD.

276. [COVERED BY PARAS. 271_{bis} AND 271_{ter}]

- (a) [COVERED BY PARA 271_{ter}(b)]
- (b) [COVERED BY PARA 271_{ter}(a)]

14.3.2. Changes to the start date of the crediting period of component project activities

277. The coordinating/managing entity of a registered A/R CDM PoA may not request any changes to the start date of the crediting period of an included A/R CPA if the start date of the crediting period was prior to the date of inclusion.

278. [DELETED]

279. The coordinating/managing entity of a registered CDM PoA are not required to request for approval from the Board for the following changes to the start date of the crediting

period, but shall notify the secretariat of the changes in accordance with the “CDM project cycle procedure for programme of activities”:

- (a) Bringing forward the start date up to one year earlier than that indicated in the uploaded CPA-DD, taking into account that the start date shall not be earlier than the effective date of inclusion of the CPA;
- (b) Postponing the start date by up to one year, – or by up to two years for a CPA hosted by a least developed country – later than that indicated in the uploaded CPA-DD.

280. If the proposed change to the start date of the crediting period of an included CPA constitutes a difference between one and two years – or between two and four years for an included CPA hosted by a least developed country – the coordinating/managing entity shall:

- (a) Demonstrate that no changes have occurred to the CPA that would result in a less conservative baseline, **or update the baseline using conservative data**;
- (b) **[DELETED]**
- (c) Demonstrate that substantive progress has been made by the coordinating/managing entity to start the CPA.

280_{bis}. If the proposed change to the start date of the crediting period of an included CPA constitutes a difference of more than two years – or more than four years for a CPA hosted by a least developed country – the coordinating/managing entity shall:

- (a) Demonstrate that the CPA remains additional in accordance with the latest eligibility criteria for inclusion of CPAs in the PoA;**
- (b) Demonstrate that the original baseline scenario established in the uploaded CPA-DD remains valid, or update the baseline scenario using the latest data, as appropriate;**
- (c) Demonstrate that substantive progress has been made by the coordinating/managing entity to start the CPA.**

14.3.3. Delay in submission of monitoring plan

281. The coordinating/managing entity may submit the monitoring plan of a CDM PoA or CPA after its registration or inclusion in accordance with section 7.2.8.1 above.

282. **[COVERED BY PARAS. 271_{bis} AND 271_{ter}]**

283. **[COVERED BY PARAS. 271_{bis} AND 271_{ter}]**

14.3.4. Permanent changes to the registered monitoring plan

284. If the coordinating/managing entity is unable to implement the registered monitoring plan and it will not be possible to monitor the registered CDM PoA, or included CPA, in accordance with a monitoring plan that would comply with the applied methodology, any applicable tools and, where applicable, the applied standardized baseline, the coordinating/managing entity shall describe the nature and extent of the non-conforming monitoring in a revised PoA-DD or CPA-DD and the proposed alternative monitoring for

the PoA or CPA (unless the registered PoA-DD or uploaded CPA-DD already contains this description).

285. [COVERED BY PARA. 290(f)]

286. [COVERED BY PARAS. 271_{bis} AND 271_{ter}]

287. The coordinating/managing entity shall apply conservative assumptions or discount factors to the calculations to the extent required to ensure that GHG emission reductions or net anthropogenic GHG removals will not be over-estimated as a result of the change.

14.3.5. Changes to the programme and project design

288. Where there are changes to the programme design of a registered PoA or included CPA, the coordinating/managing entity shall prepare a revised PoA-DD or CPA-DD, which describes the nature and extent of the proposed or actual changes.

289. [DELETED]

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

(d) [DELETED]

(e) [DELETED]

290. 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) If the version of the applied methodology is revised or replaced subsequent to being placed on hold;⁵⁰

(ii) If the revision of the eligibility criteria 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 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;

⁵⁰ 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 methodologies.

- (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 290(e) below;
 - (vi) If the eligibility criteria pertaining to the demonstration of additionality is revised;
 - (c) **[DELETED]**
 - (d) Removal of applied methodologies and/or standardized baseline from the registered PoA;
 - (e) Addition or change of technologies/measures with or without the addition or change of applied methodologies 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;⁵¹
 - (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);⁵²
 - (f) Voluntary update of the applied methodology to a later valid version of the same methodology or voluntary change to another methodology, as long as all requirements in the updated/changed methodology are met.
- 290_{bis}- Changes to the design of a generic CPA or an included CPA shall be limited to modifying⁵³ or adding technologies/measures under 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 modified or added technologies/measures have:
 - (i) Already been included in the registered PoA-DD and the eligibility criteria for these technologies/measures have been specified in the registered PoA-DD;⁵⁴ or

⁵¹ 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, introducing charcoal-burning stoves (fully accounting for production emissions of charcoal) in a registered PoA that distributes household wood-burning stoves.

⁵² 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.

⁵³ Modifications to technologies/measures may include changes to the effective output capacity.

- (ii) Subsequently been included in the revised PoA-DD following the submission by the coordinating/managing entity and approval by the Board of a request for approval of changes in accordance with the “CDM project cycle procedure for programmes of activities”.

290_{ter}. For the cases of revisions of the eligibility criteria that are not referred to in paragraph 290(b) above, the coordinating/managing entity shall seek guidance from the Board on the appropriateness of the revision in accordance with the “Procedure: Direct communication with stakeholders”.

- 291. In the cases referred to in paragraph 290(e) 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.⁵⁵
- 292. The coordinating/managing entity shall report in the revised PoA-DD or CPA-DD the impacts of the proposed or actual changes to the registered CDM PoA or included CPA on the following:
 - (a) The applicability and application of the applied methodology and, where applicable, the applied standardized baseline, under which the PoA has been registered;
 - (b) The compliance of the monitoring plan with the applied methodology and, where applicable, the applied standardized baseline;
 - (c) The level of accuracy and completeness in the monitoring of the PoA;
 - (d) The additionality of the PoA or CPA;
 - (e) The scale of the CPA;
 - (f) The eligibility criteria for inclusion of CPAs in the PoA.
- 293. If the change to a registered CDM PoA is to include additional host Parties in accordance with paragraph 290(a) above, the coordinating/managing entity shall obtain a letter of approval from each DNA of new host Parties in accordance with the requirement in section 7.6 above.
- 294. In cases where the proposed or actual changes affect the additionality of the registered CDM PoA or included CPA, as referred to in paragraph 292(d) above, the demonstration of the impacts of the changes on the additionality shall be based on all original input data. In addition:⁵⁶

⁵⁴ 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.

⁵⁵ An example of this is a PoA registered for biogas digesters providing biogas for cooking in households intending to implement mass rapid transport technologies; this will not be eligible.

⁵⁶ If a proposed or actual modification adversely impacts the additionality of the project activity, subsequent requests for issuance based on such modifications will be rejected.

- (a) In the case where investment analysis has been used, the coordinating/managing entity shall only modify the key parameters in the original spreadsheet calculations affected by the proposed or actual changes to the PoA or CPA;
 - (b) In the case where only barriers have been claimed to demonstrate additionality, the coordinating/managing entity shall demonstrate that the barriers are still valid under the new circumstances.
295. If a registered CDM PoA or included CPA uses an approved standardized baseline that standardizes additionality, the following applies instead of paragraph 294 above: In cases where the proposed or actual changes affect the additionality of the registered CDM PoA or included CPA as referred to in paragraph 292(d) above, the demonstration of the impacts of the changes on the additionality shall be based on the additionality criteria (e.g. positive lists of technologies) identified in the applied standardized baseline(s).
296. Where the coordinating/managing entity cannot demonstrate the compliance with the requirements of the applied methodology and, where applicable, the applied standardized baseline, with which the CDM PoA has been registered, the coordinating/managing entity shall:
- (a) Revise the PoA-DD applying:
 - (i) The latest version of the methodology and/or the standardized baseline; or
 - (ii) Another methodology and/or another standardized baseline that is(are) applicable to the PoA; and
 - (b) Demonstrate the compliance with the requirements of the selected methodology and/or the selected standardized baseline.
297. [COVERED BY PARAS. 271_{bis} AND 271_{ter}]
- (a) [COVERED BY PARAS. 271_{bis} AND 271_{ter}]
 - (b) [COVERED BY PARAS. 271_{bis} AND 271_{ter}]

14.3.6. Change of coordinating/managing entity

- 297_{bis}. If the coordinating/managing entity of a registered CDM PoA changes after the registration of the PoA, the new coordinating/managing entity shall:
- (a) Obtain a new letter of authorization from each host Party stating the change and confirming the authorization of coordination of the PoA by the new coordinating/managing entity;
 - (b) Provide a confirmation that the registered PoA will be developed and implemented with the same framework as described in the registered PoA-DD;
 - (c) Demonstrate the compliance with requirements related to the operational and management arrangements described in paragraph 65_{bis} above.
- 297_{ter}. The new coordinating/managing entity shall submit the documentation referred to in paragraph 297_{bis} above to a DOE for validation. **It is not required to request for approval**

from the Board of the change, but shall be assessed by the secretariat of the change in accordance with the “CDM project cycle procedure for programme of activities”.

15. Renewal of programme and component project activities

15.1. Renewal of programme

298. The coordinating/managing entity wishing to renew a registered PoA shall notify the secretariat of their intention of the renewal in accordance with the “CDM project cycle procedure for programme of activities”.
299. The coordinating/managing entity shall ensure that the names of the project participants included in the request for renewal of crediting period are consistent with the names of the registered project participants for the CDM PoA.

299_{bis}. Registered CDM PoAs for which the coordinating/managing entities have failed to comply with the requirement of updating the status of implementation in accordance with paragraph 239_{bis} above may proceed with a request for renewal of the PoA without requiring prior approval by the Board.

15.1.1. Renewal of crediting period of project activities [SECTION TITLE DELETED]

300. To support a request for renewal of a registered CDM PoA, the coordinating/managing entity shall, using the valid version of the applicable PoA-DD form, update the sections of the PoA-DD of the PoA, including its generic CPA-DD part, relating to **the eligibility criteria for inclusion of CPAs in the PoA**, the baseline, estimated GHG emission reductions or net anthropogenic GHG removals, the monitoring plan, using a methodology **in one of the following manners. In any of the manners**, the coordinating/managing entity is not required to reassess the additionality of the PoA and update the section relating to additionality:
- (a) The coordinating/managing entity shall use the valid version of the methodology applied in the registered PoA-DD, that is the latest version or the previous version if the submission of the request for renewal of the PoA is still within the grace period of the previous version for use;
 - (b) If the methodology applied in the registered PoA-DD was withdrawn after the registration of the PoA and was replaced by a consolidated methodology, the coordinating/managing entity shall use the valid version of the consolidated methodology, that is the latest version or the previous version if the submission of the request for renewal of the PoA is still within the grace period of the previous version for use; or
 - (c) If the registered PoA does not meet the applicability criteria of the methodologies in the options provided for in subparagraphs (a) or (b) above, due to their revision or due to the update of the baseline, the coordinating/managing entity shall either:
 - (i) Select another applicable approved methodology; or
 - (ii) Request, through the DOE that conducts validation for the renewal of the PoA, a deviation from the valid version of the methodology (including a consolidated methodology thereof) applied in the registered PoA-DD, or

from any other selected methodology, for the purpose of the renewal of the PoA.

301. In updating the PoA-DD of the registered CDM PoA in accordance with paragraph 300 above, the coordinating/managing entity shall consider the application of an approved standardized baseline to the project activity as follows:

- (a) The coordinating/managing entity shall use the valid version of an approved standardized baseline if:
 - (i) The standardized baseline is applied in the registered PoA-DD and the valid version of the standardized baseline is applicable to the PoA and to the methodology applied in accordance with paragraph 300 above; or
 - (ii) The standardized baseline is not applied in the registered PoA-DD but the valid version of the standardized baseline whose selection is mandatory⁵⁷ is applicable to the PoA and to the methodology applied in accordance with paragraph 300 above;
- (b) If the valid version of the standardized baseline applied in the registered PoA-DD is no longer applicable to the PoA and/or to the valid version of the methodology applied in the registered PoA-DD due to a revision of the standardized baseline after the registration of the PoA, the coordinating/managing entity shall:
 - (i) Select another applicable approved standardized baseline; or
 - (ii) Use only the valid version of the methodology applied in the registered PoA-DD, that is still applicable to the PoA and that can be used independently for estimating GHG emission reductions without using the standardized baseline applied in the registered PoA-DD;
- (c) The coordinating/managing entity may use the valid version of an applicable approved standardized baseline if:
 - (i) The standardized baseline is not applied in the registered PoA-DD; and
 - (ii) The standardized baseline standardizes baseline emissions only and does not require its mandatory selection, and is applicable to the PoA and to the methodology applied in accordance with paragraph 300 above;
- (d) The coordinating/managing entity shall not use an applicable approved standardized baseline if:
 - (i) The standardized baseline is not applied in the registered PoA-DD; and
 - (ii) The standardized baseline standardizes additionality and/or baseline scenario and does not require its mandatory selection, and is applicable to the PoA and to the methodology applied in accordance with paragraph 300 above; or

⁵⁷ For an explanation on the standardized baseline whose selection is mandatory, see footnote 5 above.

- (e) If the updated PoA-DD has been submitted for the notification of the intention to request a renewal of the PoA when no applicable approved standardized baseline was valid, and if, after the submission of the updated PoA-DD for the notification of the intention to request a renewal of the PoA but before the submission of a request for renewal of the PoA, an applicable approved standardized baseline whose selection is mandatory has become valid, the request for renewal of the PoA may be submitted without using the standardized baseline within 240 days after the standardized baseline became valid.
- 302. To demonstrate the validity of the original baseline or its update, the coordinating/managing entity is not required to re-assess the baseline scenario. Instead, the coordinating/managing entity shall assess the GHG emission reductions or net anthropogenic GHG removals that would have resulted from that scenario.
- 303. The coordinating/managing entity shall assess and incorporate the impact of national and/or sectoral policies and circumstances existing at the time of requesting renewal of the PoA on the current baseline GHG emissions, without reassessing the baseline scenario.
- 304. The requirements contained in paragraph 303 above are not applicable to a registered CDM PoA using the valid version of an applicable approved standardized baseline that standardizes baseline scenario in accordance with paragraph 301 above.
- 305. If data and parameters used for determining the original baseline that was determined ex ante (and not monitored during the crediting period) are no longer valid, the coordinating/managing entity shall update such data and parameters in accordance with the “Methodological tool: Assessment of the validity of the original/current baseline and update of the baseline at the renewal of the crediting period”.
- 305^{bis}. The result of the process described in paragraphs 300–305 above defines a new version of the PoA-DD including its generic CPA-DD part.
- 306. The next PoA period shall commence on the day immediately after the expiration of the current PoA period.
- 306^{bis}. If, in accordance with the “CDM project cycle procedure for programme of activities”, the PoA-DD has been revised because the applied methodology and/or the standardized baseline has(have) been revised or replaced after having been placed on hold or withdrawn, the next renewal of the PoA shall occur seven years (20 years for the A/R PoA) after the approval of the revised version of the PoA-DD.
- 307. The coordinating/managing entity wishing to combine a request for approval of any types of changes to **the PoA** with the request for renewal of the PoA may submit the combined requests in accordance with the “CDM project cycle procedure for programme of activities”.
- 308. The coordinating/managing entity shall engage a DOE to undertake validation of the new version of the PoA-DD of the registered CDM PoA.

15.1.2. Renewal of programme of activities [CONTENT MOVED TO SECTIONS 15.1.1, 15.2]

- 309. **[CONSOLIDATED INTO PARAS. 300 AND 301]**
 - (a) **[CONSOLIDATED INTO PARA. 300]**

(b) [CONSOLIDATED INTO PARA. 300]

(c) [MOVED TO PARA. 306_{bis}]

310. [MOVED TO PARA. 305_{bis}]

311. [COVERED BY PARA. 308]

312. [MOVED TO PARA. 313_{bis}]

15.1.3. Withdrawal of request for renewal of crediting period or renewal of programme of activities [SECTION TITLE DELETED]

313. At any time before the adoption of the decision on the request for renewal of a PoA, the project participants or the coordinating/managing entity may contact the DOE to withdraw the request.

15.2. Renewal of crediting period of component project activities

313_{bis}. To renew the crediting period of an included CPA, the coordinating/managing entity shall, using the valid version of the applicable CPA-DD form, update the sections of the CPA-DD of the CPA in accordance with the latest version of the PoA-DD, relating to the demonstration of eligibility for being included in the PoA, the baseline, estimated GHG emission reductions or net anthropogenic GHG removals, the monitoring plan and the crediting period.

313_{ter}. The coordinating/managing entity shall engage a DOE to undertake validation of the updated CPA-DD.

15.3. Specific requirements for small-scale projects activities [CONTENT MOVED TO SECTION 13.6]

314. [MOVED TO PARA. 257_{bis}]

15.4. Specific requirements for programme of activities [CONTENT MOVED TO SECTIONS 12_{bis}, 13.7, 14.3.6]

15.4.1. Monitoring reports [CONTENT MOVED TO SECTION 13.7]

315. [CONSOLIDATED IN PARA. 258]

(a) [MOVED TO PARA. 257_{ter}]

(b) [CONSOLIDATED INTO PARA. 258]

(i) [MOVED TO PARA. 258(a)]

(ii) [MOVED TO PARA. 258(b)]

(c) [MOVED TO PARA. 263_{ter}]

(i) [MOVED TO PARA. 263_{ter}(a)]

(ii) [CONSOLIDATED INTO PARA. 263_{ter}(b)]

(iii) [CONSOLIDATED INTO PARA. 263_{ter}(b)]

(d) [MOVED TO PARA. 258(c)]

(e) [MOVED TO PARA. 262_{bis}]

15.4.2. Changes of coordinating/managing entity [CONTENT MOVED TO SECTION 14.3.6]

316. [MOVED TO PARA. 297_{bis}]

(a) [MOVED TO PARA. 297_{bis}(a)]

(b) [MOVED TO PARA. 297_{bis}(b)]

(c) [MOVED TO PARA. 297_{bis}(c)]

317. [MOVED TO PARA. 297_{ter}]

15.4.3. Inclusion of component project activities in a programme of activities [CONTENT MOVED TO SECTION 12_{bis}]

318. [MOVED TO PARA. 238_{bis}]

319. [MOVED TO PARA. 238_{ter}]

320. [MOVED TO PARA. 238_{quater}]

16. Voluntary exclusion and re-inclusion of component project activities

16.1. Voluntary exclusion of component project activities

321. At any time after the inclusion of a CPA in a registered CDM PoA, the coordinating/managing entity may request the secretariat to exclude the CPA from the PoA in accordance with the “CDM project cycle procedure for programme of activities”.

322. [DELETED]

323. [DELETED]

324. A CPA that has been voluntarily excluded from a registered PoA or excluded as a result of erroneous inclusion may be re-included in the same or different registered CDM PoA or registered as a CDM project activity.

16.2. Re-inclusion of excluded component project activities

325. The coordinating/managing entity that wishes to re-include an excluded CPA in a registered CDM PoA shall follow the process for inclusion of CPAs in a registered CDM PoA in accordance with the “CDM project cycle procedure for programme of activities”, after ensuring that:

(a) The CPA-DD transparently declares that the CPA has been previously excluded from the same or different registered CDM PoA, either voluntarily or due to erroneous inclusion;

- (b) The crediting period type (i.e. renewal or fixed) and the total length of the crediting period (e.g. maximum 10 years for the fixed crediting period type and maximum 21 years for the renewal crediting period type) and its end-date are the same as before the exclusion;
- (c) If the crediting period type is renewal and the re-inclusion takes place after the end of the crediting period in which the exclusion occurred, the CPA meets all requirements in the latest version of the PoA-DD and the corresponding generic CPA-DD including eligibility criteria for inclusion of CPAs;
- (d) If the CPA applies a methodology that potentially accrues negative emission reductions, emission reductions have been continuously monitored since the end of the monitoring period in the last published monitoring report, including the exclusion period. For such CPA, if there were net negative emission reductions during the period before the re-inclusion, the amount shall be deducted from the first requests for issuance after the re-inclusion;
- (e) If the CPA has been excluded as a result of erroneous inclusion and to be re-included in the same PoA, the non-compliance with the requirements for inclusion in the PoA that led to the erroneous inclusion has been rectified, and, if CERs have been issued for the CPA, an equivalent amount of Kyoto credits have been compensated by the DOE that included the CPA, or that validated the CPA at its first verification if it was included by the coordinating/managing entity, to the CDM registry in accordance with the “CDM project cycle procedure for programme of activities”.

Appendix 1. Instructions for the consideration of cross effects for the application of multiple methodologies for a programme of activities

1. Guidance

1. [DELETED]

2. These instructions are applicable to a programme of activity (PoA) seeking to apply multiple technologies/measures and/or approved methodologies.
3. Cross effects may occur when multiple technologies/measures are implemented, applying either one methodology or multiple methodologies. See section 2 below for some examples of cross effects.
4. If a single methodology is consistently applied in each component project activity (CPA) in a PoA but using multiple technologies/measures, it may potentially lead to overestimation of emission reductions when several technologies/measures interact with each other (e.g. methodology ACM0012). The cross effects in such situations shall be addressed through additional guidance related to the application of the methodology for a PoA in the applied methodologies.
5. The coordinating/managing entity shall consider the following situations to identify cross effects. These situations are neither exhaustive nor mutually exclusive and are intended to serve as examples only:
 - (a) Type I: Cross effects could occur when there is an exchange of energy (thermal, mechanical or electrical) or mass transfer between different measures within a CPA or between CPAs, where the transfer occurring from a primary, independent measure to a dependent measure;
 - (b) Type II: Cross effects could also occur when several measures rely on the same information when estimating emission reductions. For example, several measures refer to historical fuel/electricity/heat consumption, or a default value.
6. The coordinating/managing entity shall consider that when combining different types of measures, for example, energy efficiency and fuel switch, the baselines for different measures shall be determined sequentially and not simultaneously. The baseline of the second technology/measure shall be set after considering the effects of the implementation of the first technology/measure. For Type II cross effects, once the baseline is estimated/determined for one of the measures, the secondary (tertiary, etc.) measure should not use the same historical/default values, but an adjusted value taking into account a scenario in which the primary measure is implemented:
 - (a) For Type I cross effects, the energy/mass stream of the dependent measure shall be determined conservatively, taking into account the output of the primary measure;
 - (b) For Type II cross effects, once a baseline is estimated/determined, the secondary (tertiary, etc.) measure shall not use the historical/default values, but

an adjusted value taking into account a scenario in which the primary measure is implemented.

2. Examples

7. **Example 1 (Type I):** For a biogas recovery and utilization CPA, the primary measure is to recover the biogas and the other measure is to utilize the biogas for power generation. In this case, the emission reductions are determined on the basis of the amount of methane emissions avoided and the fossil fuel displaced for power generation, and the additionality should be evaluated together for both components.
8. **Example 2 (Type II):** Considering a CPA implementing energy efficiency measures in a building including two measures:
- (a) Measure A: lighting energy efficiency is achieved under one component by replacing the inefficient bulb with an efficient technology applying a relevant methodology;
 - (b) Measure B: lighting control efficiency is also implemented as a separate component applying a different methodology in the same building.

If historic energy consumption for lighting is used by both components, then it is likely that emission reductions are overestimated due to cross effects. Similarly, if measure B precedes measure A in terms of timelines for implementation, and measure B uses historic information for the baseline and measure A uses default factors (e.g. 3.5 hours of usage per day and a difference in wattages of the incandescent lamps and compact fluorescent lamps as in the methodology AMS-II.J), potentially there can be overestimation due to cross effects.

Reduced energy consumption of the lights should be taken into account when determining savings from the light controls project and vice versa.

9. **Example 3 (Type II):** In a fossil fuel based power plant, an energy efficiency measure is implemented by introducing more advanced technology (e.g. improved blades in an existing steam turbine). As a result of this energy efficiency measure, the required steam for generating the same amount of electricity is reduced. A second measure may be implemented to switch from fossil fuel to biomass in the boiler. In this example, the saved energy consumption due to the energy efficiency measure should be taken into account when determining the quantity of fossil fuel displaced in the fuel switch measure.

Appendix 2. Indicative list of post-registration changes that may be suitable for approval under the issuance track

1. Corrections

1. For any corrections to project information¹ of a registered clean development mechanism (CDM) programme of activities (PoA) that do not affect the design of the PoA, the request for approval of post-registration change may be suitable to be submitted under the issuance track.

2. Temporary deviations from the registered monitoring plan, applied methodology or applied standardized baseline

2. [MOVED TO PARA. 272(b)(i)]

3. [MOVED TO PARA. 272(b)(ii)]

- 3_{bis} For temporary deviations from the monitoring plan for which alternative monitoring arrangements are proposed, if the proposed alternative monitoring arrangements produce a conservative estimate of greenhouse gas (GHG) emission reductions or net anthropogenic GHG removals, the request for approval of post-registration change may be suitable to be submitted under the issuance track.

3. Permanent changes from the registered monitoring plan, applied methodology or applied standardized baseline

4. [COVERED BY PARA. 5 OF THIS APPENDIX]

(a) [COVERED BY PARA. 5 OF THIS APPENDIX]²

(b) [COVERED BY PARA. 5 OF THIS APPENDIX]³

5. For changes to the monitoring of the registered CDM PoA that have no material impact⁴ on the applicability of the methodology or the accuracy and completeness of the monitoring, the request for approval of post-registration change may be suitable to be submitted under the issuance track.

(a) [DELETED]

(b) [DELETED]

¹ Such corrections may include typographical errors, location, names and numbers of components, etc.

² [DELETED]

³ [DELETED]

⁴ The same materiality thresholds for verification contained in the “CDM validation and verification standard” should apply.

(c) [DELETED]

(d) [DELETED]

(e) [DELETED]

(f) [DELETED]

(g) [DELETED]

(h) [DELETED]

4. Changes to the project design of a registered programme design of a registered programme of activities

6. For changes to the programme design of a registered CDM PoA that do not adversely impact any of the following, the request for approval of post-registration change may be suitable to be submitted under the issuance track:

- (a) The applicability and application of the applied methodology and, where applicable, the applied standardized baseline under which the PoA has been registered;
- (b) The additionality of PoA or CPAs to be included in the PoA;
- (c) The scale of CPAs to be included in the PoA.

7. For changes to the programme design to use the positive list for demonstrating additionality based on the latest approved version of the “Methodological tool: Demonstration of additionality of small-scale project activities” or the “Methodological tool: Demonstrating additionality of microscale project activities”, the request for approval of post-registration change may be suitable to be submitted under the issuance track.

5. Types of changes specific to afforestation or reforestation programme of activities

8. For the types of changes listed in the “Guidelines on accounting of specified types of changes in A/R CDM project activities from the description in registered project design document”, the request for approval of post-registration change may be suitable to be submitted under the issuance track.

- - - - -

Document information

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Appendix 3. Draft Standard. CDM validation and verification standard for programmes of activities (version 01.0)

REFERENCE NUMBER

Draft Standard

**CDM validation and verification standard for
programmes of activities**

Version 01.0

DRAFT



United Nations
Framework Convention on
Climate Change

TABLE OF CONTENTS.....	PAGE
1. INTRODUCTION	95
1.1. Background	95
1.2. Objectives.....	95
2. SCOPE, APPLICABILITY AND ENTRY INTO FORCE	96
2.1. General.....	96
2.2. Application.....	96
2.3. Entry into force	96
3. NORMATIVE REFERENCES	96
4. TERMS AND DEFINITIONS	96
5. PRINCIPLES FOR VALIDATION AND VERIFICATION.....	97
5.1. Independence.....	97
5.2. Ethical conduct.....	97
5.3. Fair presentation	97
5.4. Due professional care	97
6. GENERAL VALIDATION AND VERIFICATION REQUIREMENTS.....	97
7. GENERAL VALIDATION REQUIREMENTS ON REGISTRATION OF PROGRAMMES OF ACTIVITIES	98
7.1. Objectives of CDM validation.....	98
7.2. Validation approach	99
7.3. Means of validation	99
7.3.1. Standard auditing techniques	99
7.3.2. Corrective action requests, clarification requests, and forward action requests.....	100
7.4. Global stakeholder consultation.....	101
7.5. Approval	102
7.6. Authorization	104
7.7. Contribution to sustainable development.....	104
7.8. Modalities of communications	105
7.8.1. General.....	105
7.8.2. Modalities of communication statement	106

7.9.	Programme and component project activities design document.....	106
7.10.	Description of programme of activities and component project activities.....	106
7.11.	Application of selected methodology and selected standardized baseline	109
7.11.1.	General.....	109
7.11.2.	Applicability of methodology and standardized baseline.....	109
7.11.3.	Deviation from methodology	110
7.11.4.	Clarification on applicability of methodology, tool and/or standardized baseline	111
7.11.5.	Project boundary	111
7.11.6.	Establishment and description of baseline scenario	112
7.11.7.	Demonstration of additionality	114
7.11.8.	Emission reductions	118
7.11.9.	Monitoring plan.....	119
7.12.	Duration and crediting period.....	121
7.13.	Environmental impacts.....	122
7.14.	Local stakeholder consultation.....	123
7.15.	Validation status and outcomes, opinion and report.....	125
7.15.1.	Validation status and outcomes.....	125
7.15.2.	Validation opinion.....	125
7.15.3.	Validation report.....	126
8.	SPECIFIC VALIDATION REQUIREMENTS ON COMPONENT PROJECT ACTIVITIES	127
8.1.	Small-scale component project activities.....	128
8.1.1.	Component project activity type and eligibility.....	128
8.1.2.	Bundling of project activity [DELETED]	128
8.1.3.	Debundling of component project activity.....	129
8.1.4.	Demonstration of additionality	129
8.1.5.	Environmental impacts.....	130
8.2.	Afforestation or reforestation component project activities.....	130
8.2.1.	Project boundary	131
8.2.2.	Selection of carbon pools.....	131

8.2.3.	Eligibility of land	132
8.2.4.	Addressing non-permanence.....	132
8.2.5.	Timing of management activities, including harvesting cycles, and verifications	132
8.2.6.	Establishment and description of baseline scenario	133
8.2.7.	Emission reductions	133
8.2.8.	Socio-economic and environmental impacts	134
8.3.	Small-scale afforestation or reforestation component project activities	134
8.4.	Carbon dioxide capture and storage project activities [DELETED]	135
8.4.1.	Participation requirements [DELETED]	135
8.4.2.	Selection and characterization of the geological storage site [DELETED]	135
8.4.3.	Risk and safety assessment [DELETED]	135
8.4.4.	Environmental and socioeconomic impact assessment [DELETED]	135
8.4.5.	Liability [DELETED]	135
8.4.6.	Requirements for financial provision [DELETED]	135
8.4.7.	Monitoring [DELETED]	136
8.4.8.	Project boundary [DELETED]	136
8.4.9.	Approval and authorization [DELETED]	136
8.5.	Programme of activities [CONTENT MOVED TO SECTIONS 7.9–7.14, 8.1]	136
8.5.1.	General [DELETED]	136
8.5.2.	Description of programme of activities [CONTENT MOVED TO SECTION 7.10]	136
8.5.3.	Description of component project activities [CONTENT MOVED TO SECTION 7.10]	137
8.5.4.	Component project activities design document [CONTENT MOVED TO SECTION 7.9]	137
8.5.5.	Eligibility criteria [CONTENT MOVED TO SECTION 7.9]	137
8.5.6.	Application of selected baseline and monitoring methodologies and selected standardized baseline [CONTENT MOVED TO SECTIONS 7.11, 7.12]	137
8.5.7.	Environmental impacts [CONTENT MOVED TO SECTION 7.13]	137

8.5.8.	Local stakeholder consultation [CONTENT MOVED TO SECTION 7.14]	138
8.5.9.	Debundling of small-scale component project activities [CONTENT MOVED TO SECTION 8.1]	138
9.	GENERAL VALIDATION REQUIREMENTS ON POST-REGISTRATION ACTIVITIES	138
9.1.	General	138
9.2.	Temporary deviations from the registered monitoring plan, methodology or standardized baseline	139
9.3.	Corrections	140
9.4.	Changes to the start date of the crediting period of component project activities	141
9.5.	Inclusion of a monitoring plan to a registered programme of activities	141
9.6.	Permanent changes from the registered monitoring plan, methodology or standardized baseline	141
9.7.	Changes to the design of a registered programme of activities	142
9.8.	Changes to design of generic component project activities or specific-case component project activities	146
9.8.1.	Modification to or addition of technologies/measures	146
9.9.	Inclusion of component project activities in a programme of activities	147
9.10.	Changes to modalities of communication	147
10.	SPECIFIC VALIDATION REQUIREMENTS ON POST-REGISTRATION ACTIVITIES	147
10.1.	Afforestation and reforestation component project activities	147
10.1.1.	Types of changes specific to afforestation or reforestation component project activities	147
10.2.	Programme of activities [CONTENT MOVED TO SECTIONS 9.7–9.10]	148
10.2.1.	Changes to programme design of programme of activities [CONTENT MOVED TO SECTION 9.7]	148
10.2.2.	Changes to project design of generic component project activities or specific-case component project activities [CONTENT MOVED TO SECTION 9.8]	149
10.2.3.	Inclusion of component project activities in programme of activities [CONTENT MOVED TO SECTION 9.9]	149
10.2.4.	Changes to modalities of communication [CONTENT MOVED TO SECTION 9.10]	149

11. GENERAL VERIFICATION REQUIREMENTS	150
11.1. Objective of CDM verification.....	150
11.2. Verification approach	150
11.2.1. General.....	150
11.2.2. Quality of evidence.....	151
11.2.3. Application of materiality [DELETED]	152
11.3. Means of verification	153
11.3.1. Standard auditing techniques	153
11.3.2. Clarification requests, corrective action requests and forward action requests.....	154
11.4. Verification of compliance	156
11.4.1.-bis General.....	156
11.4.1. Compliance of the monitoring report with the monitoring report form.....	157
11.4.2. Compliance of the programme implementation with the registered programme design document.....	157
11.4.3. Compliance of the registered monitoring plan with the methodology including applicable tool(s) and the standardized baseline	159
11.4.4. Compliance of monitoring activities with the registered monitoring plan.....	159
11.4.5. Compliance with the calibration frequency requirements for measuring instruments.....	160
11.4.6. Assessment of data and calculation of emission reductions or net removals	161
11.5. Verification status and verification and certification report	164
11.5.1. Verification status.....	164
11.5.2. Verification and certification report	164
12. SPECIFIC VERIFICATION REQUIREMENTS	165
12.1. Small-scale component project activities.....	165
12.2. Afforestation or reforestation component project activities.....	166
12.3. Carbon dioxide capture and storage project activities [DELETED]	166
12.3.1. General [DELETED]	166

12.3.2.	Request for issuance of certified emission reductions [DELETED]	167
12.4.	Programme of activities [CONTENT MOVED TO SECTION 11.4]	167
13.	GENERAL VALIDATION REQUIREMENTS ON RENEWAL OF PROGRAMME OF ACTIVITIES	167
14.	SPECIFIC VALIDATION REQUIREMENTS ON RENEWAL OF CREDITING PERIOD OR RENEWAL OF PROGRAMME OF ACTIVITIES [DELETED]	170
14.1.	Carbon dioxide capture and storage project activities [DELETED]	170
14.2.	Programme of activities [CONTENT MOVED TO SECTION 13]	170
14.2.1.	Renewal of programme of activities [CONTENT MOVED TO SECTION 13]	170
14.2.2.	Renewal of crediting period of component project activities [CONTENT MOVED TO SECTION 13]	171
APPENDIX .CALIBRATION		172

1. Introduction

1.1. Background

1. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) established the basis of the regulatory framework for the clean development mechanism (CDM) to implement Article 12 of the Kyoto Protocol through the following:
 - (a) Annex to decision 3/CMP.1: Modalities and procedures for a clean development mechanism;
 - (b) Annexes to decision 4/CMP.1, including annex II: Simplified modalities and procedures for small-scale clean development mechanism project activities;
 - (c) Annex to decision 5/CMP.1: Modalities and procedures for afforestation and reforestation project activities under the clean development mechanism;
 - (d) Annex to decision 6/CMP.1: Simplified modalities and procedures for small-scale afforestation and reforestation project activities under the clean development mechanism;
 - (e) Decision 7/CMP.1;
 - (f) Decision 10/CMP.7: Modalities and procedures for carbon dioxide capture and storage in geological formations as clean development mechanism project activities.
2. The CMP revised some of the provisions in these decisions through new decisions in subsequent sessions.
3. Pursuant to its mandate from the CMP to operationalize the CDM, the Executive Board of the CDM (hereinafter referred to as the Board) has adopted various standards (including baseline and monitoring methodologies (hereinafter referred to as methodologies), tools and standardized baselines), procedures, guidelines, clarifications and forms, and revised them with a view to improving the CDM process.
4. **[DELETED]**

1.2. Objectives

5. The objectives of the “CDM validation and verification standard for programmes of activities” (hereinafter referred to as this standard) are to:
 - (a) Enhance consistency and clarity of minimum requirements for all types of CDM validation and verification activities;
 - (b) Improve the quality and consistency in the preparation, execution, and reporting of validation and verification activities;
 - (c) Enhance the overall efficiency and integrity of the CDM.

2. Scope, applicability and entry into force

2.1. General

6. This standard provides designated operational entities (DOEs) with minimum requirements for validation and verification for a programme of activity (PoA) based on CDM rules and requirements approved by the Board.

2.2. Application

7. The principles in section 5 and requirements in sections 6, 7, 9, 11 and 13 apply to any type of PoAs.

- 7_{bis}. In addition to the requirements in sections 6, 7, 9, 11 and 13, the requirements in sections 8, 10 and 12 below apply specifically to small-scale component project activities (CPAs), large-scale afforestation/reforestation (A/R) CPAs or small-scale A/R CPAs.

2.3. Entry into force

8. Version 01.0 of this standard enters into force on [DATE TO BE DETERMINED].

3. Normative references

9. The following referenced documents are indispensable for the application of this standard:
- (a) “CDM accreditation standard”;
 - (b) “CDM project cycle procedure for programmes of activities”;
 - (c) “CDM project standard for programmes of activities”;
 - (d) “Glossary of CDM terms”.

4. Terms and definitions

10. In addition to the definitions contained in the “Glossary of CDM terms”, the following terms apply in this standard:
- (a) “Shall” is used to indicate requirements to be followed;
 - (b) “Should” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
 - (c) “May” is used to indicate what is permitted.
 - (d) [MOVED TO THE GLOSSARY OF CDM TERMS]
 - (e) [MOVED TO THE GLOSSARY OF CDM TERMS]
 - (f) [MOVED TO THE GLOSSARY OF CDM TERMS]

5. Principles for validation and verification

5.1.-bis General

11. The following principles¹ guide the preparation, execution, and reporting of validation and verification activities.

5.1. Independence

12. Remain independent of the activity being validated or verified, and free from bias and conflict of interest. Maintain objectivity throughout the validation or verification to ensure that the findings and conclusions are based on objective evidence generated during the validation or verification.

5.2. Ethical conduct

13. Demonstrate ethical conduct through trust, integrity, confidentiality and discretion throughout the validation or verification.

5.3. Fair presentation

14. Reflect truthfully and accurately the validation or verification activity, findings, conclusions and reports. Report significant obstacles encountered during the validation or verification, as well as unresolved, diverging opinions among validators or verifiers, the responsible party (e.g. the secretariat/the Board) and the client (e.g. the coordinating/managing entity).

5.4. Due professional care

15. Exercise due professional care and judgement based on the importance of the task performed and the confidence placed by clients and intended users. Have the necessary skills and competences to undertake the validation or verification.

6. General validation and verification requirements

16. The DOE shall select a competent team to perform the validation or verification for the PoA or CPA.
17. In carrying out its validation or verification work, the DOE shall:
 - (a) Follow this standard and integrate its provisions into the DOE's own quality management systems;
 - (b) Apply the most recent applicable decisions and guidance provided by the Board;
 - (c) Determine whether each PoA or CPA meets all applicable CDM rules and requirements, including those specified in the "CDM project standard for

¹ This text is taken from ISO 14064-3:2006 - Greenhouse gases - Part 3: Specification with guidance for the validation and verification of greenhouse gas assertions and is reproduced with the permission of the International Organization for Standardization, ISO. This standard can be obtained from any ISO member from the website of the ISO Central Secretariat at the following address: <www.iso.org>. Copyright remains with ISO.

- programmes of activities”, relevant methodologies, tools and standardized baselines;
- (d) Assess the accuracy, conservativeness, relevance, completeness, consistency, and transparency of the information provided by the coordinating/managing entity;²
 - (e) Determine whether information provided by the coordinating/managing entity is reliable and credible;³
 - (f) Apply consistent validation/verification criteria:
 - (i) To the requirements of the applicable approved methodology and, where applicable, the applicable approved standardized baseline throughout the crediting period(s);
 - (ii) Among PoAs with similar characteristics such as a similar application of the approved methodology, approved standardized baseline, use of technology, time period or region;
 - (iii) To expert judgements, over time and among PoAs or CPAs;
 - (g) Base its findings and conclusions on objective evidence and conduct all validation or verification activities in accordance with CDM rules and requirements;
 - (h) Not omit evidence that is likely to alter the validation or verification opinion;
 - (i) Present information in the validation report or verification and certification report in a factual, neutral and coherent manner and document all assumptions, provide references to background material, and identify changes made to the documentation;
 - (j) Safeguard the confidentiality of all information obtained or created during the validation or verification.

7. General validation requirements on registration of programmes of activities

7.1. Objectives of CDM validation

18. The DOE shall conduct a thorough and independent assessment of a proposed PoA or CPA against the applicable CDM rules and requirements.

² Principles for each can be found in the “CDM project standard for programmes of activities”.

³ Information is credible if it is authentic and is able to inspire belief or trust, and the willingness of persons to accept the quality of evidence. Information is reliable if the quality of evidence is accurate and credible and able to yield the same results on a repeated basis.

7.2. Validation approach

19. In carrying out its validation work, the DOE shall:
- (a) Determine whether the proposed PoA or CPA complies with the requirements of paragraph 37 of the CDM M&Ps (with the exception of paragraph 37(c) for CCS CDM project activities), the applicability conditions of the selected methodology, and, where applicable, the selected standardized baseline, and guidance issued by the Board;
 - (b) Assess the claims and assumptions in the programme of activities design document (PoA-DD), or component project activity design document (CPA-DD).⁴ The evidence used in this assessment shall not be limited to that provided by the coordinating/managing entity.
20. The DOE shall make publicly available the PoA-DD received from the coordinating/managing entity in accordance with the “CDM project cycle procedure for programmes of activities”.
21. The DOE shall request the secretariat to withdraw the published PoA-DD in accordance with the “CDM project cycle procedure for programmes of activities”, if the coordinating/managing entity requested the DOE to do so before the submission of a request for registration of the proposed PoA.

7.3. Means of validation

7.3.1. Standard auditing techniques

22. The DOE shall assess the information provided by the coordinating/managing entity.
23. In assessing information, the DOE shall apply the means of validation specified throughout this standard and where appropriate standard auditing techniques, including, but not limited to:
- (a) Document review, involving:
 - (i) A review of data and information;
 - (ii) Cross checks between information provided in the PoA-DD or CPA-DD and information from sources other than those used, if available, the DOE’s sectoral or local expertise and, if necessary, independent background investigations;
 - (b) Follow-up actions (e.g. on-site inspection and telephone or e-mail interviews), including:
 - (i) Interviews with relevant stakeholders in the host country, personnel with knowledge of the programme design and implementation;

⁴ In this standard, “CPA” and “CPA-DD” without prepositive “generic” mean they are of a specific-case CPA.

- (ii) Cross checks between information provided by interviewed personnel (i.e. by checking sources or other interviews) to ensure that no relevant information has been omitted;
- (c) Reference to available information relating to programme, projects or technologies similar to the proposed PoA or CPA under validation;
- (d) Review, based on the selected methodology and, where applicable, the selected standardized baseline, of the appropriateness of formulae and accuracy of calculations;
- (e) Sampling approach in accordance with the “Standard: Sampling and surveys for CDM project activities and programme of activities”, including:
 - (i) A random sampling for cases where the coordinating/managing entity did not apply a sampling approach;
 - (ii) An acceptance sampling or another sampling approach for cases where the coordinating/managing entity applied a sampling approach.

23_{bis} It is mandatory for the DOE to conduct an on-site inspection at validation for the proposed CPA if:

- (a) Its estimated annual average of greenhouse gas (GHG) emission reductions is more than 100,000 tCO₂eq; or
- (b) There is pre-project information that is relevant to the requirements for inclusion of the CPA and may not be traceable after the inclusion.

23_{ter} For other cases that are not referred to in paragraph 23_{bis} above, it is optional for the DOE to conduct an on-site inspection at validation. If the DOE does not conduct an on-site inspection as a means of validation, it shall describe the alternative means used and justify that they are sufficient for the purpose of validation.

24. Where no specific means of validation is specified, the DOE shall apply the standard auditing techniques described in paragraph 23 above.

7.3.2. Corrective action requests, clarification requests, and forward action requests

25. During the validation of a proposed PoA or CPA, if the DOE identifies issues that require further elaboration, research or expansion in order to determine whether the PoA or CPA meet the CDM rules and requirements, and can achieve credible GHG emission reductions or net anthropogenic GHG removals, the DOE shall ensure that these issues are accurately identified, formulated, discussed and concluded in the validation report.

26. The DOE shall raise a corrective action request (CAR) if one of the following situations occurs:

- (a) The coordinating/managing entity have made mistakes that will influence the ability of the proposed PoA or CPA to achieve real, measurable, verifiable and additional GHG emission reductions or net anthropogenic GHG removals;
- (b) The applicable CDM rules and requirements have not been met;
- (c) There is a risk that GHG emission reductions or net anthropogenic GHG removals cannot be monitored or calculated.

27. The DOE shall raise a clarification request (CL) if information is insufficient or not clear enough to determine whether the applicable CDM rules and requirements have been met.
28. The DOE shall raise a forward action request (FAR) during the validation to identify issues related to project implementation that require review during the first verification of the proposed PoA or CPA. The DOE shall not raise a FAR that relates to the CDM rules and requirements for registration of the PoA or inclusion of the CPA.
29. The DOE shall resolve or “close out” CARs and CLs only if the coordinating/managing entity modify the programme design, rectify the PoA-DD or CPA-DD, or provide additional explanations or evidence that satisfy the DOE’s concerns. If this is not done, the DOE shall not recommend the proposed PoA for registration, or the CPA for inclusion.
30. The DOE shall report on all CARs, CLs and FARs in its validation report. This reporting shall explain the issues raised, the responses provided by the coordinating/managing entity, the means of validation of such responses and references to any resulting changes in the PoA-DD or CPA-DD or supporting annexes.

7.4. Global stakeholder consultation

Validation requirement

31. The DOE shall determine whether authentic and relevant comments in the global stakeholder consultation were taken into due account in the PoA-DD of the proposed PoA.

Means of validation

32. The DOE shall acknowledge receipt of all submitted comments on the PoA-DD of the proposed PoA.
33. In case of doubt, the DOE shall determine the authenticity of the name and contact details of the individual or organization on whose behalf the comments have been submitted.
34. Once the DOE has determined which submitted comments are authentic, it shall contact the secretariat to make them publicly available.
35. The DOE shall determine whether the authentic comments are relevant to the following defined scope of comments:
 - (a) The comment discusses issues specific to the proposed PoA;
 - (b) The comment discusses issues related to the compliance with the relevant CDM rules and requirements.
36. The DOE shall take due account of all the comments that the DOE determined to be authentic and relevant in accordance with paragraphs 33 and 35 above.
37. If a comment indicates that the proposed PoA does not comply with the CDM rules and requirements but are not substantiated, the DOE shall request a clarification from the entity that provided the comment. Upon receiving the clarification, the DOE shall determine whether a further clarification request is required. If no additional information

- or substantiation is provided within 14 days of the request for clarification being made, the DOE shall proceed to assess the comments as originally provided.
38. The DOE shall determine whether changes to the PoA-DD have been made after the publication of the PoA-DD for global stakeholder consultation.
 39. A DOE shall make the revised PoA-DD and CPA-DD publicly available for global stakeholder consultation in accordance with the “CDM project cycle procedure for programmes of activities” if the DOE determines that:
 - (a) The coordinating/managing entity that have a contractual relationship with the DOE have been replaced;
 - (b) Significant changes have been made to the programme design; or
 - (c) The approved methodology, the approved standardized baseline and/or the combination thereof applied in the PoA-DD has been changed by the coordinating/managing entity, unless, the change only involves the removal and no addition of approved methodologies and/or approved standardized baseline, and the removal of the approved methodologies and/or approved standardized baseline 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, the standardized baselines that were not removed).
 40. If the DOE determines that changes have been made to the programme design, the DOE may seek guidance from the Board on whether the revised PoA-DD shall be published for global stakeholder consultation in accordance with the “CDM project cycle procedure for programmes of activities”.

Reporting requirement

41. The DOE shall report the details of the actions taken to:
 - (d) Authenticate the information on the submitters of the comments in case of doubt;
 - (e) Determine the relevance of the authentic comments to the defined scope of comments;
 - (f) Take due account of the authentic and relevant comments, including dates of receipt, responses by the coordinating/managing entity and responses by the DOE.
42. If the DOE identifies changes to the PoA-DD after its publication for global stakeholder consultation, the DOE shall state its opinion on whether the publication of the revised PoA-DD for global stakeholder consultation is necessary in accordance with paragraph 39 above.

7.5. Approval

Validation requirement

43. The DOE shall determine whether the designated national authority (DNA) of each Party indicated in the PoA-DD as being involved in the proposed PoA has provided a written letter of approval.

Means of validation

44. The DOE shall determine whether each letter confirms that:
- (a) The Party is a Party to the Kyoto Protocol;
 - (b) The participation in the proposed PoA is voluntary;
 - (c) In the case of the host Party, the proposed PoA contributes to achieving sustainable development of the country;
 - (d) It refers to the precise title of the proposed PoA in the PoA-DD being submitted for registration (i.e. there shall be no difference between the title in the letter and that in the PoA-DD).
45. The DOE shall determine whether the letter of approval is unconditional with respect to paragraph 44-(a) to (d) above.
46. **[DELETED]**
47. The DOE shall determine whether the letter of approval has been issued by the respective Party's DNA and is valid for the proposed PoA under validation.⁵
48. If the DOE doubts the authenticity of the letter of approval, it shall verify with the DNA that the letter of approval is authentic.

Reporting requirement

49. The DOE shall, for each Party involved:
- (a) Indicate whether a letter of approval has been received, referencing the letter itself and any supporting documentation;
 - (b) Indicate whether the DOE received the letter of approval from the coordinating/managing entity, or directly from the DNA;
 - (c) Indicate the means of validation employed to assess the authenticity of the letter of approval if paragraph 48 above applies;
 - (d) Include a statement as to whether the letter of approval meets the requirements referred to in paragraphs 44–48 above, as applicable.
50. **If the letter of approval refers to a specific version of the validation report and the DOE therefore is unable to submit this precise version of the validation report, the DOE shall:**
- (a) Insert a statement in the validation report to indicate that the final letter of approval has not been received and that a request for registration will not be submitted until it has been received; or
 - (b) Update the validation report to reflect the receipt of the letter of approval. If this option is selected, **the whole number of the version number of** the validation report shall remain unchanged and the **fractional** number shall be increased (e.g. from 1.0 to 1.1). The DOE shall confirm in the validation report that **the**

⁵ A list of DNAs is available on the UNFCCC CDM website.

confirmation of the receipt of the letter of approval is the only change that has been made to the version referred to in the letter of approval.

7.6. Authorization

Validation requirement

51. The DOE shall determine whether each project participant of the proposed PoA has been authorized to participate in the PoA by at least one Party involved in the letter of approval referred to in paragraph 43 above, **or in a separate authorization letter**.
52. The DOE shall determine whether the coordinating/managing entity has been authorized to coordinate the proposed PoA by each host Party involved in the PoA.

Means of validation

53. The DOE shall confirm that the coordinating/managing entity and the project participants of the proposed PoA, are listed in the PoA-DD and that this information is consistent with the information provided in the section that contains the contact information of project participants.
54. The DOE shall confirm that no entities other than those authorized as the coordinating/managing entity and the project participants of the proposed PoA are included in these sections of the PoA-DD.
55. The DOE shall confirm that the **authorization** has been issued from the relevant DNA, and if in doubt, shall verify with the DNA that the **authorization** is valid for the coordinating/managing entity and the project participants of the proposed PoA.

Reporting requirement

56. The validation report shall, for the coordinating/managing entity and each project participant of the proposed PoA:
 - (a) Indicate whether the participation has been authorized by a Party to the Kyoto Protocol;
 - (b) Describe the means of validation used to support the conclusions.

7.7. Contribution to sustainable development

Validation requirement

57. The DOE shall determine whether the DNA of the host Party of the proposed PoA has confirmed whether the PoA assists the host Party in achieving sustainable development.

Means of validation

58. The DOE shall determine whether the letter of approval provided by the DNA of the host Party of the proposed PoA confirms the contribution of the PoA to achieving sustainable development of the host Party.

Reporting requirement

59. The DOE shall state whether the host Party's DNA has confirmed the contribution of the proposed PoA to achieving sustainable development of the host Party. This may be reported together with the DOE's assessment of the validity of the host Party's letter of approval.

7.8. Modalities of communications**7.8.1. General*****Validation requirement***

60. The DOE shall validate the corporate identity of all project participants, the coordinating/managing entity and focal points included in the Modalities of Communication (MoC) statement, as well as the personal identities, including specimen signatures and employment status, of their authorized signatories.

Means of validation

61. The DOE shall validate the identities referred to in paragraph 60 above through:
- (a) Directly checking evidence of corporate and personal identities and other relevant documentation;
 - (b) Notarized documentation; or
 - (c) Written confirmation from the coordinating/managing entity that submits the MoC statement that all corporate and personal details, including specimen signatures, are valid and accurate.
62. When the DOE validates the identities by applying paragraph 61(c) above, the DOE shall ensure that the MoC statement is received from the coordinating/managing entity.
63. When the DOE validates the identities by applying paragraph 61(c) above, the DOE shall ensure that the official who submits the MoC statement to the DOE and the official who signed the written confirmation (if a different person) are duly authorized to do so on behalf of the coordinating/managing entity.
64. If the DOE is unable to validate the requirements by applying paragraph 61(a), (b) or (c) above, the DOE may perform further validation activities in order to confirm that the corporate and personal details, employment status and specimen signatures included in the MoC statement are valid and accurate, and comply with the requirements of this section.

Reporting requirement

65. The DOE shall **state** that it has performed due diligence on the MoC statement in accordance with the requirements **in this section**.

7.8.2. Modalities of communication statement***Validation requirement***

66. The DOE shall validate that the MoC statement has been correctly completed and duly authorized.

Means of validation

67. The DOE shall check that:
- (a) The valid version of the form “Modalities of Communication statement” (CDM-MOC-FORM) has been used;
 - (b) The information required as per the CDM-MOC-FORM, including its annex 1, is correctly completed;
 - (c) The project participants’ authorized signatories signing the CDM-MOC-FORM correspond to the project participants’ authorized signatories included in the CDM-MOC-FORM, annex 1.

Reporting requirement

68. The DOE shall **state** that the MoC statement complies with all relevant forms and requirements.

7.9. Programme and component project activities design document***Validation requirement***

69. The DOE shall determine whether the PoA-DD or CPA-DD has been completed using the valid version of the PoA-DD or CPA-DD form appropriate to the type of the proposed PoA or CPA.

69_{bis} The DOE shall assess any proposed CPA that the coordinating/managing entity wishes to include in the proposed PoA, to determine whether it complies with all applicable requirements of the PoA (including the eligibility criteria) specified in the PoA DD. The means of validation to determine the compliance with this requirement will be specific to the PoA.

69_{ter} The DOE shall assess whether the eligibility criteria for inclusion of a proposed CPA in the proposed PoA are developed in accordance with the “CDM project standard for programmes of activities” and sufficiently objective and comprehensive.

Reporting requirement

70. The DOE shall provide a statement regarding the compliance of the PoA-DD or CPA-DD with the relevant forms and instructions therein.

7.10. Description of programme of activities and component project activities***Validation requirement***

70_{bis} The DOE shall assess the PoA-DD that is submitted by the coordinating/managing entity and shall confirm:

- (a) The framework developed for the implementation of the proposed PoA, and defining a proposed CPA under the PoA;
- (b) The policy/measure or stated goal that the proposed PoA seeks to promote;
- (c) That the proposed PoA is a voluntary action by the coordinating/managing entity.

70_{ter} The DOE shall assess the boundary of the proposed PoA within which all proposed CPAs included in the PoA will be implemented.

70_{quater} The DOE shall determine whether, in establishing the boundary of the proposed PoA, the coordinating/managing entity has taken into consideration all applicable national and/or sectoral policies and regulations within that chosen boundary.

70_{quinqies} The DOE shall confirm that a generic CPA part of PoA-DD (hereinafter referred to as generic CPA-DD) has been prepared for each technology/measure, each methodology and each combination thereof, or that technologies/measures have been combined in one generic CPA-DD in accordance with the relevant requirements in the "CDM project standard for programmes of activities".

70_{sexies} The DOE shall assess whether the management system described in the PoA-DD is in accordance with the "CDM project standard for programmes of activities".

70_{septies} The DOE shall assess a CPA-DD(s) that is(are) submitted by the coordinating/managing entity and shall confirm that each proposed CPA has:

- (a) Only one host Party;
- (b) Its geographic reference or other means of identification;
- (c) A CPA implementer(s), an entity(ies)/individual(s) responsible for its operation;
- (d) Been neither registered as a CDM project activity nor included in another registered PoA.

71. The DOE shall determine whether the description of the proposed PoA or CPA in the PoA-DD or CPA-DD, respectively, is accurate, complete, and provides an understanding of the proposed PoA or CPA.

Means of validation

72. [MOVED TO PARA. 23_{bis}]

73. [MOVED TO PARA. 23_{bis}]

74. [MOVED TO PARA. 23_{ter}]

75. If the proposed CPA involves the alteration of an existing installation or process, the DOE shall assess whether the project description states the differences resulting from the CPA compared to the pre-project situation.

75_{bis} If the proposed CPA is in the same geographical location as a registered CDM project activity or an included CPA under a registered PoA whose crediting period has expired (hereinafter referred to as former project), as declared by the coordinating/managing entity in the CPA-DD, or based on the finding of the DOE during validation, and if the communication to the Board on such case has not been submitted in accordance with

the “CDM project standard for programmes of activities”, the DOE shall submit such communication to the Board in accordance with the “Procedure: Direct communication with stakeholders” prior to including the CPA in a registered PoA.

76. If the proposed CPA has been previously excluded from a registered PoA, the DOE shall assess whether:⁶

- (a) The CPA-DD transparently declares that the CPA has been previously excluded from the same or different PoA, either voluntarily or due to erroneous inclusion;
- (b) The crediting period type (i.e. renewal or fixed) and the total length of the crediting period (e.g. maximum 10 years for the fixed crediting period type and maximum 21 years for the renewal crediting period type) and its end-date are the same as before the exclusion;
- (c) If the crediting period type is renewal and the re-inclusion takes place after the end of the crediting period in which the exclusion occurred, the CPA meets all requirements in the latest version of the PoA-DD including eligibility criteria for inclusion of CPAs;
- (d) If the CPA applies a methodology that potentially accrues negative emission reductions, emission reductions have been continuously monitored since the end of the monitoring period in the last published monitoring report, including the exclusion period. For such CPA, if there were net negative emission reductions during the period before the re-inclusion, the amount shall be deducted from the first requests for issuance after the re-inclusion;
- (e) If the CPA has been excluded as a result of erroneous inclusion, the non-compliance with the requirements for inclusion in the PoA that led to the erroneous inclusion has been rectified, and, if CERs have been issued for the CPA, an equivalent amount of Kyoto credits have been compensated by the DOE that erroneously included the CPA, or that validated the CPA at its first verification if it was included by the coordinating/managing entity, to the CDM registry in accordance with the “CDM project cycle procedure for programmes of activities”.

Reporting requirement

77. The DOE shall:

- (a) Describe the process undertaken to validate the accuracy and completeness of the programme description;
- (b) Provide an opinion on the accuracy and completeness of the programme description.
- (c) [MOVED TO PARA. 23_{ter}]

⁶ [DELETED]

7.11. Application of selected methodology and selected standardized baseline**7.11.1. General**

78. The DOE shall determine whether the methodologies and, where applicable, the standardized baseline selected by the coordinating/managing entity are the valid versions of those approved by the Board.
79. The DOE shall apply specific guidance and/or clarifications provided by the Board with respect to the approved methodology, any applicable tools, and/or the approved standardized baseline that is(are) selected by the coordinating/managing entity.
80. The DOE shall determine whether the selected methodology and, where applicable, the selected standardized baseline applies(apply) to the proposed PoA and was correctly applied with respect to the following:
- (a) Project boundary;
 - (b) Baseline identification;
 - (c) Algorithms and/or formulae used to determine emission reductions;
 - (d) Additionality;
 - (e) Monitoring methodology.

80_{bis} The DOE shall assess the application of multiple methodologies in accordance with the “Standard for demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities”.

7.11.2. Applicability of methodology and standardized baseline***Validation requirement***

81. The DOE shall validate that the selected methodology and, where applicable, the standardized baseline is(are) applicable to the proposed PoA and CPA and that the selected version(s) is(are) valid at the time of submission of the proposed PoA for registration.

Means of validation

82. The DOE shall determine whether the methodology and, where applicable, the standardized baseline is(are) correctly quoted and applied by comparing it(them) with the actual text of the valid version of the methodology and, where applicable, of the standardized baseline,⁷ and relevant requirements in the “CDM project standard for programmes of activities” and any other applicable standard or guideline.
83. If the PoA-DD and the CPA-DD of PoA and CPA are based on a previous version(s) of a methodology and, where applicable, a standardized baseline and was(were) published for global stakeholder consultation but was(were) not submitted for registration within the

⁷ An approved methodology and, where applicable, an approved standardized baseline applies to the proposed CPA if the applicability conditions of the methodology and, where applicable, the standardized baseline are met.

grace period, the DOE shall request the coordinating/managing entity to provide a revised PoA-DD and CPA-DD in accordance with the “CDM project cycle procedure for programmes of activities”.

84. The DOE shall request the coordinating/managing entity to provide a revised PoA-DD and CPA-DD in accordance with the “CDM project cycle procedure for programmes of activities” if:
- (a) The PoA-DD and the CPA-DD have been published for global stakeholder consultation when no applicable approved standardized baseline was valid;
 - (b) An applicable approved standardized baseline whose selection is mandatory has become valid after the publication of the PoA-DD and the CPA-DD for global stakeholder consultation but before the submission of a request for registration of the proposed PoA;
 - (c) The request for registration has not been submitted within 240 days after the standardized baseline became valid.
85. The DOE shall determine whether the proposed PoA and CPA meet each of the applicability conditions of the approved methodology, any tool, other methodology component referred to therein and, where applicable, the approved standardized baseline. This shall be done by validating the documentation referred to in the PoA-DD and the CPA-DD and by verifying that the documentation content is correctly quoted and interpreted in the PoA-DD and the CPA-DD. If the DOE, based on local and sectoral knowledge, is aware that comparable information is available from credible sources other than that used in the PoA-DD and the CPA-DD, then the DOE shall cross-check the PoA-DD and the CPA-DD against other sources to confirm that the PoA and the CPA meet the applicability conditions of the methodology and, where applicable, the standardized baseline.

Reporting requirement

86. For each applicability condition listed in the selected methodology and, where applicable, the selected standardized baseline, the DOE shall describe the steps taken to assess the relevant information contained in the PoA-DD and the CPA-DD against these criteria. The DOE shall provide a validation opinion regarding the applicability of the selected methodology to the proposed PoA and CPA.

7.11.3. Deviation from methodology

87. The DOE may seek guidance from the Board on the acceptability of a deviation prior to the submission of a request for registration or publication of the PoA-DD and the CPA-DD, if the DOE, when performing validation for a proposed PoA, or upon request from the coordinating/managing entity before the publication of the PoA-DD and the CPA-DD, finds that, due to a programme-specific⁸ issue implying that a revision of the

⁸ Examples of programme-specific issues include, but are not limited to, the following:

- (a) The methodology requires measurements using instrumentation of certain specifications or using a certain method. The coordinating/managing entity of the proposed PoA identify a difficulty in acquiring the specified instrumentation or difficulty in implementing the measurement method; however, they can achieve comparable accuracy of measured parameters using an alternative instrumentation or measurement method;

methodology and/or methodological tool would not be required to address the issue, the coordinating/managing entity deviated from:

- (a) An approved methodology and/or methodological tool; or
 - (b) A section (or sections) in the selected methodology that is(are) not standardized by the selected standardized baseline, if the proposed PoA uses an approved standardized baseline.
88. The DOE shall submit to the Board an assessment of the case including demonstration that the deviation does not require revision of an approved methodology and/or methodological tool, and shall include a description of the impact of the deviation on the emission reductions from the proposed PoA in accordance with the “CDM project cycle procedure for programmes of activities”.
89. Alternatively, if the DOE considers that a revision of the methodology and/or methodological tool would be required to address the programme situation then the DOE shall request the coordinating/managing entity to submit a request for revision in accordance with the “CDM project cycle procedure for programmes of activities”.

7.11.4. Clarification on applicability of methodology, tool and/or standardized baseline

90. If the DOE cannot make a determination regarding the applicability of the selected methodology, the approved tool and/or the selected standardized baseline to the proposed PoA, then the DOE shall request clarification of the methodology, the tool and/or the standardized baseline in accordance with the “CDM project cycle procedure for programmes of activities”. The DOE shall conduct an assessment to ensure that the request is not submitted with the intention of revising an approved methodology, an approved tool and/or an approved standardized baseline to expand its applicability.

7.11.5. Project boundary

Validation requirement

91. The DOE shall determine whether all main GHG emission sources, the physical delineation of the proposed PoA and CPA, and other relevant project and baseline emission sources covered in the selected methodology and, where applicable, the

-
- (b) A proposed CPA does not have access to the data sources specified by the methodology for a certain parameter; a different source of data can be accessed by the CPA to estimate the parameter with equal reliability and accuracy;
 - (c) A minor deviation is sought for a programme-specific situation, which is well justified and conservative. For example: a methodology requires limiting production in the project scenario between +/- 5% of rated capacity, if the historical baseline is to be applied. Due to government restrictions, the plant has never been operated at its rated capacity but at a capacity which is much below its rated capacity (20% below the rated capacity). A deviation can be presented specifying conservative approaches to calculate the emission reduction in such a project- or programme-specific case;
 - (d) A conservative estimation technique or default factor suggested addressing uncertainties related to programme-specific situations, which are not addressed in the methodology. For example, a well-justified conservative uncertainty factor proposed to be used in equations of baseline emissions to address uncertainties in the real-life situation during the crediting period.

selected standardized baseline are included within the project boundary for the purpose of calculating project and baseline emissions for the proposed CPA.

Means of validation

92. The DOE shall confirm the project boundary based on documented evidence and shall corroborate it by an on-site inspection where required.
93. If the methodology allows the coordinating/managing entity to choose whether a source or gas is to be included within the project boundary, the DOE shall determine whether the coordinating/managing entity has justified that choice. The DOE shall determine whether the justification provided is reasonable, based on an assessment of supporting documented evidence provided by the coordinating/managing entity and corroborated by observations if required.
94. For the proposed CPAs that have both A/R and non-A/R components, in order to avoid double counting of emission sources, the DOE shall confirm that the emissions associated with the A/R activity will be accounted for and documented by the A/R CPAs.

Reporting requirement

95. The DOE shall describe how the validation of the project boundary has been performed, by detailing the documentation assessed (e.g. a commissioning report) and by describing its observations during any on-site inspection undertaken (i.e. observations of the physical site or equipment used in the process).
96. The DOE shall state whether the identified boundary and the selected sources and gases are justified for the proposed PoA and CPA. Should the DOE identify emission sources that will be affected by the implementation of the CPA and which are expected to contribute more than 1 per cent of the overall expected average annual emissions reductions, and are not addressed by the selected methodology and, where applicable, the selected standardized baseline, the DOE shall request clarification of, revision to, or deviation from the methodology and, where applicable, the standardized baseline, as appropriate.

7.11.6. Establishment and description of baseline scenario

Validation requirement

97. The DOE shall determine whether the baseline identified for the proposed PoA and CPA is the scenario that reasonably represents the anthropogenic emissions by sources of GHGs that would occur in the absence of the PoA and CPA.
98. The following applies to a proposed PoA and CPA using an approved standardized baseline that standardizes the baseline scenario instead of paragraph 97 above: The DOE shall determine whether the baseline scenario for the proposed PoA and CPA described in the PoA-DD and the CPA-DD is the scenario identified by the selected standardized baseline.

Means of validation

99. The DOE shall determine whether any procedure contained in the methodology to identify the most reasonable baseline scenario has been correctly applied. If the selected methodology requires the use of tools (such as the “Tool for the demonstration and assessment of additionality” and the “Combined tool to identify the baseline scenario

and demonstrate additionality”) to establish the baseline scenario, the DOE shall consult the methodology on the application of these tools. In such cases, the specific guidance in the methodology shall supersede the corresponding requirements of the tool.

100. If the methodology requires several alternative scenarios to be considered in the identification of the most plausible baseline scenario, the DOE shall, based on financial expertise and local and sectoral knowledge, determine whether all scenarios that are considered by the coordinating/managing entity and any scenarios that are supplementary to those required by the methodology, are realistic and credible in the context of the proposed PoA and CPA and that no alternative scenario has been excluded.
101. The DOE shall determine whether the most plausible baseline scenario identified is reasonable by validating the assumptions, calculations and rationales used in the PoA-DD and the CPA-DD. It shall determine whether documents and sources referred to in the PoA-DD and the CPA-DD are correctly quoted and interpreted. The DOE shall cross-check the information provided in the PoA-DD and the CPA-DD with other verifiable and credible sources, such as local expert opinion, if available.
102. The DOE shall determine whether the PoA-DD and the CPA-DD provide a description of the identified baseline scenario, including a description of the technology that would be employed and/or the activities that would take place in the absence of the proposed PoA and CPA.
103. The DOE shall determine whether, drawing on its knowledge of the sector and/or advice from local experts, all applicable CDM rules and requirements have been taken into account in the identification of the baseline scenario for the proposed PoA and CPA, as well as relevant national and/or sectoral policies and circumstances, such as sectoral reform initiatives, local fuel availability, power sector expansion plans, and the economic situation in the project sector. Two types of national and/or sectoral policies have to be taken into account:
 - (a) National and/or sectoral policies or regulations that give comparative advantages to more emissions-intensive technologies or fuels over less emissions-intensive technologies or fuels, otherwise known as policies that increase GHG emissions, and are called type E+. For this type of national and/or sectoral policies or regulations, only those that have been implemented before the adoption of the Kyoto Protocol by the Conference of the Parties (COP) (decision 1/CP.3, 11 December 1997) shall be taken into account when identifying a baseline scenario. If such national and/or sectoral policies were implemented since the adoption of the Kyoto Protocol, the baseline scenario shall refer to a hypothetical situation without the national and/or sectoral policies or regulations being in place;
 - (b) National and/or sectoral policies or regulations that give comparative advantages to less emissions-intensive technologies over more emissions-intensive technologies (e.g. public subsidies to promote the diffusion of renewable energy or to finance energy efficiency programmes), otherwise known as policies that decrease GHG emissions, are called type E-. For this type of national and/or sectoral policies or regulations, those that have been implemented since the adoption by the COP of the CDM modalities and procedures⁹ need not be taken

⁹ Decision 17/CP.7.

into account in identifying a baseline scenario (i.e. the baseline scenario could refer to a hypothetical situation without the national and/or sectoral policies or regulations being in place).

104. The following applies to a proposed PoA and CPA using an approved standardized baseline that standardizes the baseline scenario instead of paragraphs 99–103 above: The DOE shall determine whether the description of the identified baseline scenario in the PoA-DD and the CPA-DD is in accordance with the selected standardized baseline.

Reporting requirement

105. The DOE shall describe the steps taken to assess the requirements and provide an opinion as to whether:
- (a) All the assumptions and data used by the coordinating/managing entity are listed in the PoA-DD and the CPA-DD, including their references and sources;
 - (b) All documentation used is relevant for establishing the baseline scenario and correctly quoted and interpreted in the PoA-DD and the CPA-DD;
 - (c) Assumptions and data used in the identification of the baseline scenario are justified appropriately, supported by evidence and can be deemed reasonable;
 - (d) Relevant national and/or sectoral policies and circumstances are considered and listed in the PoA-DD and the CPA-DD;
 - (e) The approved methodology has been correctly applied to identify the most plausible baseline scenario and the identified baseline scenario reasonably represents what would occur in the absence of the proposed PoA and CPA.
106. The DOE shall describe other steps taken and sources of information used to cross-check the information contained in the PoA-DD and the CPA-DD.
107. The following applies to a proposed PoA and CPA using an approved standardized baseline that standardizes the baseline scenario instead of paragraphs 105 and 106 above: The DOE shall provide an opinion as to whether the description of the identified baseline scenario in the PoA-DD and the CPA-DD is in accordance with the selected standardized baseline.

7.11.7. Demonstration of additionality

7.11.7.1. General

108. The DOE shall assess the additionality of a proposed PoA in accordance with the “Standard for demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities”.¹⁰
109. [DELETED]
110. [DELETED]
111. [MOVED TO PARA. 197]

¹⁰ [DELETED]

112. [DELETED]

7.11.7.2. Intention to seek the clean development mechanism status

113. If the coordinating/managing entity, for the purpose of determining the start date of the proposed PoA, has chosen to notify the DNA(s) of the host Party(ies) of the PoA and the secretariat in writing of the intention to seek the CDM status of the PoA, the DOE shall confirm whether the start date indicated in the PoA-DD is the date of the notification of the intention by referring to the list of prior consideration notifications from the UNFCCC website and communication between the coordinating/managing entity, the secretariat and the host Party DNA, if the DNA exists.

114. [DELETED]¹¹

(a) [DELETED]

(b) [DELETED]

115. [DELETED]¹²

116. [DELETED]

(a) [DELETED]

(b) [DELETED]

117. [DELETED]

118. [DELETED]

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

119. [DELETED]

120. [DELETED]

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

7.11.7.3. Identification of alternatives [DELETED]

121. [DELETED]

122. [DELETED]

¹¹ [DELETED]

¹² [DELETED]

123. [DELETED]

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

124. [DELETED]

125. [DELETED]

7.11.7.4. Investment analysis [DELETED]

126. [DELETED]

(a) [DELETED]

(b) [DELETED]

127. [DELETED]

128. [DELETED]¹³

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

129. [DELETED]

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

(d) [DELETED]

(e) [DELETED]

130. [DELETED]

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

131. [DELETED]

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

¹³ [DELETED]

132. [DELETED]

(a) [DELETED]

(b) [DELETED]

(c) [DELETED]

7.11.7.5. Barrier analysis [DELETED]

133. [DELETED]¹⁴

(a) [DELETED]¹⁵

(b) [DELETED]

134. [DELETED]¹⁶

(a) [DELETED]

(b) [DELETED]

135. [DELETED]

(a) [DELETED]

(b) [DELETED]

136. [DELETED]

(a) [DELETED]

(b) [DELETED]

7.11.7.6. Common practice analysis [DELETED]

137. [DELETED]¹⁷

138. [DELETED]

(a) [DELETED]

(b) [DELETED]¹⁸

(c) [DELETED]

139. [DELETED]

(a) [DELETED]

¹⁴ [DELETED]

¹⁵ [DELETED]

¹⁶ [DELETED]

¹⁷ [DELETED]

¹⁸ [DELETED]

- (b) [DELETED]
- (c) [DELETED]
- (d) [DELETED]

7.11.8. Emission reductions

Validation requirement

140. The DOE shall determine whether the steps taken and the equations and parameters applied in the PoA-DD and the CPA-DD to calculate project emissions, baseline emissions, leakage and emission reductions comply with the requirements of the selected methodology including applicable tool(s) and, where applicable, the selected standardized baseline and the “Standard for sampling and surveys for CDM project activities and programme of activities”.

Means of validation

141. Where the methodology and, where applicable, the standardized baseline allows for selection between options for equations or parameters, the DOE shall determine whether adequate justification has been provided (based on the choice of the baseline scenario, context of the proposed PoA and CPA and other evidence provided) and that the correct equations and parameters have been used, in accordance with the methodology selected¹⁹ including applicable tool(s) and, where applicable, the selected standardized baseline.
142. The DOE shall verify the justification given in the PoA-DD and the CPA-DD for the choice of data and parameters used in the equations:
- (a) **Data and parameters fixed ex ante:** If data and parameters will not be monitored throughout the crediting period of the proposed CPA but have already been determined and will remain fixed throughout the crediting period, the DOE shall determine whether all data sources and assumptions are appropriate and calculations are correct as applicable to the proposed PoA and CPA, and will result in an accurate or otherwise conservative estimate of the emission reductions. If the selected methodology requires that any of these data and parameters be determined in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”, the DOE shall determine whether the sampling efforts were undertaken in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”;
 - (a) **Data and parameters to be monitored:** If data and parameters will be monitored or estimated on implementation and hence become available only after validation of the proposed PoA and CPA, the DOE shall determine whether the estimates provided in the PoA-DD and the CPA-DD for these data and parameters are reasonable. If the selected methodology requires that any of these estimates be determined in accordance with the “Standard for sampling

¹⁹ For proposed CPAs that have both A/R and non-A/R components, in order to avoid double counting of emission sources, the emissions associated with A/R activity shall be accounted for and clearly documented by the proposed A/R CPA (see EB 25 report, paragraphs 38 and 48).

and surveys for CDM project activities and programme of activities”, the DOE shall determine whether the sampling efforts were undertaken in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”.

143. The DOE shall determine whether the global warming potentials (GWPs) were correctly applied in the PoA-DD and the CPA-DD in accordance with relevant requirements in the “CDM project standard for programmes of activities”.

Reporting requirement

144. The DOE shall describe the steps taken to assess the requirements and provide an opinion as to whether:
- (a) All assumptions and data used by the coordinating/managing entity are listed in the PoA-DD and the CPA-DD, including their references and sources;
 - (b) All documentation used by the coordinating/managing entity as the basis for assumptions and source of data is correctly quoted and interpreted in the PoA-DD and the CPA-DD;
 - (c) All values used in the PoA-DD and the CPA-DD including GWPs are considered reasonable in the context of the proposed PoA and CPA;
 - (d) The methodology, any corresponding tool(s) and, where applicable, the standardized baseline have been applied correctly to calculate project emissions, baseline emissions, leakage and emission reductions;
 - (e) All estimates of the baseline emissions can be replicated using the data and parameter values provided in the PoA-DD and the CPA-DD;
 - (f) The sampling efforts were undertaken in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”, where the selected methodology requires that the data and parameters be determined in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”.
145. The DOE shall describe how it has verified the data and parameters used in the equations, including references to any other data sources used.

7.11.9. Monitoring plan

7.11.9.1. General

146. If the coordinating/managing entity has included a monitoring plan in the PoA-DD and the CPA-DD for validation for registration of the proposed PoA and CPA, the DOE shall apply the requirements in section 7.11.9.2 below.
147. If the coordinating/managing entity has chosen to delay the submission of the monitoring plan for the proposed PoA and CPA, the DOE shall apply the requirements in section 7.11.9.3 below.

7.11.9.2. Validation of monitoring plan***Validation requirement***

148. The DOE shall determine whether the description of the monitoring plan included in the PoA-DD and the CPA-DD complies with the approved methodology including applicable tool(s) and, where applicable, the approved standardized baseline and, where applicable, the “Standard for sampling and surveys for CDM project activities and programme of activities”.

Means of validation

149. The DOE shall apply a three-step process to meet the above requirement:
- (a) To assess compliance of the monitoring plan with the approved methodology including applicable tool(s) and, where applicable, the approved standardized baseline, the DOE shall:
 - (i) Identify the list of parameters required by the selected methodology including applicable tool(s) and, where applicable, the selected standardized baseline by means of document review;
 - (ii) Confirm that the description of the monitoring plan contains all necessary parameters, that they are described and that the means of monitoring described in the plan complies with the requirements of the methodology including applicable tool(s) and, where applicable, the standardized baseline;
 - (b) To assess the feasibility of the plan the DOE shall, by means of review of the documented procedures, interviews with relevant personnel, project plans and any on-site inspection of the proposed CPA, assess whether:
 - (i) The monitoring arrangements described in the monitoring plan are feasible within the project design;
 - (ii) The means of implementation of the monitoring plan, including the data management and quality assurance and quality control procedures, are sufficient to ensure that the emission reductions achieved by/resulting from the proposed PoA and CPA can be reported ex post and verified;
 - (c) To determine whether the proposed sampling plan provides parameter value estimates in an unbiased and reliable manner, where the coordinating/managing entity applied a sampling approach to determine data and parameters, the DOE shall assess the proposed sampling plan in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”.

Reporting requirement

150. The DOE shall:
- (a) State its opinion on the compliance of the described monitoring plan with the requirements of the methodology including applicable tool(s), the standardized baseline and, where applicable, the “Standard for sampling and surveys for CDM project activities and programme of activities”;

- (b) Describe the steps undertaken to assess whether the monitoring arrangements described in the monitoring plan are feasible within the project design;
- (c) State its opinion on the coordinating/managing entity's ability to implement the described monitoring plan.

7.11.9.3. Delayed validation of monitoring plan

Validation requirement

151. The DOE shall confirm whether the coordinating/managing entity has chosen to delay the submission of the monitoring plan for the proposed PoA and CPA.

Means of validation

152. The DOE shall determine whether the relevant sections for the monitoring plan in the PoA-DD and the CPA-DD do not contain the information related to the monitoring plan and clearly state that the delayed submission of the monitoring plan has been chosen by the coordinating/managing entity.

Reporting requirement

153. The DOE shall document the decision taken by the coordinating/managing entity to delay the submission of the monitoring plan.

7.12. Duration and crediting period

Validation requirement

154. The DOE shall determine whether the coordinating/managing entity defined the following on the duration and crediting period of the proposed CPA in accordance with relevant requirements in the "CDM project standard for programmes of activities":
- (a) Start date of the proposed CPA;
 - (b) Expected operational lifetime;
 - (c) Type and duration of the crediting period;
 - (d) Start date of the crediting period.

154_{bis} The DOE shall determine whether the start date and duration of a proposed PoA complies with the relevant provisions related to specific design requirements on duration of PoAs and CPAs in the “CDM project standard for programmes of activities”.

154_{ter} The DOE shall confirm that the start date of any proposed CPA is on or after the start date of the proposed PoA. Exceptions apply to proposed A/R CPAs, i.e. the exceptions indicated for proposed A/R CDM project activities in relevant requirements in the “CDM project standard for programmes of activities” also apply to proposed A/R CPAs. Any A/R project activity that started after 1 January 2000 but has not been registered as a CDM project activity may be included as a CPA in an A/R PoA after 31 December 2005 as long as the first verification of the A/R CPA occurs after the date of inclusion of this CPA, and the A/R CPA can accrue temporary certified emission reductions (tCERs) or long-term certified emission reductions (ICERs) as of the starting date.

Means of validation

155. The DOE shall assess the information contained in the CPA-DD by means of a document review, use of official sources and its local and sectoral expertise, interviews with relevant personnel and/or on-site inspection(s).

Reporting requirement

156. The DOE shall describe the steps taken to assess, and state its opinion on, the compliance of the information contained in the CPA-DD with the relevant requirements in the “CDM project standard for programmes of activities”.

7.13. Environmental impacts

Validation requirement

157. The DOE shall determine whether the coordinating/managing entity conducted an analysis of the environmental impacts of the proposed PoA and/or CPA, including transboundary impacts, and whether those impacts are considered significant by the coordinating/managing entity or by the host Party.

158. The DOE shall also determine whether the coordinating/managing entity conducted an environmental impact assessment, if considered significant by the coordinating/managing entity or by the host Party, in accordance with the host Party's procedures.

158^{bis} The DOE shall determine whether the analysis of the environmental impacts and, if considered significant by the coordinating/managing entity or the host Party, the environmental impact assessment was(were) carried out for the whole PoA and/or at the CPA level. If the analysis and, if applicable, the assessment was(were) not undertaken for the proposed PoA but conducted at the CPA level, the DOE shall determine whether the analysis of the environmental impacts and, if applicable, the environmental impact assessment was(were) conducted as described in the PoA-DD and CPA-DD.

158^{ter} The following applies to a proposed PoA that includes only small-scale non-A/R CPAs instead of paragraphs 158^{bis}, 199 and 200. **Error! Reference source not found.** The DOE shall determine whether the analysis of the environmental impacts was, if required by the host Party(ies), carried out for the proposed PoA and whether a summary of the analysis and references to the documentation was provided.

Means of validation

159. The DOE shall assess the above requirements by means of a document review and/or using local official sources and expertise.

Reporting requirement

160. The DOE shall indicate whether the coordinating/managing entity has undertaken an analysis of environmental impacts and, if considered significant by the coordinating/managing entity or by the host Party, an environmental impact assessment in accordance with procedures as required by the host Party.

7.14. Local stakeholder consultation

Validation requirement

161. The DOE shall determine whether the coordinating/managing entity has completed a local stakeholder consultation process and that due steps were taken to engage stakeholders and solicit comments for the proposed PoA or CPA.

161^{bis} The DOE shall determine whether the local stakeholder consultation process was carried out for the whole PoA and/or at the CPA level. If comments by local stakeholders were invited with regard to the whole proposed PoA, the DOE shall determine how these comments were invited, whether the summary of the comments received is complete and how due account was taken of all comments received.

161^{ter} If the local stakeholder consultation is conducted at the CPA level, the DOE shall determine whether it is in accordance with the level of consultation specified by the coordinating/managing entity and whether the local stakeholder comments were taken into account and described in the PoA-DD and the CPA-DD.

Means of validation

162. The DOE shall, by means of document review and interviews with local stakeholders and/or the DNA as appropriate, determine whether:

(a)^{-bis} The scope of local stakeholder consultation comprises, as a minimum, the potential direct positive and negative impacts that the PoA or the CPA may have;

- (a) Comments have been invited from, as a minimum, representatives of local stakeholders directly impacted by the PoA or the CPA and representatives of local authorities relevant to the PoA or the CPA;
- (a)_{bis} The evidence that invitations were sent to the relevant stakeholders and that their comments were invited has been provided, and, if any of the relevant stakeholders were not invited, appropriate justification has been provided;
- (a)_{ter} The steps/actions taken to invite comments, taking into account local and national circumstances, are described;
- (a)_{quarter} The information to stakeholders about the local stakeholder consultation and the PoA or the CPA, was conveyed, including, if available, the information disseminated in ways that are appropriate for the community that is directly affected by the PoA or the CPA, and, in areas where a significant part of the population is illiterate, the information was provided orally;
- (a)_{quinquies} The information made available to stakeholders included, inter alia:
 - (i) A summary of the PoA or the CPA, explaining the PoA or the CPA in simple, non-technical terms, and containing a description of the direct positive and negative impacts;
 - (ii) Information on the projected scope, lifetime, and direct positive and negative impacts of the PoA or the CPA;
 - (iii) Other relevant information about the PoA or the CPA, taking into account confidentiality provisions of the applicable CDM M&Ps;
 - (iv) The means to provide comments about the PoA or the CPA;
- (a)_{sexies} The local stakeholder consultation was conducted through means that are appropriate for the local and national circumstances;
- (a)_{septies} Local stakeholders were provided with the opportunity to comment in writing or via other means and their comments about the PoA or the CPA and its direct impacts were gathered;
- (a)_{octies} The coordinating/managing entity requested the DNA(s) of the host Party(ies) to forward comments from local stakeholders, if any, to them;
- (b) The summary of the comments received, as provided in the PoA-DD or the CPA-DD, is complete;
- (c) The coordinating/managing entity has considered all comments received, reported on how they have taken them into account, and provided justification if any comments were not incorporated, in the PoA-DD or the CPA-DD, or the revised PoA-DD or CPA-DD;
- (d) Where host country rules on local stakeholder consultation are applicable, a summary of the consultations carried out under the host country rules, instead of subparagraphs (a)–(c) above, is provided in the PoA-DD or the CPA-DD, including the direct positive and negative impacts identified and how the negative impacts identified will be addressed;
- (e) The consultation was completed before:

- (i) The start date of the proposed PoA or CPA as defined in the “Glossary: CDM terms”, noting that this condition is not mandatory for the cases where the start date is before 27 November 2015;
- (ii) The submission of the PoA-DD or the CPA-DD to the DOE for validation.

163. If the DOE used interviews with local stakeholders and/or the DNA as a means of validation as referred to in paragraph 162 above, and if the local stakeholders and/or the DNA provided no response to the DOE’s request for an interview within 14 days of the request being made, the DOE may proceed with the information available.
164. The DOE, when validating the letter of approval for the proposed PoA from the host Party, shall request the DNA to forward any complaints received by the DNA from local stakeholders after the completion of the local stakeholder consultation in accordance with the “CDM project cycle procedure for programmes of activities”. If the DOE receives such complaints forwarded from the DNA, it shall promptly forward them to the coordinating/managing entity and thereafter determine whether the coordinating/managing entity have duly taken them into account. The DOE may proceed with the validation with the complaints received within 14 days of the request for forwarding, if any.
165. The DOE shall determine whether changes to the PoA-DD or the CPA-DD are made after the invitation of comments from local stakeholders. If the DOE identifies such changes, the DOE shall assess whether:
- (a) The comments received through the local stakeholder consultation are still valid;
 - (a) The scope of the local stakeholders engaged is still valid.

Reporting requirement

166. The DOE shall:
- (a) Describe the steps taken to assess the adequacy of the local stakeholder consultation;
 - (b) Provide an opinion on the adequacy of the local stakeholder consultation;
 - (c) Provide an opinion on whether the complaints referred to in paragraph 164 above, if any, have been duly taken into account;
 - (d) Provide an opinion on the validity of the comments received through the local stakeholder consultation and the scope of the local stakeholders engaged in cases referred to in paragraph 165 above.

7.15. Validation status and outcomes, opinion and report

7.15.1. Validation status and outcomes

167. The DOE shall provide an update of the status of its validation activity in accordance with the “CDM project cycle procedure for programmes of activities”.

7.15.2. Validation opinion

168. The DOE shall include a statement of the likelihood of the proposed PoA and CPA achieving the anticipated emission reductions stated in the PoA-DD and the CPA-DD.

169. The DOE shall inform the coordinating/managing entity of the validation outcome. Notification to the coordinating/managing entity shall include:
- (a) A confirmation of validation and date of submission of the validation report to the Board; or
 - (b) An explanation of reasons for non-acceptance if the proposed PoA or CPA, as documented, is determined not to fulfil the requirements for validation.
170. The DOE shall provide either:
- (a) A positive validation opinion in its validation report that is submitted as a request for registration if the DOE determines that the proposed PoA or CPA complies with the applicable CDM rules and requirements; or
 - (b) A negative validation opinion in its validation report explaining the reason for its opinion if the DOE determines that the proposed PoA or CPA does not fulfil the applicable CDM rules and requirements.²⁰
171. The DOE shall include the following in its opinion:
- (a) A summary of the validation methodology and process used and the validation criteria applied;
 - (b) A description of project components or issues not covered by the validation process;
 - (c) A summary of the validation conclusions;
 - (d) A statement on the validation of the expected emission reductions;
 - (e) A statement as to whether the proposed PoA or CPA meets the stated criteria.

7.15.3. Validation report

172. **[DELETED]**
173. **The DOE contracted to conduct validation for registration of the proposed PoA shall prepare a validation report for registration of the PoA and a validation report(s) for inclusion of the CPAs using the valid version of the validation report form for registration of PoAs and the validation report form for inclusion of CPAs.**
174. When completing the validation report form for registration of PoAs or the validation report form for inclusion of CPAs, the DOE shall follow the instructions therein.
175. The DOE shall report the results of its assessment in the validation report.
176. In its validation report, the DOE shall provide the following:
- (a) A summary of the validation process and its conclusions;

²⁰ This does not cover the case in which the coordinating/managing entity failed to inform the secretariat, or informed it but not within the required time frame, of the progress of the proposed PoA every subsequent two years after the initial notification of prior consideration of the CDM in accordance with the "CDM project cycle procedure for programmes of activities".

- (b) Results of the dialogue between the DOE and the coordinating/managing entity, as well as any adjustments made to the programme design following stakeholder consultation. It shall reflect the responses to CARs and CLs, identification of FARs, and discussions on and revisions to project or programme documentation;
 - (c) All its applied approaches, findings and conclusions as to requirements set out in sections 7.4 to 7.14 above;
 - (d) A validation opinion;
 - (e) A list of on-site inspections, interviewees, documents reviewed and sampling approaches used by the DOE. Where the DOE applied a sampling approach to the on-site inspection, the DOE shall include a description of how the sample size was determined and field check was carried out;
 - (f) Details of the validation team, technical experts, internal technical reviewers involved, together with their roles in the validation activity and details of who conducted the on-site inspection;
 - (g) Information on quality control within the team and in the validation process;
 - (h) Appointment certificates or curricula vitae of the DOE's validation team members, technical experts and internal technical reviewers for the proposed PoA or CPA.
177. The DOE shall submit the validation report, along with the supporting documents, to the Board as part of the request for registration of a PoA in accordance with the "CDM project cycle procedure for programmes of activities".
178. If the DNA has forwarded complaints from local stakeholders to the DOE during the validation in accordance with paragraph 164 above, the DOE shall, once the request for registration is published on the UNFCCC CDM website, inform the DNA and the complainants of the publication of the validation report.
179. The DOE shall request the secretariat to withdraw the request for registration of the proposed PoA in accordance with the "CDM project cycle procedure for programmes of activities", if the coordinating/managing entity requested the DOE to withdraw the request for registration or if the DOE has revised its validation report based on new insights or information.

8. Specific validation requirements on component project activities

180. The Board has provided guidance and procedures for registering a PoA as a single project activity. In validating a proposed PoA and any CPAs proposed to be included in the PoA, the DOE shall, based on the type of PoA and CPAs being validated, apply the requirements in section 8.1, 8.2 or 8.3 below, as appropriate.^{21 22}

²¹ [DELETED]

²² [DELETED]

8.1. Small-scale component project activities**8.1.1. Component project activity type and eligibility*****Validation requirement***

181. The DOE shall determine whether the proposed CPA meets the small-scale eligibility requirements.²³

Means of validation

182. For a proposed CPA that is within the small-scale activity threshold but applies a large-scale approved methodology, the DOE shall determine whether this CPA follows the modalities and procedures for large-scale activities.
183. The DOE shall determine whether:
- (a) The proposed CPA qualifies within the thresholds of the three possible types of small-scale activities. It may include more than one component; for example, a type III methane recovery component activity and a type I electricity component activity;²⁴
 - (b) The proposed CPA conforms to one or more of the approved small-scale methodologies applied in conjunction with the general guidelines to SSC CDM methodologies;²⁵

Reporting requirement

184. The DOE shall state whether the proposed CPA meet the eligibility criteria for small-scale activities.

8.1.2. Bundling of project activity [DELETED]

185. [DELETED]

186. [DELETED]

187. [DELETED]

188. [DELETED]

(a) [DELETED]

(b) [DELETED]

²³ See the simplified modalities and procedures for small-scale CDM project activities presented under decision 4/CMP.1, annex II.

²⁴ See EB 28 report, paragraphs 56 and 57, for guidance on size limits for the components.

²⁵ See EB 54 report, paragraph 37 and the valid version of the “General guidelines to SSC methodologies” for further clarification.

8.1.3. Debundling of component project activity***Validation requirement***

189. The DOE shall determine whether the proposed small-scale CPA is not a debundled component of a large-scale activity in accordance with the “Methodological tool: Assessment of debundling for small-scale project activities”.²⁶

189_{bis} If each of the independent subsystems/measures (e.g. biogas digester, solar home system) included in the proposed CPA is no larger than 1 per cent of the small scale thresholds defined by the methodology applied, i.e. 150 kW installed capacity or 0.6 GWh annual energy savings or 0.6 ktCO₂e annual emission reductions, then that CPA is exempted from the debundling check, i.e. is considered as not being a debundled component of a large scale activity.

Means of validation

190. The DOE shall determine a proposed small-scale CPA to be a debundled component of a large-scale activity if there is already an activity,²⁷ which satisfies both conditions (a) and (b) below:

(a) Has the same activity implementer as the proposed small scale CPA or has a coordinating or managing entity, which also manages a large scale PoA of the same technology/measure;

(b) The boundary is within 1 km of the boundary of the proposed small-scale CPA, at the closest point.

191. [DELETED]

Reporting requirement

192. The DOE shall state its conclusion and specific details on how it assessed whether a proposed small-scale CPA is not a debundled component of a large-scale activity.

8.1.4. Demonstration of additionality***Validation requirement***

193. The DOE shall determine whether the proposed small-scale CPA is additional in accordance with CDM rules and requirements applicable for small-scale activities.
194. Paragraph 108 above applies to a proposed small-scale CDM project activity using an approved standardized baseline that standardizes additionality instead of paragraph 193 above.

²⁶ If the proposed small-scale CPA is deemed to be a debundled component but the total size of such a CPA combined with a registered small-scale CPA or a registered CDM project activity does not exceed the limits for small-scale activities, then the CPA can qualify to use the simplified modalities and procedures for small-scale activities.

²⁷ Which may be a (i) registered small-scale CPA, (ii) an application to register another small-scale CPA or (iii) another registered CDM project activity.

Means of validation

195. The DOE shall refer to the “Methodological tool: Demonstration of additionality of small-scale project activities” and the “Non-binding best practice examples to demonstrate additionality for SSC project activities” or any applicable additionality tool.
196. In the case of Type I activities up to 5 MW (or an appropriate equivalent) that employ renewable energy as their primary technology, Type II energy efficiency activities that aim to achieve energy savings at a scale of no more than 20 GWh per year (or an appropriate equivalent), and Type III activities that aim to achieve GHG emission reductions at a scale of no more than 20 kt CO₂e per year, the DOE shall assess the relevant criteria to establish the automatic additionality for these activities in accordance with the “Methodological tool: Demonstration of additionality of microscale project activities”.
197. The following applies to a proposed small-scale CPA using an approved standardized baseline that standardizes additionality instead of paragraphs 195 above and 196 above: The DOE shall assess whether the proposed CDM project activity meets the additionality criteria (e.g. positive lists of technologies) in the selected standardized baseline.

Reporting requirement

198. The DOE shall describe all steps taken, and sources of information used to cross-check the information contained in the PoA-DD and/or the CPA-DD.

8.1.5. Environmental impacts***Validation requirement***

199. The following applies to a proposed small-scale CPA instead of paragraphs 157 and 158 above: The DOE shall determine whether the coordinating/managing entity conducted an analysis of the environmental impacts of the proposed small-scale CPA, if required by the host Party.

Reporting requirement

200. The following applies to a proposed small-scale CPA instead of paragraph 160 above: The DOE shall indicate whether the coordinating/managing entity has undertaken an analysis of environmental impacts if required by the host Party.

8.2. Afforestation or reforestation component project activities

201. The DOE shall determine whether specific requirements as defined in the modalities and procedures for A/R project activities have been followed, including:
- (a) Project boundary for proposed A/R CPAs;
 - (b) Selection of carbon pools;
 - (c) Eligibility of land;
 - (d) Approach proposed to address non-permanence for A/R PoAs;
 - (e) Timing of management activities, including harvesting cycles, and verifications;

- (f) Socio-economic and environmental impacts, including impacts on biodiversity and natural ecosystems.

8.2.1. Project boundary

Validation requirement

- 202. Paragraphs 203–206 below apply to a proposed A/R CPA instead of paragraphs 91–96 above.
- 203. The DOE shall confirm whether the CPA-DD contains a description of the project boundary that delineates discrete areas of land planned for the proposed A/R CPA under the control of the CPA implementer.²⁸

Means of validation

- 204. The DOE shall, through document review and/or interviews, determine whether the CPA implementers for all areas of land planned for the proposed A/R CPAs:
 - (a) Have already established control over afforestation or reforestation activities; or
 - (b) Have control over afforestation or reforestation.
- 205. The DOE shall confirm that the control has included at minimum the exclusive right, defined in a way acceptable under the legal system of the host Party, to perform the A/R activity with the aim of achieving net anthropogenic GHG removals by sinks. If the total number of documents to be reviewed and persons/entities to be interviewed is not less than 10, then the DOE may apply a sampling approach.

Reporting requirement

- 206. The DOE shall describe the documentation assessed and/or oral statements made by persons interviewed (if any) and determine their acceptability under the legal system of the host Party. If the DOE has applied a sampling approach, it shall also describe how many sites have been assessed and how these sites were selected.

8.2.2. Selection of carbon pools

Validation requirement

- 207. The DOE shall determine whether the carbon pools to be considered in the proposed A/R CPA were selected in accordance with the requirements of the selected methodology.

Means of validation

- 208. The DOE shall confirm that information has been provided to justify the exclusion of certain carbon pools if the methodology allows for such an option. In doing so, the DOE shall confirm that all documents referred to in the CPA-DD are correctly quoted and interpreted. If relevant, the DOE shall cross-check the information provided in the PDD with other available information from public sources or local experts.

²⁸ The proposed A/R CPA may contain more than one discrete area of land.

Reporting requirement

209. If the methodology allows for the option to exclude certain pools and this option is selected by the coordinating/managing entity, the DOE shall provide a statement as to whether the selection of carbon pools complies with the selected methodology, and whether the exclusion is justified.

8.2.3. Eligibility of land

Validation requirement

210. The DOE shall confirm that the land within the planned project boundary is eligible for a proposed A/R CPA.

Means of validation

211. The DOE shall validate the above requirement based on a review of information that reliably discriminates between forest and non-forest land according to the particular thresholds adopted by the host Party (exemplary sources are listed in the above-mentioned procedures) and an on-site inspection.

Reporting requirement

212. The DOE shall describe how the validation of the eligibility of the land has been performed, by detailing the data sources assessed and by describing its observations during the on-site inspection. The DOE shall provide a statement as to whether the entire land within the project boundary is eligible for a proposed A/R CPA.

8.2.4. Addressing non-permanence

Validation requirement

213. The DOE shall confirm that the coordinating/managing entity specified the approach selected to address non-permanence.

Means of validation

214. The DOE shall review the PoA-DD to ensure an approach to address non-permanence is selected in accordance with the relevant provisions in the modalities and procedures for afforestation and reforestation project activities.

Reporting requirement

215. The DOE shall confirm whether the approach selected by the coordinating/managing entity to address non-permanence has been specified in the PoA-DD.

8.2.5. Timing of management activities, including harvesting cycles, and verifications

Validation requirement

216. The DOE shall determine whether the CPA-DD describes the planned management activities, including harvesting cycles, and verifications such that a systematic coincidence of verification and peaks in carbon stocks would be avoided.

Means of validation

217. The DOE shall review the forest management plan and the monitoring plan for the proposed A/R CPA to confirm that a systematic coincidence of verification and peaks in carbon stocks is avoided.

Reporting requirement

218. The DOE shall describe how the coordinating/managing entity has ensured that a systematic coincidence of verification and peaks in carbon stocks would be avoided.

8.2.6. Establishment and description of baseline scenario

219. The following applies to a proposed A/R CPA instead of paragraphs 97 and 102 above: The DOE shall determine whether the baseline identified for the proposed A/R CPA is the scenario for each stratum of the proposed A/R CPA, including the land use that would occur in the absence of the proposed A/R CPA.
220. The following applies to a proposed A/R PoA instead of paragraph 103 above: The DOE shall determine whether, drawing on its knowledge of the sector and/or advice from local experts, all applicable CDM rules and requirements have been taken into account in the identification of the baseline scenario for the proposed A/R PoA, as well as relevant national and/or sectoral policies and circumstances, such as historical land use practices, without creating perverse incentives that may impact host Parties' contributions to the ultimate objective of the Convention in the following manner: national and/or sectoral land-use policies or regulations, which give comparative advantages to afforestation/reforestation activities and have been implemented since the adoption by the COP of the CDM modalities and procedures,²⁹ need not be taken into account in developing a baseline scenario (i.e. the baseline scenario could refer to a hypothetical situation without the national and/or sectoral policies or regulations being in place).

8.2.7. Emission reductions

221. The following applies to a proposed A/R CPA instead of paragraph 140 above: The DOE shall determine whether the steps taken and the equations and parameters applied in the CPA-DD to calculate baseline net GHG removals by sinks, actual net GHG removals by sinks, leakage, and net anthropogenic GHG removals by sinks comply with the requirements of the selected methodology including applicable tool(s) and, where applicable, the selected standardized baseline.
222. The following applies to a proposed A/R CPA instead of paragraph 144(f) above: The sampling efforts were undertaken in accordance with the selected methodology including applicable tool(s), if the coordinating/managing entity applied the sampling approach to determine data and parameters in accordance with the selected methodology including applicable tool(s).

²⁹ Decision 17/CP.7

8.2.8. Socio-economic and environmental impacts***Validation requirement***

223. Paragraphs 224–228 below apply to a proposed A/R PoA instead of paragraphs 157–160 above.
224. The DOE shall validate the documentation received from the coordinating/managing entity on their analysis of the socio-economic and environmental impacts, including impacts on biodiversity and natural ecosystems, and impacts outside the project boundary of the proposed A/R PoA.

Means of validation

225. The DOE shall confirm the above requirement by means of a document review and/or using local official sources and expertise.
226. If the above-mentioned analysis leads to the conclusion that a negative impact that may be considered significant by the coordinating/managing entity or the host Party has been detected, then the DOE shall determine whether a socio-economic impact assessment and/or an environmental impact assessment has been undertaken in accordance with relevant host Party regulations, and the outcome of such impact assessment is summarized in the PoA-DD.

Reporting requirement

227. The DOE shall state whether the coordinating/managing entity have undertaken an analysis of the socio-economic and environmental impacts and, if considered significant by the coordinating/managing entity or the host Party, a socio-economic impact assessment and/or an environmental impact assessment in accordance with relevant host Party regulations.
228. The DOE shall also note whether the outcome of such impact assessment has been summarized in the PoA-DD and whether a description of the planned monitoring and remedial measures to address the negative impacts has been included in the PoA-DD.

8.3. Small-scale afforestation or reforestation component project activities

229. The DOE shall determine whether the proposed A/R CPA:
- (a) Complies with the definition and limit for the small-scale A/R activities;³⁰
 - (b) Complies with one of the types of small-scale A/R activities defined in appendix B of the annex to decision 6/CMP.1 and qualifies to apply one of the approved simplified methodologies for small-scale afforestation and reforestation activities;
 - (c) Is not a debundled component of a large-scale A/R CDM activity, in accordance with the rules defined in appendix C of the annex to decision 6/CMP.1;
 - (d) Has been developed or implemented by low-income communities and individuals as confirmed by the host Party.³¹

³⁰ See decision 9/CMP.3, which revised decision 5/CMP.1, annex, paragraph 1(i).

³¹ See decision 5/CMP.1, annex paragraph 1(i).

8.4. Carbon dioxide capture and storage project activities [DELETED]

230. [DELETED]

8.4.1. Participation requirements [DELETED]

231. [DELETED]

232. [DELETED]

233. [DELETED]

8.4.2. Selection and characterization of the geological storage site [DELETED]

234. [DELETED]

235. [DELETED]

236. [DELETED]

237. [DELETED]

8.4.3. Risk and safety assessment [DELETED]

238. [DELETED]

239. [DELETED]

240. [DELETED]

241. [DELETED]

8.4.4. Environmental and socioeconomic impact assessment [DELETED]

242. [DELETED]

243. [DELETED]

244. [DELETED]

245. [DELETED]

8.4.5. Liability [DELETED]

246. [DELETED]

247. [DELETED]

248. [DELETED]

8.4.6. Requirements for financial provision [DELETED]

249. [DELETED]

250. [DELETED]

251. [DELETED]

8.4.7. Monitoring [DELETED]

252. [DELETED]

253. [DELETED]

254. [DELETED]

255. [DELETED]

256. [DELETED]

8.4.8. Project boundary [DELETED]

257. [DELETED]

258. [DELETED]

259. [DELETED]

260. [DELETED]

261. [DELETED]

8.4.9. Approval and authorization [DELETED]

262. [DELETED]

263. [DELETED]

264. [DELETED]

8.5. Programme of activities [CONTENT MOVED TO SECTIONS 7.9–7.14, 8.1]

8.5.1. General [DELETED]

265. [DELETED]

8.5.2. Description of programme of activities [CONTENT MOVED TO SECTION 7.10]

266. [MOVED TO PARA. 70_{bis}]

(a) [MOVED TO PARA. 70_{bis}]

(b) [MOVED TO PARA. 70_{bis}]

(c) [MOVED TO PARA. 70_{bis}]

267. [MOVED TO PARA. 70_{ter}]

268. [MOVED TO PARA. 70_{quater}]

269. [MOVED TO PARA. 70_{quinquies}]

270. [DELETED]

271. [MOVED TO PARA. 70_{sexies}]

8.5.3. Description of component project activities [CONTENT MOVED TO SECTION 7.10]

272. [MOVED TO PARA. 70_{septies}]

(a) [MOVED TO PARA. 70_{septies}]

(b) [MOVED TO PARA. 70_{septies}]

(c) [MOVED TO PARA. 70_{septies}]

(d) [MOVED TO PARA. 70_{septies}]

8.5.4. Component project activities design document [CONTENT MOVED TO SECTION 7.9]

273. [MOVED TO PARA. 69_{bis}]

274. [DELETED]

275. [DELETED]

8.5.5. Eligibility criteria [CONTENT MOVED TO SECTION 7.9]

276. [MOVED TO PARA. 69_{ter}]

8.5.6. Application of selected baseline and monitoring methodologies and selected standardized baseline [CONTENT MOVED TO SECTIONS 7.11, 7.12]

8.5.6.1. Application of multiple methodologies [DELETED]

277. [MOVED TO PARA. 80_{bis}]

8.5.6.2. Demonstration of additionality of programme of activities as a whole [DELETED]

278. [MOVED TO PARA. 108]

279. [MOVED TO PARA. 113]

8.5.6.3. Duration of programme of activities [DELETED]

280. [MOVED TO PARA. 154_{bis}]

8.5.6.4. Duration of component project activities [DELETED]

281. [MOVED TO PARA. 154_{ter}]

8.5.7. Environmental impacts [CONTENT MOVED TO SECTION 7.13]

282. [MOVED TO PARA. 158_{bis}]

283. [MOVED TO PARA. 158_{ter}]

8.5.8. Local stakeholder consultation [CONTENT MOVED TO SECTION 7.14]284. [MOVED TO PARA. 161_{bis}]285. [MOVED TO PARA. 161_{ter}]**8.5.9. Debundling of small-scale component project activities [CONTENT MOVED TO SECTION 8.1]³²**

286. [MOVED TO PARA. 189]

9. General validation requirements on post-registration activities**9.1. General**

287. The DOE contracted by the coordinating/managing entity to validate the post-registration changes referred to in sections 9.2–9.7 below and 10.1–10.2.2 below or the inclusion of CPAs referred to in section 10.2.3 below shall be accredited for the validation function and in the sectoral scope(s) relevant to the PoA.

288. The DOE shall apply the requirements in section 7.3 above mutatis mutandis to validate the information provided by the coordinating/managing entity.

289. [DELETED]

290. If the DOE determines that the proposed or actual post-registration changes to the registered PoA comply with the relevant CDM rules and requirements, the DOE shall issue a positive validation opinion and submit a request for approval of changes either prior to or together with the submission of the request for issuance in accordance with relevant requirements in the “CDM project cycle procedure for programmes of activities”.

291. If the DOE determines that the proposed or actual post-registration changes to the registered PoA and/or CPA do not comply with the relevant CDM rules and requirements, the DOE shall issue a negative validation opinion.

292. If the DOE determines that the proposed CPA(s) submitted for the inclusion in the registered PoA complies with the latest version of the registered PoA and the applicable requirements in accordance with section 10.2.3 below, it shall include the CPA(s) in the PoA in accordance with the “CDM project cycle procedure for programmes of activities”.

(a) [DELETED]

(b) [DELETED]

292_{bis} If the DOE determines that the proposed or actual changes to a CPA comply with the relevant CDM rules and requirements, the DOE shall issue a positive validation opinion and upload it on the UNFCCC CDM website together with the revised CPA-DD in accordance with the “CDM project cycle procedure for programmes of activities”.

³² [MOVED TO PARA. 189_{bis}]

293. For the validation of the post-registration changes or the CPA inclusion, the DOE shall prepare a validation report using the valid version of the applicable validation report form.
294. When completing the validation report the DOE shall follow the instructions therein.
295. **The DOE shall determine whether:**
- (a) The revised PoA-DD (with its revised generic CPA-DD part) or revised CPA-DD reflecting the post-registration changes were prepared in both track-change and clean versions, and were completed using the valid version of the applicable PoA-DD or CPA-DD form; or
 - (b) The CPA-DD for the inclusion of the CPA in a registered PoA was completed using the valid version of the applicable CPA-DD form.
296. If the coordinating/managing entity used a later valid version of the PoA-DD or the CPA-DD form for preparing the revised PoA-DD or revised CPA-DD than the version used for the registered PoA-DD or included CPA-DD, the DOE shall determine whether the information transferred to the later valid version of the form is materially the same as that in the registered PoA-DD or included CPA-DD.
297. In its validation report for the post-registration changes or validation report(s) for the inclusion of CPAs, the DOE shall:
- (a) Provide all its applied approaches, findings and conclusion on:
 - (i) The compliance of the revised PoA-DD or the revised CPA-DD (for post-registration changes), or the CPA-DD (for inclusion of CPAs) with the valid version of the applicable form(s) and instructions therein, as applicable;
 - (i) Whether the information transferred to the later valid version of the PoA-DD or the CPA-DD form is materially the same as that in the registered PoA-DD or included CPA-DD, as applicable;
 - (ii) The requirements relevant to the proposed or actual post-registration changes in sections 9.2–9.8 below and 10.1 below or to the proposed inclusion of a CPA(s) in section 9.9 below, as applicable;
 - (b) Report on all items listed in paragraph 176 above except paragraph 176(c) above.

9.2. Temporary deviations from the registered monitoring plan, methodology or standardized baseline

Validation requirement

298. The DOE shall determine whether there are deviations from the monitoring plan in the registered PoA-DD or CPA-DD, or the monitoring plan in an approved revised PoA-DD or CPA-DD (hereinafter referred to as the registered monitoring plan), the applied methodology and/or the applied standardized baseline, and, if there are, determine whether the deviations comply with the relevant requirements in the “CDM project standard for programmes of activities”.

Means of validation

299. If the DOE identifies that the coordinating/managing entity have deviated from the registered monitoring plan, the applied methodology, and/or the applied standardized baseline, the DOE shall, at the direction of the coordinating/managing entity, seek approval from the Board with respect to the acceptability of the deviations in accordance with the “CDM project cycle procedure for programmes of activities”.
300. The DOE shall determine whether the deviation is likely to lead to a reduction in the accuracy of the calculation of emission reductions. In cases where the DOE considers that the deviation will lead to a reduction in the accuracy of the calculation of emission reductions, the DOE shall request the coordinating/managing entity to apply conservative assumptions or discount factors to the calculations to the extent required to ensure that emission reductions will not be overestimated as a result of the deviation.
301. For cases where a deviation from the registered monitoring plan may be applicable to the monitoring period under verification, and part of the subsequent monitoring period, the DOE shall determine the exact period to which the deviation applies.

Reporting requirement

302. The DOE shall state its opinion on whether the deviation complies with the relevant requirements related to the temporary deviation from the registered monitoring plan, methodology or standardized baseline in the “CDM project standard for programmes of activities”.

9.3. Corrections***Validation requirement***

303. The DOE shall determine that any corrections to programme information or parameters fixed at validation, as described in the registered PoA-DD or CPA-DD, made by the coordinating/managing entity in a revised PoA-DD or CPA-DD comply with the relevant requirements in the “CDM project standard for programmes of activities”.

Means of validation

304. If the DOE identifies that the coordinating/managing entity have made corrections to programme information or parameters fixed at validation, the DOE shall determine whether:
- (a) The corrected information is an accurate reflection of actual programme information; and/or
 - (a) The corrected parameters are in accordance with the applied methodology, the registered monitoring plan and/or the applied standardized baseline.

Reporting requirement

305. The DOE shall state how the corrected information accurately reflects the actual programme information and/or how the corrected parameters reflect the application of the applied methodology, the registered monitoring plan and/or the applied standardized baseline.

9.4. Changes to the start date of the crediting period of component project activities

Validation requirement

306. If the coordinating/managing entity wishes to change the start date of the crediting period of an included CPA, the DOE shall determine whether the proposed change complies with the relevant requirements in the “CDM project standard for programmes of activities”.

Reporting requirement

307. The DOE shall state its opinion on whether the change complies with the relevant requirements related to the changes to the start date of the crediting period in the “CDM project standard for programmes of activities”.

9.5. Inclusion of a monitoring plan to a registered programme of activities

Validation requirement

308. The DOE shall determine whether there is a monitoring plan that has been proposed to be included to the registered PoA-DD or CPA-DD for which the delayed submission of the monitoring plan was chosen by the coordinating/managing entity at the time of the registration of the PoA or inclusion of CPAs, and, if there is, determine whether the monitoring plan complies with the relevant requirements in the “CDM project standard for programmes of activities”.

Means of validation

309. The DOE shall confirm that the registered PoA-DD or CPA-DD does not contain the information related to the monitoring plan and states the decision of the coordinating/managing entity to delay the submission of the monitoring plan.
310. The DOE shall follow the relevant requirements related to validation of the monitoring plan in section 7.11.9.2 above to validate the monitoring plan in the revised PoA-DD or CPA-DD.

Reporting requirement

311. The DOE shall follow the relevant requirements related to validation of the monitoring plan in section 7.11.9.2 above to report on the validation of the monitoring plan in the revised PoA-DD or CPA-DD.

9.6. Permanent changes from the registered monitoring plan, methodology or standardized baseline

Validation requirement

312. The DOE shall determine whether there are permanent changes from the registered monitoring plan, the applied methodology and/or the standardized baseline, and, if there are, determine whether the permanent changes comply with the relevant requirements in the “CDM project standard for programmes of activities”.

Means of validation

313. The DOE shall determine whether the changes to the registered monitoring plan described in the revised PoA-DD or CPA-DD are in compliance with the applied methodology and, where applicable, the applied standardized baseline and do not reduce the level of accuracy of the monitoring compared with the requirements contained in the registered monitoring plan.
314. In cases where the proposed changes refer to a later valid version of the applied methodology and/or the applied standardized baseline in the registered PoA-DD or CPA-DD, the DOE shall determine whether the application of all the requirements in any later valid version of the applied methodology and/or the applied standardized baseline does not impact the conservativeness of the monitoring and verification process, including the related emission reduction calculations.
315. The DOE shall determine whether the permanent changes are likely to lead to a reduction in the accuracy of the calculation of emission reductions. In cases where the DOE considers that the permanent changes will lead to a reduction in the accuracy of the calculation of emission reductions, the DOE shall request the coordinating/managing entity to apply conservative assumptions or discount factors to the calculations to the extent required to ensure that emission reductions will not be overestimated as a result of the permanent change.

Reporting requirement

316. The DOE shall state its opinion on whether the permanent changes comply with the relevant requirements related to the permanent changes from the registered monitoring plan, the applied methodology and/or the applied standardized baseline in the “CDM project standard for programmes of activities”.

9.7. Changes to the design of a registered programme of activities***Validation requirement***

317. The DOE shall determine whether there are proposed or actual changes to the project design of an included CPA, or to the programme design of a registered PoA, and, if there are, determine whether the changes comply with the relevant requirements in the “CDM project standard for programmes of activities”.

317^{bis}. The DOE shall determine whether the programme design of the registered PoA has been amended post-registration for one or more of the following purposes:

- (a) To expand the geographic coverage or to include additional host Parties;
- (b) To revise the eligibility criteria for the inclusion of CPAs;
- (c) To remove methodologies and/or standardized baselines from the registered PoA;
- (d) To change or add technologies/measures;
- (e) To voluntarily update of the applied methodology to either a later valid version of the same methodology or a different methodology.

317^{ter}. Paragraphs 318 and 319 below do not apply to paragraphs 317^{quater}-317^{sexies} below.

317_{quater}· If the registered PoA has been amended to expand the geographic coverage or to include additional host Parties, then the DOE shall assess and confirm that:

- (a) The registered PoA-DD has been revised to reflect the changes, in particular the eligibility criteria for inclusion of CPAs;
- (b) The baseline established in the PoA-DD is applicable to the expanded PoA boundary;
- (c) In the case of inclusion of additional host Parties, each DNA of the new host Parties issued a letter of approval in accordance with relevant requirements in sections 7.5–7.7 above where the amended PoA boundary includes additional host Parties;

317_{quinquies}· If the registered PoA has been amended to revise the eligibility criteria for the inclusion of CPAs, then the DOE shall assess and confirm that:

- (a) The revision of the eligibility criteria complies with provisions and conditions set out in the “CDM project standard for programmes of activities” and the “Standard for demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities”;
- (b) The revised eligibility criteria meet the requirements of the methodologies and, where applicable, the standardized baselines that are applied in the PoA;
- (c) The registered PoA-DD is revised appropriately to reflect the revised eligibility criteria for inclusion of CPAs.

317_{sexies}· If the registered PoA has been amended to remove approved methodologies and/or standardized baselines, then the DOE shall assess and confirm that:

- (a) The change only involves the removal and no addition of methodologies and/or standardized baselines;
- (b) The removal of the methodologies and/or standardized baselines does not affect the physical design of and the end-use service provided by the CPAs that apply the approved methodologies and, where applicable, standardized baselines that remain (i.e. the methodologies and, where applicable, standardized baselines that were not removed).

317_{septies}· The DOE shall determine whether the registered PoA has been amended post-registration to change the programme design due to the change or addition of technologies/measures with or without modification or addition of applied methodologies in the registered PoA-DD. Where the programme design has been changed, the DOE shall assess and confirm that the changes:

- (a) Allow a shift to more efficient, less GHG-intensive or at least equivalent technologies/measures; or
- (b) 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).

317^{octies}. The DOE shall determine whether the changes do not cover the addition of technologies/measures and methodologies that are not related to the technologies and methodologies included in the originally registered PoA.

Means of validation

318. In case of actual changes, the DOE shall, by means of an on-site inspection, **as appropriate**, and review of the submitted revised PoA-DD or CPA-DD by the coordinating/managing entity, which describes the nature and extent of the actual changes, determine whether this description accurately reflects the implementation, operation and monitoring of the modified PoA or CPA.

319. The DOE shall conduct an on-site inspection, **as appropriate**, to assess the impacts of the actual changes on the compliance of the monitoring plan, the level of accuracy of the monitoring activity, the applied methodology including applicable tool(s) and/or, where applicable, the applied standardized baseline.

320. The DOE shall, by means of reviewing the revised PoA-DD or CPA-DD against applicable additionality and methodological requirements, determine whether the proposed or actual changes would adversely affect the conclusions of the validation report of the registered PoA-DD or CPA-DD with regard to:

- (a) Additionality of the PoA;
- (b) Scale of the CPA;
- (c) Applicability and application of the approved methodology and, where applicable, the approved standardized baseline under which the PoA or CPAs have been registered or included;
- (d) The compliance of the monitoring plan with the applied methodology and, where applicable, the applied standardized baseline;
- (e) The eligibility criteria of the PoA.

321. **[DELETED]**

- (a) **[DELETED]**
- (b) **[DELETED]**

322. **[DELETED]**

322^{bis}. The DOE shall assess whether the revised PoA-DD or CPA-DD complies with all the requirements in the applied methodology, tool and standardized baseline.

323. If the applied methodology and/or standardized baseline has been updated to a later valid version of the same methodology or standardized baseline, or changed to another methodology or standardized baseline, the DOE shall confirm that the PoA or CPA meets all requirements in the updated/changed methodology including applied tools and/or the updated/changed standardized baseline.

- (a) **[DELETED]**
- (b) **[DELETED]**
- (c) **[DELETED]**

(i) [DELETED]

(ii) [DELETED]

324. [MOVED TO PARA. 322_{bis} AND 323]

(a) [MOVED TO PARA. 322_{bis} AND 323]

(b) [MOVED TO PARA. 322_{bis} AND 323]

(c) [MOVED TO PARA. 322_{bis} AND 323]

Reporting requirement

325. The DOE shall state its opinion on whether the proposed or actual changes comply with the relevant requirements in the “CDM project standard for programmes of activities” related to changes to the project design of an included CPA or to the programme design of a registered PoA.

326. The DOE shall provide its opinion containing:

(a) A description of the proposed or actual changes as compared to the description in the registered PoA-DD or 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 PoA or to inclusion of the CPA, and how the changes would impact on the overall operation/ability of the PoA or CPA to deliver emission reductions as stated in the PoA-DD or the CPA-DD;

(c) An assessment regarding whether the changes would adversely affect the conclusions of the validation report of the registered PoA-DD or CPA-DD with regard to:

(i) Additionality of the registered PoA;

(ii) Scale of the CPA;

(iii) Applicability and application of approved methodology and, where applicable, the approved standardized baseline with which the PoA or CPA has been registered or included, or of the later valid version of the applied methodology and/or the applied standardized baseline, or the another methodology and/or standardized baseline that the PoA or CPA has updated/switched to;

(iv) The compliance of the monitoring plan with the applied methodology and, where applicable, the applied standardized baseline;

(v) [DELETED]

327. In validating the revised PoA-DD or CPA-DD containing the proposed or actual changes, and in preparing the opinion, the DOE shall include information on how:

- (a) The proposed revisions ensure that the level of accuracy and completeness³³ in the monitoring and verification process is not reduced as a result of the revision. The DOE shall, using objective evidence, assess the accuracy and completeness of each proposed revision to the registered monitoring plan, including the frequency of measurements, the quality of monitoring equipment (e.g. calibration requirements, the quality assurance and quality control procedures);
- (b) The proposed revisions comply with the applied methodology and, where applicable, the applied standardized baseline. If the proposed revision applies a later valid version of the applied methodology and/or the applied standardized baseline, the DOE shall confirm that this application does not compromise the conservativeness in the monitoring and verification process and of the emission reduction calculations;
- (c) The findings of previous verification and certification reports, if any, have been taken into account.

9.8. Changes to design of generic component project activities or specific-case component project activities

9.8.1. Modification to or addition of technologies/measures

327^{bis}. The DOE shall determine whether the registered generic CPA and the included specific-case CPA have been amended post-registration to change the project design due to modifications to or addition of technologies/measures. Where the design has been changed, the DOE shall assess and confirm that:

- (a) The applicability conditions of the applied methodologies including applied tools and, where applicable, the applied standardized baselines cover the modified or added technologies/measures (i.e. the modified or added technologies/measures are applicable under the applied methodologies including applied tools and, where applicable, the applied 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; or
 - (ii) Subsequently included in the revised PoA-DD following the submission by the coordinating/managing entity and approval by the Board of a request for approval of changes in accordance with the “CDM project cycle procedure for programmes of activities”;
- (c) The modification or addition complies with all the applicable requirements, including those set out in the “CDM project standard for programmes of

³³ Completeness refers to inclusion of all relevant information for assessment of GHG emissions reductions and the information supporting the methods applied as required. For example, if the DOE identifies an on-site generator for emergency use which was not included in the registered monitoring plan during the verification process, the monitoring of fuel consumption of this generator should be included in the monitoring plan via this procedure.

activities”, the “Standard for demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities”, the applied methodologies and, where applicable, the applied standardized baselines.

9.9. Inclusion of component project activities in a programme of activities

327^{ter} The DOE shall assess whether the proposed CPA complies with the latest version of the registered PoA (with its generic CPA-DD part), including the eligibility criteria for inclusion of CPAs in the PoA, and the applicable requirements, and include the CPA in the PoA in accordance with the “CDM project cycle procedure for programmes of activities”.

327^{quater} If the coordinating/managing entity has chosen to delay the submission of the monitoring plan for proposed CPA(s), the DOE shall apply, mutatis mutandis, the relevant requirements in section 7.11.9.3 above to validate the information related to the monitoring plan in the CPA-DD(s) when assessing the compliance in paragraph 327^{ter} above.

9.10. Changes to modalities of communication

327^{quinquies} Section 9.1 above does not apply to the changes to modalities of communication except paragraph 288 above.

327^{sexies} If, subsequent to the registration of the PoA, the coordinating/managing entity has changed, then the DOE undertaking the next inclusion of a proposed CPA, the DOE that submits the next request for issuance, or the DOE that submits the next post-registration change request, whichever is earlier, shall submit a validation opinion to the UNFCCC secretariat in accordance with the “CDM project cycle procedure for programmes of activities” regarding the compliance of the new coordinating/managing entity with the requirements in the “CDM project standard for programmes of activities”.

327^{septies} Notwithstanding the case referred to in paragraph 327^{sexies} above, the DOE contracted by the incoming coordinating/managing entity shall submit the validation opinion to the UNFCCC secretariat in accordance with the “CDM project cycle procedure for programmes of activities” if the coordinating/managing entity wishes to submit the validation opinion before the next inclusion of a proposed CPA, the next request for issuance or the next post-registration change request.

10. Specific validation requirements on post-registration activities

10.1. Afforestation and reforestation component project activities

10.1.1. Types of changes specific to afforestation or reforestation component project activities

Validation requirement

328. The DOE shall determine whether there are types of changes specific to registered afforestation or reforestation CPAs, and, if there are, determine whether the changes

comply with the relevant requirements in the “CDM project standard for programmes of activities”.

Means of validation

329. In case of actual changes, the DOE shall, by means of an on-site inspection(s), interviews with relevant personnel and/or desk review of the revised CPA-DD submitted by the coordinating/managing entity, which describes the nature and extent of the actual changes, determine whether this description accurately reflects the implementation, operation or monitoring of the modified included CPA.

Reporting requirement

330. In case of actual changes, the DOE shall determine whether the changes in the revised CPA-DD are a complete and accurate reflection of the actual CPA information.
331. **[DELETED]**

10.2. Programme of activities [CONTENT MOVED TO SECTIONS 9.7–9.10]

10.2.1. Changes to programme design of programme of activities [CONTENT MOVED TO SECTION 9.7]

10.2.1.1. General [CONTENT MOVED TO SECTION 9.7]

332. **[MOVED TO PARA. 317_{bis}]**
- (a) **[MOVED TO PARA. 317_{bis}]**
 - (b) **[MOVED TO PARA. 317_{bis}]**
 - (c) **[MOVED TO PARA. 317_{bis}]**
 - (d) **[MOVED TO PARA. 317_{bis}]**
333. **[MOVED TO PARA. 317_{ter}]**

10.2.1.2. Expansion of geographic coverage or inclusion of additional host Parties [CONTENT MOVED TO SECTION 9.7]

334. **[MOVED TO PARA. 317_{quater}]**
- (a) **[MOVED TO PARA. 317_{quater}]**
 - (b) **[MOVED TO PARA. 317_{quater}]**
 - (c) **[MOVED TO PARA. 317_{quater}]**
 - (i) **[MOVED TO PARA. 317_{quater}]**
 - (ii) **[MOVED TO PARA. 317_{quater}]**

10.2.1.3. Revisions to eligibility criteria for inclusion of component project activities [CONTENT MOVED TO SECTION 9.7]

335. **[MOVED TO PARA. 317_{quinquies}]**

- (a) [MOVED TO PARA. 317_{quinquies}]
- (b) [MOVED TO PARA. 317_{quinquies}]
- (c) [MOVED TO PARA. 317_{quinquies}]

10.2.1.4. Removal of methodologies and/or standardized baselines [CONTENT MOVED TO SECTION 9.7]

- 336. [MOVED TO PARA. 317_{sexies}]
- (a) [MOVED TO PARA. 317_{sexies}]
- (b) [MOVED TO PARA. 317_{sexies}]

10.2.1.5. Change or addition of technologies/measures [CONTENT MOVED TO SECTION 9.7]

- 337. [MOVED TO PARA. 317_{septies}]
- (a) [MOVED TO PARA. 317_{septies}]
- (b) [MOVED TO PARA. 317_{septies}]

- 338. [MOVED TO PARA. 317_{octies}]

10.2.2. Changes to project design of generic component project activities or specific-case component project activities [CONTENT MOVED TO SECTION 9.8]

10.2.2.1. Modification to or addition of technologies/measures [CONTENT MOVED TO SECTION 9.8.1]

- 339. [MOVED TO PARA. 327_{bis}]
- (a) [MOVED TO PARA. 327_{bis}]
- (b) [MOVED TO PARA. 327_{bis}]
- (i) [MOVED TO PARA. 327_{bis}]
- (ii) [MOVED TO PARA. 327_{bis}]
- (c) [MOVED TO PARA. 327_{bis}]

10.2.3. Inclusion of component project activities in programme of activities [CONTENT MOVED TO SECTION 9.9]

- 340. [MOVED TO PARA. 327_{ter}]
- (a) [MOVED TO PARA. 327_{ter}]
- (b) [MOVED TO PARA. 327_{ter}]

- 341. [MOVED TO PARA. 327_{quater}]

10.2.4. Changes to modalities of communication [CONTENT MOVED TO SECTION 9.10]

- 342. [MOVED TO PARA. 327_{quinquies}]

343. [MOVED TO PARA. 327_{sexies}]344. [MOVED TO PARA. 327_{septies}]

11. General verification requirements

11.1. Objective of CDM verification

345. The DOE shall conduct a thorough, independent assessment of the registered PoA and the included CPAs.

11.2. Verification approach

11.2.1. General

346. In carrying out its verification work, the DOE shall determine whether the registered PoA and the included CPAs comply with the requirements of paragraph 62 of the CDM modalities and procedures.

347. If the DOE has performed a validation activity (including the renewal of PoA and inclusion of a proposed CPA in a registered PoA) for the registered PoA and wishes to perform verification for the same PoA, it shall obtain authorization to do so from the Board in accordance with the “CDM project cycle procedure for programmes of activities”. However, the same DOE may perform verification without obtaining authorization from the Board to do so for a registered PoA for which it has performed the validation of post-registration changes.

(a) [DELETED]

(b) [MOVED TO CHAPEAU OF PARA. 347]

348. The DOE shall make publicly available the monitoring report received from the coordinating/managing entity in accordance with the “CDM project cycle procedure for programmes of activities” except when the host Party’s DNA withdraws its approval of the registered PoAs and/or its authorization of the coordinating/managing entity in accordance with the “Procedure: Process for dealing with letters from DNAs that withdraw approval/authorization”.

349. The DOE shall ensure that only verification activities undertaken after the publication of the monitoring report on the UNFCCC CDM website shall be used as a basis for the DOE to conclude its verification and submit a request for issuance of CERs to the Board.³⁴

350. The DOE shall assess both quantitative and qualitative information on emission reductions provided in the programme documentation.³⁵

³⁴ See EB 60 report, paragraph 101.

³⁵ Quantitative information comprises the reported numbers in the monitoring report. Qualitative information comprises information on internal management controls, calculation procedures, procedures for transfer of data, frequency of the monitoring reports, and review and internal audit of calculations.

351. The DOE shall assess and determine whether the implementation and operation of the registered PoA and included CPAs, and the steps taken to report emission reductions comply with the CDM criteria and relevant guidance provided by the Board. This assessment shall involve a review of relevant documentation as well as, as appropriate, an on-site inspection(s). For an on-site inspection(s), the DOE may apply a sampling approach in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”.
352. The DOE shall assess whether the data collection system meets the requirements of the registered monitoring plan as per the applied methodology including applicable tool(s) and, where applicable, the applied standardized baseline.
353. In addition to the monitoring documentation the DOE shall review:
- (a) The registered PoA-DD and the uploaded CPA-DDs, including the registered monitoring plan and/or the changes from the registered PoA-DD or the uploaded CPA-DDs, and the corresponding validation opinion;
 - (b) The validation report;
 - (c) Previous verification and certification reports, if any;
 - (d) The applied methodology and, where applicable, the applied standardized baseline;
 - (d)_{bis} The monitoring results of sustainable development co-benefits of the implemented PoA, if requested by the coordinating/managing entity to verify;
 - (e) Any other information and references relevant to the GHG emission reductions or net removals of the included CPA (e.g. IPCC reports, data on electricity generation in the national grid or laboratory analysis and national regulations).
354. In addition to reviewing the monitoring documentation, the DOE shall determine whether the coordinating/managing entity has addressed the FARs identified during validation or previous verification(s).
355. The DOE shall request the secretariat to withdraw the published monitoring report in accordance with the “CDM project cycle procedure for programmes of activities”, if the coordinating/managing entity requested the DOE to do so before the submission of a request for issuance.

11.2.2. Quality of evidence

356. When verifying the reported emission reductions, the DOE shall confirm that there is an audit trail that contains the evidence and records that validate or invalidate the stated figures. It shall include the source documents that form the basis for assumptions and other information underlying the GHG data.
357. When assessing the audit trail, the DOE shall:
- (a) Address whether there is sufficient evidence available, both in terms of frequency (time period between evidence) and coverage (in covering the full monitoring period);
 - (b) Address the source and nature of the evidence (external or internal, oral or documented);

- (c) Cross-check the monitoring report against other sources such as comparable information, where available, from sources other than those used in the monitoring report to determine whether the stated figures are correct.

358. The DOE shall only certify emission reductions that are based on verifiable evidence.

11.2.3. Application of materiality [DELETED]

11.2.3.1. General [DELETED]

359. [DELETED]

- (a) [DELETED]
- (b) [DELETED]
- (c) [DELETED]

360. [DELETED]³⁶

361. [DELETED]

- (a) [DELETED]³⁷
- (b) [DELETED]
- (c) [DELETED]
- (d) [DELETED]
- (e) [DELETED]

362. [DELETED]

363. [DELETED]

364. [DELETED]

11.2.3.2. Consideration of materiality in planning the verification [DELETED]

365. [DELETED]

- (a) [DELETED]
- (b) [DELETED]³⁸
- (c) [DELETED]
- (d) [DELETED]^{39 40}

³⁶ [DELETED]

³⁷ [DELETED]

³⁸ [DELETED]

³⁹ [DELETED]

⁴⁰ [DELETED]

366. [DELETED]

11.2.3.3. Consideration of materiality in conducting the verification [DELETED]

367. [DELETED]

(a) [DELETED]

(b) [DELETED]

368. [DELETED]

369. [DELETED]

370. [DELETED]

371. [DELETED]

372. [DELETED]

11.3. Means of verification**11.3.1. Standard auditing techniques**

373. The DOE shall apply standard auditing techniques to assess the quality of the information, including but not limited to:

(a) Desk review, involving:

- (i) A review of the data and information presented to verify their completeness;
- (ii) A review of the registered monitoring plan, the methodology including applicable tool(s) and, where applicable, the applied standardized baseline, paying particular attention to the frequency of measurements, the quality of metering equipment including calibration requirements, and the quality assurance and quality control procedures;
- (iii) An evaluation of data management and the quality assurance and quality control system in the context of their influence on the generation and reporting of emission reductions;

(b) On-site inspection taking into account paragraphs 373^{bis}–373^{quinquies} below, involving:

- (i) An assessment of the implementation and operation of the included CPA as per the uploaded CPA-DD or any approved revised CPA-DD;
- (ii) A review of information flows for generating, aggregating and reporting the monitoring parameters;
- (iii) Interviews with relevant personnel to determine whether the operational and data collection procedures are implemented in accordance with the registered monitoring plan;
- (iv) A cross check between information provided in the monitoring report and data from other sources such as plant logbooks, inventories, purchase records or similar data sources;

- (v) A check of the monitoring equipment including calibration performance and observations of monitoring practices against the requirements of the uploaded CPA-DD, the applied methodology including applicable tool(s), and, where applicable, the applied standardized baseline;
- (vi) A review of calculations and assumptions made in determining the GHG data and emission reductions;
- (vii) An identification of quality control and quality assurance procedures in place to prevent or identify and correct any errors or omissions in the reported monitoring parameters;
- (c) Sampling approach in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”, including:
 - (i) A random sampling for cases where the coordinating/managing entity did not apply a sampling approach;
 - (ii) An acceptance sampling or another sampling approach for cases where the coordinating/managing entity applied a sampling approach.

373_{bis} It is mandatory for the DOE to conduct an on-site inspection at verification for the included CPA if:

- (a) It is the first verification for the DOE with regard to this CPA;
- (b) More than three years have elapsed since the last on-site inspection conducted for verification for the CPA; or
- (c) The CPA has achieved more than 300,000 tCO₂eq of emission reductions since the last verification when an on-site inspection was conducted.

373_{ter} For cases that are not referred to in paragraph 373_{bis} above, it is optional for the DOE to conduct an on-site inspection at verification. If the DOE does not conduct an on-site inspection as a means of verification, it shall describe the alternative means used and justify that they are sufficient for the purpose of verification.

373_{quater} If any issue related to the programme design, including those attributable to the lack of on-site inspection at previous verification, is identified at the verification, the DOE that detected the issue shall rectify it through the post-registration change process in accordance with the “CDM project cycle procedure for programmes of activities”.

374. Where no specific means of verification is specified, the DOE should apply the standard auditing techniques described in paragraph 373-373_{quater} above.

11.3.2. Clarification requests, corrective action requests and forward action requests

375. The DOE shall identify, discuss and conclude in the verification and certification report issues related to the monitoring, implementation and operations of the registered PoA and the included CPA that could impair the capacity of the registered PoA and the included CPA to achieve GHG emission reductions or influence the monitoring and reporting of emission reductions.

376. The DOE shall raise a CAR if one of the following situations occur:
- (a) Non-compliance with the registered monitoring plan, the methodology or the standardized baseline is found in monitoring and reporting and has not been sufficiently documented by the coordinating/managing entity, or if the evidence provided to prove conformity is insufficient;
 - (b) Modifications to the implementation, operation and monitoring of the registered PoA or the included CPA has not been sufficiently documented by the coordinating/managing entity;
 - (c) Mistakes have been made in applying assumptions, data or calculations of emission reductions that will impact the quantity of emission reductions;
 - (d) Issues identified in a FAR during validation to be verified during verification or previous verification(s) have not been resolved by the coordinating/managing entity.
377. The DOE shall raise a CL if information is insufficient or not clear enough to determine whether the applicable CDM rules and requirements have been met.
378. All CARs and CLs raised by the DOE during verification shall be resolved prior to submitting a request for issuance.
379. The DOE shall raise a FAR during verification for actions if the monitoring and reporting require attention and/or adjustment for the next verification period.
380. The DOE shall report on all CARs, CLs and FARs in its verification and certification report. This reporting shall be undertaken in a transparent manner that allows the reader to understand the issue raised, the responses provided by the coordinating/managing entity, the means of verification of such responses and references to any resulting changes in the monitoring report or supporting annexes.

11.3_{bis} Global stakeholder consultation

380_{bis}. For the stakeholder consultation conducted after the publication of the first monitoring report in accordance with the “CDM project cycle procedure for programmes of activities”, paragraphs 31–37 above shall apply *mutatis mutandis* with the following adjustments:

- (a) The DOE may request further information from the submitters of the comments. The DOE shall also inform the coordinating/managing entity of the comments received, and request their feedback within a specified timeframe. The DOE shall consider the input received and assess whether such comments are relevant to the PoA;
- (b) The DOE:
 - (i) Where it concludes that the comments are related to CDM rules and requirements, may raise a CAR and submit a positive verification opinion only when the CAR is resolved by the coordinating/managing entity;
 - (ii) Where it concludes that comments are related to issues outside the CDM rules and requirements, shall annex the comments and information gathered, as well as any feedback from the coordinating/managing entity, to its verification report (the “comments annex”).

380^{ter} The DOE shall take due account of all authentic and relevant comments in the first request for issuance. If multiple separate monitoring reports for the first monitoring period for the PoA are prepared in accordance with the "CDM project standard for programmes of activities", the DOE shall take due account of all authentic and relevant comments in the first request for issuance for each batch.

11.4. Verification of compliance

11.4.1.-bis General

380^{quater} The DOE shall:

- (a) Identify included CPAs that it shall consider for verification in accordance with the method/procedure to be used for verification of the amount of GHG emission reductions or net anthropogenic GHG removals achieved by the CPAs under the registered PoA and determined in the PoA-DD. Where the PoA has more than one host Party and a host Party's DNA withdraws its approval of the PoA and/or its authorization of the coordinating/managing entity, the DOE shall identify only unaffected CPAs in accordance with the "Procedure: Process for dealing with letters from DNAs that withdraw approval/authorization";
- (a)^{bis} Determine whether the verification covers the CPAs that had been directly included by the coordinating/managing entity in accordance with the "CDM project cycle procedure for programmes of activities" for which it is the first verification. If such CPAs exist, the DOE shall assess whether they comply with the version of the PoA applicable when they were included, including the eligibility criteria for inclusion of CPAs in the PoA and the applicable requirements. If the DOE finds that any of such CPAs do not comply with them, it shall exclude them from the PoA and shall not include them in the request for issuance of CERs;
- (b) Take into account the possible existence of included CPAs complying with different versions of the registered PoA and the need to account for this in its sampling approach, to ensure that a statistically sound sample of CPAs from each version of the PoA are being verified;
- (c) Make the monitoring report publicly available immediately in accordance with the "CDM project cycle procedure for programmes of activities", except when the host Party's DNA withdraws its approval of the registered PoA and/or its authorization of the coordinating/managing entity in accordance with the "Procedure: Process for dealing with letters from DNAs that withdraw approval/authorization";
- (d) Systematically verify and certify the correct implementation and operation of the record-keeping system.

380^{quinquies} The DOE shall include in its verification and certification report a description of how it applied the methods/procedures for the purpose of verification stipulated in the registered PoA-DD. The DOE shall include in its verification and certification report a description/justification of the on-site inspection(s) undertaken.

380^{sexies} The request for issuance of CERs shall correspond to all CPAs included in the PoA in the case of a single monitoring report covering all CPAs of the PoA for the monitoring period, or to one of the batches of CPAs included in the PoA in the case of multiple monitoring reports for the monitoring period.

380^{septies} If the coordinating/managing entity prepared multiple monitoring reports for the monitoring period, the DOE shall confirm that all the monitoring reports have the same start and end-dates.

380^{octies} The DOE shall confirm that monitoring periods have been consecutive. Further, the DOE shall confirm that CPAs have been included in requests for issuance in a consecutive manner, that is, when a CPA has been included in a request for issuance for a monitoring period, the DOE shall confirm that a request for issuance for the previous monitoring period that included the particular CPA has been published.

380^{nonies} Notwithstanding paragraph 380^{octies}, if the registered PoA applies any of the methodologies listed in the “CDM project cycle procedure for programmes of activities” as potentially accruing negative emission reductions in a monitoring period, the DOE shall confirm that the CERs, tCERs or ICERs have been issued for all CPAs included in the PoA for the previous monitoring period.

380^{decies} A request for issuance shall relate to the CERs verified as per the above.

11.4.1. Compliance of the monitoring report with the monitoring report form

Verification requirement

381. The DOE shall determine whether the monitoring report was completed using the valid version of the applicable monitoring report form.⁴¹

Reporting requirement

382. The DOE shall provide a statement regarding the compliance of the monitoring report with the relevant form and instructions therein.

11.4.2. Compliance of the programme implementation with the registered programme design document

Verification requirement

383. The DOE shall identify any concerns related to the conformity of the actual programme activity and its operation with the registered PoA-DD and determine whether:⁴²

- (a) The implementation and operation of the registered PoA and the included CPA have been conducted in accordance with the description contained in the registered PoA-DD and the uploaded CPA-DD; or

⁴¹ [DELETED]

⁴² See decision 3/CMP.1, annex, paragraph 62(g).

- (b) Any deviation or the proposed or actual changes in the implementation or operation of the registered PoA and the included CPA comply with the requirements of the “CDM project standard for programmes of activities”.

Means of verification

384. The DOE shall, by means of an on-site inspection, assess that all physical features (technology, project equipment, and monitoring and metering equipment) of the included CPA in the uploaded CPA-DD are in place and that the coordinating/managing entity has operated the PoA and the CPA as per the registered PoA-DD and the uploaded CPA-DD or any approved revised PoA-DD and CPA-DD. If an on-site inspection is not conducted, the DOE shall justify the rationale of the decision.

Reporting requirement

385. For each monitoring period, the DOE shall report:
- (a) The implementation status of the registered PoA and the included CPA. For included CPAs that consist of more than one site, the DOE shall describe the status of implementation and starting date of operation for each site. For included CPAs with phased implementation, the DOE shall state the progress of the CPA achieved in each phase under verification. If the phased implementation is delayed, the DOE shall describe the reasons and present the expected implementation dates;
 - (b) The actual operation of the included CPA;
 - (c) Information (data and variables) provided in the monitoring report that is different from that stated in the registered PoA-DD and the uploaded CPA-DD or any approved revised PoA-DD and CPA-DD, and has caused an increase in estimates of the emission reductions in the current monitoring period or is highly likely to increase the estimates of emission reductions in the future monitoring periods;⁴³
 - (d) An opinion on the cause of any increase in the actual GHG emission reductions achieved by the included non-A/R CPA in the current monitoring period that was reported in monitoring report.

⁴³ Discrepancies may include higher water availability than expected in the CPA-DD, which may increase the electricity output from a hydropower plant, or a higher plant load factor owing to higher bagasse availability during the crushing season, which increases the production of steam and electricity.

11.4.3. Compliance of the registered monitoring plan with the methodology including applicable tool(s) and the standardized baseline***Verification requirement***

386. The DOE shall determine whether the registered monitoring plan is in accordance with the applied methodology including applicable tool(s) and, where applicable, the applied standardized baseline.

Means of verification

387. For monitoring aspects that are not specified in the methodology and, where applicable, the standardized baseline, particularly in the case of small-scale methodologies (e.g. additional monitoring parameters, monitoring frequency and calibration frequency), the DOE should bring to the attention of the Board issues which may enhance the level of accuracy and completeness of the registered monitoring plan.

Reporting requirement

388. The DOE shall provide a statement as to whether the registered monitoring plan is in accordance with the approved methodology and, where applicable, the approved standardized baseline that is(are) applied in the uploaded CPA-DD or an approved revised CPA-DD.

11.4.4. Compliance of monitoring activities with the registered monitoring plan***Verification requirement***

389. The DOE shall determine whether the monitoring of parameters related to the GHG emission reductions in the included CPA has been implemented in accordance with the registered monitoring plan.⁴⁴

Means of verification

390. The DOE shall determine whether:
- (a) The registered monitoring plan has been properly implemented and followed by the coordinating/managing entity;
 - (b) All parameters stated in the registered monitoring plan and relevant Board decisions⁴⁵ have been monitored and updated as applicable, including:
 - (i) Project emission parameters;
 - (ii) Baseline emission parameters;
 - (iii) Leakage parameters;

⁴⁴ In accordance with decision 3/CMP.1, annex, paragraph 56: "Project participants shall implement the monitoring plan contained in the registered project design document".

⁴⁵ For example, a decision at the thirty-fifth meeting of the CDM Executive Board provides clarification for the registered CDM project activities that apply the approved methodology AM0001. This asks the DOE to check the value of "w" based on the past one year period during verification, which was not clearly stated in the approved methodology.

- (iv) Management and operational system: the responsibilities and authorities for monitoring and reporting are in accordance with the responsibilities and authorities stated in the registered monitoring plan;
 - (c) The equipment used for monitoring is in accordance with section 11.4.5 below and is controlled and calibrated in accordance with the registered monitoring plan, the applied methodology, the applied standardized baseline, Board guidance, local/national standards, or as per the manufacturer's specification;
 - (d) Monitoring results are consistently recorded as per approved frequency;
 - (e) Quality assurance and quality control procedures have been applied in accordance with the registered monitoring plan.
391. Where the coordinating/managing entity applied a sampling approach to determine data and parameters monitored, the DOE shall assess the compliance of the sampling efforts and surveys with the validated sampling plan in accordance with the "Standard for sampling and surveys for CDM project activities and programme of activities".

Reporting requirement

392. The DOE shall state whether monitoring has been carried out in accordance with the registered monitoring plan.
393. The DOE shall list each parameter required by the registered monitoring plan and state how it verified the information flow (from data generation, aggregation, to recording, calculation and reporting) for these parameters including the values in the monitoring reports.

11.4.5. Compliance with the calibration frequency requirements for measuring instruments***Verification requirement***

394. The DOE shall determine whether the calibration of the measuring equipment that has an impact on the claimed emission reductions is conducted by the coordinating/managing entity at a frequency specified in the applied methodology, the applied standardized baseline and/or the registered monitoring plan.

Means of verification

395. If, during verification of a certain monitoring period, the DOE identifies that the calibration has been delayed and the calibration has been implemented after the monitoring period in consideration (i.e. the results of delayed calibration are available), referring to the illustrative examples in the appendix below, the DOE may conclude its verification, provided the following conservative approach is adopted in the calculation of emission reductions:
- (a) Applying the maximum permissible error⁴⁶ of the instrument to the measured values taken during the period between the scheduled date of calibration and the actual date of calibration, if the results of the delayed calibration do not show any

⁴⁶ The maximum permissible errors of all the measuring instruments are specified by the respective manufacturers as part of their technical specifications.

errors in the measuring equipment, or if the error is smaller than the maximum permissible error; or

- (b) Applying the error identified in the delayed calibration test, if the error is beyond the maximum permissible error of the measuring equipment.

396. The DOE shall confirm that the error has been applied:

- (a) In a conservative manner, such that the adjusted measured values of the delayed calibration shall result in fewer claimed emission reductions;
- (b) For all measured values taken during the period between the scheduled date of calibration and the actual date of calibration.

397. In cases where the results of the delayed calibration are not available, or the calibration has not been conducted at the time of verification, the DOE, prior to finalizing verification, shall request the coordinating/managing entity to conduct the required calibration and shall determine whether the coordinating/managing entity have calculated the emission reductions conservatively using the approach mentioned in paragraph 395 above.

398. In cases where the DOE determines that it is not possible for the coordinating/managing entity to conduct the calibration at a frequency specified by either the applied methodology, the applied standardized baseline, guidance provided by the Board, and/or the registered monitoring plan due to reasons beyond the control of the coordinating/managing entity,⁴⁷ the DOE shall follow the applicable requirements related to post-registration changes in sections 9–10 above.

399. In cases where neither the applied methodology, where applicable, the applied standardized baseline nor the registered monitoring plan specify any requirements for calibration frequency for measuring equipment, the DOE shall determine whether the equipment is calibrated either in accordance with the specifications of the local/national standards, or as per the manufacturer's specification. If neither local/national standards nor the manufacturer's specification are available, international standards may be used. Refer to the appendix below for an illustrative example to apply the above requirements.

Reporting requirement

400. The DOE shall report whether the calibration is conducted at the frequency as specified by the methodology, the standardized baseline and/or the registered monitoring plan.

11.4.6. Assessment of data and calculation of emission reductions or net removals

Verification requirement

401. The DOE shall assess the data and calculations of GHG emission reductions or net anthropogenic GHG removals achieved by/resulting from the included CPA by the application of the selected methodology and, where applicable, the selected standardized baseline.

⁴⁷ For example, due to the contractual terms between the coordinating/managing entity and purchasing/selling entities.

Means of verification

402. The DOE shall determine whether:

- (a) A complete set of data for the specified monitoring period is available. If only partial data are available because activity levels or non-activity parameters have not been monitored in accordance with the registered monitoring plan, the DOE shall either:
 - (i) Raise a CAR for the coordinating/managing entity to apply the most conservative values approach to the parameters for the entire non-monitoring period in accordance with the “CDM project standard for programmes of activities”; or
 - (ii) Assess whether alternative monitoring arrangements for the non-monitoring period are described and whether they apply conservative assumptions or discount factors to the calculations in accordance with the “CDM project standard for programmes of activities”.
- (b) Information provided in the monitoring report has been cross-checked with other sources such as plant logbooks, inventories, purchase records and laboratory analysis;
- (c) Calculations of baseline GHG emissions or baseline net GHG removals, project GHG emissions or actual net GHG removals and leakage GHG emissions, have been carried out in accordance with the formulae and methods described in the registered monitoring plan, the applied methodology and, where applicable, the applied standardized baseline;
- (d) Any assumptions used in emission or removal calculations have been justified;
- (e) Appropriate emission factor, IPCC default values, GWPs⁴⁸ and other reference values have been correctly applied;
- (f) For an included CPA using an approved standardized baseline that standardizes baseline emissions, the standardized value(s) of the parameter(s) was(were) applied using the correct version of the applied standardized baseline in accordance with the “CDM project standard for programmes of activities”;
- (g) The pro-rata approach or the specific approach for A/R project activities was correctly applied to the calculations of GHG emission reductions or net anthropogenic GHG removals in accordance with the “CDM project standard for programmes of activities”, if the monitoring period starts before 31 December 2012 and ends anytime thereafter;
- (h) The first day when CERs are being claimed is correctly specified in accordance with the “CDM project cycle procedure for programmes of activities”, if the current monitoring period covers the first day of the renewed crediting period.

⁴⁸ See decision 4/CMP.7 for GWPs for the calculation of emission reductions and removal enhancements achieved by the registered PoAs in the second commitment period (from 1 January 2013).

Reporting requirement

403. The verification and certification report shall contain:

- (a) An indication of whether data were not available because activity levels or non-activity parameters were not monitored in accordance with the registered monitoring plan as well as any actions taken by the DOE to ensure that the most conservative assumption theoretically possible has been made;
- (b) A description of how the DOE cross-checked reported data;
- (c) A confirmation that appropriate methods and formulae for calculating baseline GHG emissions or baseline net GHG removals, project GHG emissions or actual net GHG removals and leakage GHG emissions have been followed;
- (d) An opinion as to whether assumptions, emission factors and default values that were applied in the calculations have been justified;
- (e) A confirmation that the pro-rata approach **or the specific approach for A/R project activities** was correctly applied to the calculations of GHG emission reductions or net anthropogenic GHG removals, where applicable;
- (f) A confirmation that the first day in which CERs are being claimed has been correctly specified, where applicable.

11.4.6_{bis} Assessment of reported sustainable development co-benefits**Verification requirement**

403_{bis} If the coordinating/managing entity have monitored sustainable development co-benefits of the registered PoA, and requested the DOE to verify them, it shall assess whether:

- (a) The monitoring has been carried out in accordance with the document for monitoring sustainable development co-benefits, if such document was developed and published on the UNFCCC CDM website in accordance with the "CDM project standard for programmes of activities";
- (b) The reported monitoring results correspond to the sustainable development co-benefits of the implemented PoA as observed by the DOE.

Reporting requirement

403_{ter} The verification and certification report shall contain:

- (a) A description of how the DOE has conducted the assessment referred to in paragraph 403_{bis} above;
- (b) Findings from the assessment.

403_{quater} The findings from the assessment shall have no bearing on the final verification opinion of the DOE.

11.5. Verification status and verification and certification report

11.5.1. Verification status

404. The DOE shall determine whether the coordinating/managing entity provided an update of the status of their implementation of the registered PoA as applicable in accordance with the “CDM project cycle procedure for programmes of activities”.
405. The DOE shall provide an update of the status of its verification activity as applicable in accordance with the “CDM project cycle procedure for programmes of activities”.

11.5.2. Verification and certification report

406. The DOE contracted to conduct verification and certification of the registered PoA shall prepare a verification and certification report using the valid version of the applicable verification and certification report form.
407. When completing the verification and certification report form, the DOE shall follow the instructions therein.
408. The verification and certification report shall give an overview of the verification process used by the DOE in order to arrive at its verification conclusions. All verification findings shall be identified and justified.
409. The DOE shall report the following:
- (a) A summary of the verification process, the scope of verification and the conclusion;
 - (b) Details of the verification team, technical experts, internal reviewers involved, together with their roles in the verification activity and details of who conducted the on-site inspection;
 - (c) Findings of the desk review, on-site inspection and sampling approach used by the DOE. Where the DOE applied a sampling approach to the on-site inspection, the DOE shall include a description of how the sample size was determined and field check was carried out;
 - (d) All its applied approaches, findings and conclusions as to requirements set out in section 11.4 above;
 - (e) A list of each parameter specified by the registered monitoring plan and a statement on how the values in the monitoring report have been verified;
 - (f) A statement on whether any post-registration changes to the registered PoA-DD have been approved by the Board or will be submitted together with the request for issuance;
 - (g) An assessment and close-out of any CARs, CLs or FARs issued to the coordinating/managing entity;
 - (h) An assessment of remaining issues from the previous verification period, if appropriate;

- (i) Information on quality control within the team and in the verification process;
 - (j) A conclusion⁴⁹ on the verified amount of emission reductions achieved.
410. [DELETED]
- (a) [DELETED]
 - (b) [DELETED]
 - (c) [DELETED]
411. The DOE shall describe all documentation supporting verification and shall make it available on request.
412. The DOE shall, based on its verification, certify in writing that, during the specified time period, some or all of the included CPAs in the registered PoA achieved the verified amount of reductions in anthropogenic emissions by sources of greenhouse gases that would not have occurred in the absence of the CPAs.⁵⁰
413. The DOE shall inform the coordinating/managing entity, Parties involved and the Board of its certification decision in writing immediately upon completion of the certification process and shall make the verification and certification report publicly available as part of the request for issuance in accordance with the “CDM project cycle procedure for programmes of activities”.
414. The DOE shall request the secretariat to withdraw the request for issuance in accordance with the “CDM project cycle procedure for programmes of activities”, if the coordinating/managing entity requested the DOE to withdraw the request for issuance or if the DOE has revised the conclusion of its verification report based on new insights or information.

12. Specific verification requirements

12.1. Small-scale **component** project activities

415. The DOE shall determine whether the included small-scale CPA remains within the limit of the type of small-scale activities defined in the relevant requirements in the “CDM project standard for programmes of activities”. If the small-scale CPA exceeds the limit of its type in any year of the crediting period, the DOE shall assess whether this was caused by the post-registration changes in accordance with relevant requirements in sections 9 and 10 above. If the DOE determines that there are no such post-registration changes to the PoA and therefore the scale of the CPA does not change, for a Type II or Type III registered small-scale CPA, it shall assess whether the calculated emission

⁴⁹ In paragraph 404 above, even if the DOE determines that the coordinating/managing entity failed to provide an update of the status of its implementation of the registered PoA as applicable in accordance with the “CDM project cycle procedure for programmes of activities”, it does not have any impact on the conclusion.

⁵⁰ In accordance with paragraph 64 of the CDM modalities and procedures, the certification report constitutes a request to the Board for issuance of CERs equal to the verified amount of reductions of anthropogenic emissions by sources of greenhouse gases.

reductions during this particular year were capped at the amount calculated with the limit of its type.

416. If the coordinating/managing entity has chosen to prepare multiple monitoring reports for separate batches of CPAs, the DOE shall:

(a) [DELETED]

(a)_{bis} Determine whether the requirements on the request for batched issuance of CERs for a PoA referred to in paragraphs 308_{sexies}-308_{decies} above are met *mutatis mutandis*;

(b) Prepare a verification and certification report(s).

12.2. Afforestation or reforestation **component** project activities

417. At the first verification, the DOE, in accordance with paragraph 34(d) of the CDM modalities and procedures for afforestation and reforestation project activities, shall confirm those areas of land for which the control over the included A/R CPA has been established by the CPA implementer since validation.

418. As a part of the first verification and certification report, the DOE shall confirm that the boundary of the included A/R CPA geographically delineates exclusively the afforestation or reforestation CPA under the control of the CPA implementer.

419. If tCERs were issued based on the previous verification and certification, the DOE shall confirm that the current verification and certification is for the first time in the current commitment period. If ICERs were issued based on the previous verification and certification, the DOE shall confirm that the current verification and certification is within eight years of the date when the previous certification report was submitted until the end of the current crediting period.⁵¹

- 419_{bis} For ICERs, if the monitoring period falls partly in the first commitment period and partly in the second commitment period of the Kyoto Protocol, the DOE shall confirm that all net anthropogenic GHG removals achieved since the last verification are allocated to the second commitment period. For tCERs, for any issuance, the DOE shall confirm that all net anthropogenic GHG removals achieved since the start of the project activity are allocated to the commitment period in which the monitoring period ends.

12.3. Carbon dioxide capture and storage project activities [DELETED]

12.3.1. General [DELETED]

420. [DELETED]

421. [DELETED]

422. [DELETED]

423. [DELETED]

⁵¹ Decision 4/CMP.10 revised the timing of verification for A/R CDM project activities defined in the annex to decision 5/CMP.1.

12.3.2. Request for issuance of certified emission reductions [DELETED]

424. [DELETED]

425. [DELETED]

426. [DELETED]

12.4. Programme of activities [CONTENT MOVED TO SECTION 11.4]427. [MOVED TO PARA. 380_{quater}](a) [MOVED TO PARA. 380_{quater}](b) [MOVED TO PARA. 380_{quater}](c) [MOVED TO PARA. 380_{quater}](d) [MOVED TO PARA. 380_{quater}]428. [MOVED TO PARA. 380_{quinquies}]429. [MOVED TO PARA. 380_{sexies}]430. [MOVED TO PARA. 380_{octies}]431. [MOVED TO PARA. 380_{nonies}]432. [MOVED TO PARA. 380_{decies}]**13. General validation requirements on renewal of programme of activities*****Validation requirement***

433. When contracted by a coordinating/managing entity to validate renewal of a registered PoA, the DOE shall determine whether the coordinating/managing entity has updated sections of the PoA-DD relating to the baseline, estimated GHG emission reductions or net anthropogenic GHG removals, the monitoring plan and the crediting period using the valid version(s) of the approved methodology and, where applicable, the approved standardized baseline that is(are) applicable to the PoA.

433_{bis} The DOE shall determine whether the coordinating/managing entity, in accordance with the relevant requirements in the “CDM project standard for programmes of activities”:

(a) Updated the eligibility criteria for inclusion of CPAs in the PoA;

(b) Requested renewal of the registered PoA seven years after the approval of the revised version of the methodology and/or standardized baseline if the version of the PoA has been revised because the applied methodology and/or the applied standardized baseline have been revised or replaced after having been placed on hold or withdrawn.

433^{ter} The DOE shall prepare a validation report for renewal of crediting period of the included CPA using the valid version of the applicable validation report form for renewal of crediting period of the CPA.

433^{quater} When completing the validation report form for renewal of crediting period of the included CPA, the DOE shall follow the instructions therein.

433^{quinquies} The DOE shall assess the information in the updated CPA-DD against the latest version of the registered PoA-DD (with its generic CPA-DD part), including the eligibility criteria, and documentation requirements and, if consistency is confirmed, shall renew the crediting period of the CPA in accordance with the “CDM project cycle procedure for programmes of activities”.

Means of validation

434. The DOE shall apply the requirements in section 7.3 above mutatis mutandis to validate the information provided by the coordinating/managing entity.
435. The DOE shall determine whether the coordinating/managing entity has updated the relevant sections of the PoA-DD in accordance with the relevant requirements in the “CDM project standard for programmes of activities”.
436. If the coordinating/managing entity used a later valid version of the PoA-DD form for the updated PoA-DD than the version of the PoA-DD form of the registered PoA-DD, the DOE shall determine whether information transferred to the later valid version of the PoA-DD form is materially the same as that in the registered PoA-DD.
437. The DOE shall assess the validity of the original baseline or its update through an assessment of the following issues:
 - (a) The impact of new relevant national and/or sectoral policies and circumstances on the baseline taking into account relevant guidance from the Board with regard to renewal of the registered PoA at the time of requesting renewal of PoA;
 - (b) The correctness of the application of the approved methodology and, where applicable, the approved standardized baseline for the determination of the continued validity of the baseline or its update, and the estimation of GHG emission reductions for the renewal of the registered PoA.
438. The requirements contained in paragraph 437(a) above are not applicable to a generic CPA using the valid version of an applicable approved standardized baseline that standardizes the baseline scenario.
439. The DOE shall check that the names of the coordinating/managing entity and project participants included in the updated PoA-DD are consistent with the names of the coordinating/managing entity and project participants in the registered PoA-DD.
440. If the coordinating/managing entity selected another methodology, methodological tool and/or standardized baseline for the purpose of renewal of PoA due to the inapplicability of the valid version of the methodology (including a consolidated methodology thereof), methodological tool and/or standardized baseline applied to the original PoA-DD, the DOE shall assess whether the updated PoA-DD complies with all the requirements in the selected methodology, methodological tool and/or standardized baseline except for additionality demonstration.

441. If the coordinating/managing entity requested a deviation from the valid version of the methodology (including a consolidated methodology thereof) and/or methodological tool applied in the registered PoA-DD, or from any other selected methodology and/or methodological tool for the purpose of renewal of PoA, or if the DOE finds at validation that the updated PoA-DD deviated from the valid version of the methodology and/or methodological tool applied in the registered PoA-DD or from any other selected methodology and/or methodological tool, paragraphs 87 and 88 above shall apply *mutatis mutandis*.
442. If the coordinating/managing entity requested post-registration changes together with the request for renewal of PoA, the DOE shall also validate the post-registration changes in accordance with the relevant requirements in sections 9 and 10 above and the “CDM project cycle procedure for programmes of activities”, and shall submit a request for approval of changes together with the request for renewal of PoA in accordance with the relevant requirements in the “CDM project cycle procedure for programmes of activities”.
443. The DOE shall request the coordinating/managing entity to provide a revised updated PoA-DD (with its revised updated generic CPA-DD part), applying the valid version of an applicable approved standardized baseline whose selection is mandatory, if:
- (a) The updated PoA-DD has been submitted for the notification of the intention to request a renewal of PoA when no applicable approved standardized baseline was valid;
 - (b) An applicable approved standardized baseline whose selection is mandatory has become valid after the submission of the updated PoA-DD (with its updated generic CPA-DD part) for the notification of the intention to request a renewal of PoA but before the submission of a request for renewal of PoA;
 - (c) The request for renewal of PoA has not been submitted within 240 days after the standardized baseline became valid.

Reporting requirement

444. The DOE shall prepare a validation report for renewal of PoA using the valid version of the applicable validation report form for renewal of PoA.
445. When completing the validation report form for renewal of PoA, the DOE shall follow the instructions therein.
446. In its validation report for renewal of PoA, the DOE shall:
- (a) Provide all its applied approaches, findings and conclusions on whether:
 - (i) The updated PoA-DD complies with the valid version of the applicable PoA-DD form and instructions therein for filling out the PoA-DD form;
 - (ii) Information transferred to the later valid version of the PoA-DD form is materially the same as that in the registered PoA-DD, where applicable;
 - (iii) The methodology and, where applicable, the standardized baseline was(were) applied in accordance with the applicable requirements in the “CDM project standard for programmes of activities”;
 - (iv) The baseline, the estimated GHG emission reductions or net anthropogenic GHG removals, and the monitoring plan in the updated PoA-DD comply

with the applicable requirements in the “CDM project standard for programmes of activities”, and the valid version of the methodology and, where applicable, the standardized baseline that is(are) applicable to the registered PoA;

- (v) The next duration of the PoA or crediting period of the included CPA commences on the day immediately after the expiration of the current duration or crediting period;
 - (vi) The names of the coordinating/managing entity and project participants in the updated PoA-DD are consistent with the names of the coordinating/managing entity and project participants in the registered PoA-DD;
 - (b) Report on all items listed in paragraph 176 above except paragraph 176(c) above;
 - (c) Follow paragraphs 168–171 above mutatis mutandis on its validation opinion;
 - (d) Provide a statement on whether any proposed post-registration changes for the next duration or crediting period will be submitted together with the request for renewal of PoA.
447. The DOE shall submit the validation report for renewal of PoA, along with the supporting documents, to the Board as part of the request for renewal of PoA in accordance with the “CDM project cycle procedure for programmes of activities”.
448. The DOE shall request the secretariat to withdraw the request for renewal of PoA in accordance with the “CDM project cycle procedure for programmes of activities”, if the coordinating/managing entity requested the DOE to withdraw the request for renewal of PoA before the adoption of the decision on the request for renewal of PoA.

448_{bis} Non-compliance with the requirement of updating the status of implementation of registered PoAs in accordance with the “CDM project cycle procedure for programmes of activities” does not have any impact on the outcome of validation for the purpose of renewal of duration or crediting period.

14. Specific validation requirements on renewal of crediting period or renewal of programme of activities [DELETED]

14.1. Carbon dioxide capture and storage project activities [DELETED]

449. [DELETED]

450. [DELETED]

14.2. Programme of activities [CONTENT MOVED TO SECTION 13]

14.2.1. Renewal of programme of activities [CONTENT MOVED TO SECTION 13]

451. [MOVED TO PARA. 433_{bis}]

(a) [MOVED TO PARA. 433_{bis}]

(b) [MOVED TO PARA. 433_{bis}]

14.2.2. Renewal of crediting period of component project activities [CONTENT MOVED TO SECTION 13]

452. [MOVED TO PARA. 433_{ter}]

453. [MOVED TO PARA. 433_{quater}]

454. [MOVED TO PARA. 433_{quinquies}]

Appendix . Calibration

1. The following provides an illustrative example for applying the provisions in paragraph 395 (a) and (b) of this standard.
2. An electricity energy meter with a maximum permissible error ($\pm 5\%$), which may be used for measuring the electricity export for baseline emissions and electricity import for project emission calculations, is required to be calibrated every year. If the calibration is delayed and instead of after one year it is conducted after one and a half years, and the result of the delayed calibration is available at the time of verification, to account for the delayed calibration the measured values shall be corrected as demonstrated in the following Table 1 and Table 2 for situations stipulated in paragraph 395 (a) and (b) of this standard.

Table 1. Sample calculation for the cases where the error identified in the delayed calibration is smaller than the maximum permissible error

Measured value	Parameter	Error identified during delayed calibration	Corrected values
100 MWh	Electricity export	$\pm 2\%$	100 (1-Max. permissible error%/100) = 95 MWh
100 MWh	Electricity import	$\pm 2\%$	100 (1+Max. permissible error%/100) = 105 MWh

Table 2. Sample calculation for the cases where the error identified in the delayed calibration is larger than the maximum permissible error

Measured value	Parameter	Error identified during delayed calibration	Corrected values
100 MWh	Electricity export	$\pm 7\%$	100 (1-error%/100) = 93 MWh
100 MWh	Electricity import	$\pm 7\%$	100 (1+error%/100) = 107 MWh

Document information

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01.0	30 August 2016	Published within annex 7 to the annotated agenda of EB 91. Revision to simplify and streamline the CDM regulations and to accommodate the request from the CMP.11 para 18 on the development of a standalone PoA guidance. This document, together with the CDM validation and verification standard for project activities (new reference number), was part of a single document titled: CDM validation and verification standard (CDM-EB65-A05-STAN) until version 09.0.
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Appendix 4. Draft Procedure. CDM project cycle procedure for programmes of activities (version 01.0)

REFERENCE NUMBER

Draft Procedure

CDM project cycle procedure for programmes of activities

Version 01.0

DRAFT



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Framework Convention on
Climate Change

TABLE OF CONTENTS	Page
1. INTRODUCTION	180
1.1. Background	180
1.2. Objectives	180
2. SCOPE, APPLICABILITY AND ENTRY INTO FORCE	180
2.1. General	180
2.2. Entry into force	180
3. TERMS AND DEFINITIONS	180
4. PRE-REGISTRATION ACTIVITIES	181
4.1. Notification of intention to seek CDM status	181
4.2. Participation requirements of host Party for CCS project activities [DELETED]	181
4.2.1. Expression of host Party agreement for CCS project activities [DELETED]	181
4.2.2. Laws and regulations of host Party for CCS project activities [DELETED]	181
4.3. Publication of programme design document	181
4.3.1. Submission of programme design document	181
4.3.2. Changes after publication of programme design document	183
4.3.3. Submission and treatment of public comments	185
4.4. Reporting of validation status	185
4.5. Withdrawal of published programme design document	186
4.6. Modalities of communication	186
4.7. Request for deviation from approved methodology	188
4.7.1. Submission of request for deviation	188
4.7.2. Processing request for deviation	188
4.7.3. Finalizing request for deviation	190
4.8. Application of multiple methodologies in programme of activities	190
5. REGISTRATION OF PROGRAMME OF ACTIVITIES	192
5.1. Request for registration	192

5.1.1.	Submission of request for registration	192
5.1.2.	Processing request for registration	192
5.1.3.	Requesting review of request for registration	194
5.1.4.	Finalizing request for registration if no request for review	195
5.2.	Review of request for registration	195
5.2.1.	Commencement of review	195
5.2.2.	Assessment.....	196
5.2.3.	Consideration by the Board	197
5.2.4.	Finalization and implementation of ruling	198
5.3.	Withdrawal of request for registration	199
5.3.1.	Submission of request for withdrawal	199
5.3.2.	Processing request for withdrawal.....	199
6.	POST-REGISTRATION ACTIVITIES	200
6.1.	Inclusion of component project activities in programme of activities.....	200
6.1.1.	Submission of component project activity design documents	200
6.1.2.	Review of erroneous inclusion or renewal of crediting period of component project activities	201
6.2.	Voluntary exclusion of component project activities from programme of activities.....	203
6.3.	Changes to registered programme of activities	203
6.3.1.	Submission of request for approval of changes	203
6.3.2.	Processing requests for approval of changes and notifications of changes	207
6.3.3.	Finalizing request for approval of changes.....	208
6.3.4.	Withdrawal of request for approval of changes	209
6.4.	Changes to modalities of communication	210
6.4.1.	General requirements	210
6.4.2.	Specific requirements related to reported issues resulting from insolvency and/or disputes on modalities of communication	211
6.4.3.	Specific requirements on changes to focal points	212
6.4.4.	Specific requirements on change of coordinating/managing entity for programme of activities.....	212

6.4.5.	Specific requirements on changes to project participants	213
7.	PRE-ISSUANCE ACTIVITIES	213
7.1.	Publication of monitoring report	213
7.2.	Reporting of status of registered programme of activity	216
7.3.	History matching and significant deviation for CCS project activity DELETED]	217
8.	ISSUANCE OF CERTIFIED EMISSION REDUCTIONS	217
8.1.	Request for issuance	217
8.1.1.	Submission of request for issuance	217
8.1.2.	Processing request for issuance	218
8.1.3.	Requesting review of request for issuance	219
8.1.4.	Finalizing request for issuance if no request for review	220
8.2.	Review of request for issuance	220
8.2.1.	Commencement of review	220
8.2.2.	Assessment	221
8.2.3.	Consideration by the Board	222
8.2.4.	Finalization and implementation of ruling	223
8.3.	Withdrawal of request for issuance	224
8.3.1.	Submission of request for withdrawal	224
8.3.2.	Processing request for withdrawal	224
8.4.	Addressing non-permanence in CCS project activities [DELETED]	225
9.	RENEWAL OF CREDITING PERIOD	225
9.1.	General requirements	225
9.2.	Notification of intention of renewal of crediting period	226
9.3.	Request for renewal of crediting period	226
9.3.1.	Submission of request for renewal of crediting period	226
9.3.2.	Processing of request for renewal of crediting period	227
9.3.3.	Requesting review of request for renewal of crediting period	227
9.3.4.	Finalizing request for renewal of crediting period	228
9.4.	Review of request for renewal of crediting period	228
9.5.	Withdrawal of the request for renewal of crediting period	228

9.6.	Submission of request for post-registration changes together with request for renewal of crediting period.....	228
10.	VOLUNTARY DEREGISTRATION OF PROJECT ACTIVITY [DELETED]	229
10.1.	Submission of request for deregistration [DELETED]	229
10.2.	Processing of request for deregistration [DELETED]	229
10.3.	Effects of deregistration [DELETED]	230
10.4.	Administration period [DELETED]	230
APPENDIX 1.	FEE	231
APPENDIX 2.	REQUESTING REVIEW AND MAKING DECISIONS AND OBJECTIONS REGARDING REVIEW ASSESSMENTS	233
APPENDIX 3.	BASELINE AND MONITORING METHODOLOGIES INDICATING POTENTIAL ACCRUAL OF NEGATIVE EMISSION REDUCTIONS	240

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 related to the development, registration, post-registration changes, issuance and renewal of crediting periods for a CDM programme of activities (PoA).
3. [DELETED]

1.2. Objectives

4. The objectives of the “CDM project cycle procedure for programmes of activities” (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 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, coordinating/managing entities for PoAs, designated operational entities (DOEs), other stakeholders, the Board and the secretariat for registration of a CDM PoA, issuance of CERs and related actions.

2.2. Entry into force

6. Version 01.0 of this procedure enters into force on [DATE TO BE DETERMINED].

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. Notification of intention to seek CDM status

- 8. [DELETED]
- 9. [DELETED]
- 10. [DELETED]
- 11. [DELETED]
- 12. [DELETED]
- 13. [DELETED]
- 14. The coordinating/managing entity may notify the DNA(s) of the host Party(ies) of the proposed CDM PoA and the secretariat in writing of the intention to seek 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 proposed CDM PoA.

4.2. Participation requirements of host Party for CCS project activities [DELETED]

4.2.1. Expression of host Party agreement for CCS project activities [DELETED]

- 15. [DELETED]
- 16. [DELETED]
- 17. [DELETED]

4.2.2. Laws and regulations of host Party for CCS project activities [DELETED]

- 18. [DELETED]

4.3. Publication of programme design document

4.3.1. Submission of programme design document

- 19. The coordinating/managing entity of a proposed CDM PoA shall complete a PoA-DD, in accordance with the “CDM project standard for programmes of activities”, and submit it together with supporting documentation, to the designated operational entity (DOE) contracted by the coordinating/managing entity to perform validation of the proposed CDM PoA.

20. The DOE shall make the PoA-DD publicly available through a dedicated interface on the UNFCCC CDM website for global stakeholder consultation. The duration of the period for submission of comments for the global stakeholder consultation shall be 30 days except with respect to large-scale afforestation and reforestation (A/R) PoAs, for which the duration shall be 45 days.
21. When submitting the PoA-DD through a dedicated interface on the UNFCCC CDM website, the DOE shall also submit the following information to be made publicly available:
 - (a) The name of the proposed CDM PoA;
 - (b) The host Party(ies) of the proposed CDM PoA;
 - (b)_{bis} The letter of approval issued by the relevant(s) DNA(s) or information on the status of obtaining the letter of approval;
 - (c) The names of the project participants and the coordinating/managing entity listed in the PoA-DD. The DOE shall indicate with which of the project participants or the coordinating/managing entity the DOE has a contractual relationship for validation of the proposed CDM PoA;
 - (d) The estimated annual greenhouse gas (GHG) emission reductions or removal enhancements indicated in the PoA-DD;
 - (e) The approved baseline and monitoring methodology(ies) (hereinafter referred to as methodology(ies)) and, where applicable, the approved standardized baseline(s) that is(are) applied to the proposed CDM PoA;
 - (f) Reference to any previous publication of the PoA-DD for public comments on the UNFCCC CDM website;
 - (g) The proposed start date of the proposed CDM PoA;
 - (h) The report on the feedback provided by stakeholders during the local stakeholder consultation, the summary report of the comments received from local stakeholders during the local stakeholder consultation and report on how they have been taken into account;
 - (i) A summary of the environmental impact assessment report of the proposed CDM PoA, if applicable.
 - (j) The generic CPA-DD part of the PoA-DD, which specifies the generic information relevant to all CPAs¹ that may be included in the proposed CDM PoA. If the proposed CDM 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

¹ In this procedure, "CPA" and "CPA-DD" without prepositive "generic" mean they are of a specific-case CPA.

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;

- (i) [MOVED TO (j) CHAPEAU]
 - (ii) [DELETED]
 - (iii) [DELETED]
 - (k) The CPA inclusion template using the “Component project activity inclusion (CME inclusion) form” (CDM-CPA-INC-CME-FORM) if:
 - (i) It is indicated in a generic CPA-DD that the corresponding CPAs are deemed automatically additional in accordance with the “Guidelines on demonstration of additionality of microscale project activities”; and
 - (ii) The coordinating/managing entity intends to include such CPAs without validation by a DOE prior to inclusion.
22. If the DOE is accredited for the validation function in all sectoral scope(s)² to which the proposed CDM PoA is linked through the application of methodology(ies), the secretariat, through the CDM information system, shall make the PoA-DD publicly available on the UNFCCC CDM website. The period for submission of comments for global stakeholder consultation on the PoA-DD shall commence at midnight GMT subsequent to the publication of the PoA-DD. The CDM information system shall inform the DOE of the location of the PoA-DD 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 programme design document

4.3.2.1. Change of the coordinating managing/entity

23. When submitting a request for registration of the proposed CDM PoA the coordinating/managing entity shall be listed in the PoA-DD. The coordinating/managing entity shall have the contractual relationship with the DOE for validation of the proposed CDM PoA.
24. If the coordinating/managing entity that has a contractual relationship with the DOE for validation at the time of the publication of the PoA-DD for global stakeholder consultation has been replaced, the revised 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 coordinating/managing entity wishes to change the DOE after the publication of the 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

² 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.

proposed CDM PoA. The secretariat shall obtain the confirmation from both outgoing and incoming DOEs upon the receipt of the confirmation from both DOEs, the secretariat shall reflect the change on the UNFCCC CDM website.

25_{bis} From the date of change of the DOE reflected on the UNFCCC CDM website, the incoming DOE is responsible for all of the roles of a DOE in the validation, including requesting the withdrawal of a published PoA-DD, if applicable. The incoming DOE has the full responsibility of the validation outcome that will be submitted when requesting registration.

25_{ter} The incoming DOE will not need to republish 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 PoA-DD in its validation.

4.3.2.3. Change to design of programme of activities

26. If the design of the proposed CDM PoA has undergone changes determined by the DOE as significant after the publication of the PoA-DD, the DOE may seek guidance from the Board on whether a revised 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 and local stakeholders.

4.3.2.4. Application of standardized baseline whose selection is mandatory

28. If the 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 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 coordinating/managing entity shall revise the PoA-DD, applying the standardized baseline. In this case, the DOE shall publish the revised PoA-DD for global stakeholder consultation in accordance with paragraph 20–22 above.

4.3.2.5. Change of methodology or standardized baseline

29. If the coordinating/managing entity wishes to change the approved methodology, approved standardized baseline and/or the combination of methodologies that is(are) applied in the PoA-DD that has already been published for global stakeholder consultation, then:
 - (a) The coordinating/managing entity shall revise the PoA-DD accordingly;
 - (b) The DOE shall subsequently publish the revised PoA-DD for global stakeholder consultation in accordance with paragraphs 20–22 above, except when the following conditions apply:
 - (i) The change only involves the removal and no addition of methodologies and/or approved standardized baselines;

- (ii) The removal of the 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 PoA-DD applies the previous version of an approved methodology and/or an approved standardized baseline, and a request for registration of the proposed CDM 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 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 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, stakeholders³ and UNFCCC accredited observers may submit comments, in English, on the validation requirements for the proposed CDM 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:
 - (a) Be specific to the proposed CDM 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 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 for programmes of activities”.
- 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 coordinating/managing entity during the validation in accordance with the “CDM validation and verification standard for programmes of activities”.

4.4. Reporting of validation status

- 34. On the later of 30 June or 31 December, subsequent to the end of the period for submission of comments on the PoA-DD, and on each 30 June and 31 December thereafter, the DOE shall provide, through a dedicated interface on the UNFCCC CDM

³ For the purpose of this procedure all members of the public are considered to be stakeholders.

website, an update on the status of its validation activity, until it submits a request for registration of the proposed CDM 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 PoA-DD for the same proposed CDM 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 coordinating/managing entity, or the DOE is seeking further clarification to the responses received from the coordinating/managing entity. In this case, the DOE shall also provide a summary of the issues raised;
 - (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 coordinating/managing entity. In this case the DOE shall also provide an explanation on the length of time taken.
35. The secretariat shall inform the stakeholders, who submitted comments during the global stakeholder consultation for the proposed CDM 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 programme design document

36. At any time before the submission of a request for registration, the coordinating/managing entity may, through the DOE, withdraw the PoA-DD published for global stakeholder consultation. In this case, the DOE shall submit a request for withdrawal of the 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 PoA-DD shall be considered withdrawn and the secretariat shall mark the PoA-DD on the UNFCCC CDM website as "withdrawn".

4.6. Modalities of communication

37. The project participants of a proposed CDM 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 the proposed CDM PoA in accordance with paragraph 72 below, all official communication between the project participants and the Board or the secretariat for the specific proposed CDM PoA shall be conducted in accordance with the MoC statement with the exception of communications undertaken in accordance with paragraph 183 and 197 below.

39. The coordinating/managing entity shall submit to the DOE at the time of validation of the proposed CDM PoA a 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 point(s) the authority to:
- (a) Communicate in relation to requests for forwarding of CERs to individual accounts of the project participants (scope (a)); and/or
 - (b) Communicate in relation to requests for addition and/or voluntary withdrawal of the project participants and focal point(s), as well as changes to company names, legal status, contact details and specimen signatures (scope (b)); and/or
 - (c) Communicate on all other 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 or joint focal point role. 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.
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 participants's or the focal point's consent or instruction(s).
43. A project participant that is also a focal point for the same proposed CDM PoA may designate different authorized signatories for the coordinating/managing entity status and for the focal point status.
44. **[MOVED TO PARA. 41]**
- 44_{bis} The coordinating/managing entity may voluntarily indicate in the MoC statement the end-date of their participation in the proposed CDM PoA. The secretariat shall monitor the end-date of participation and mark the coordinating/managing entity as "withdrawn" on the UNFCCC CDM website from the next day of the end-date, provided that at least one coordinating/managing entity authorized by the DNA of a host Party to participate in the PoA remains. The coordinating/managing entity whose participation in the CDM PoA has ended may request inclusion as coordinating/managing entity of the same CDM PoA any time thereafter in accordance with paragraph 206(a) below.
45. The project participants shall not include or refer to private contractual arrangements in a 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 78–80 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 PoA-DD for the CDM PoA.

47. The secretariat shall publish the MoC statement on the respective CDM PoA webpage on the UNFCCC CDM website following the registration of the 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 point(s) and the DOE involved in the proposed CDM 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 PoA-DD for global stakeholder consultation of the proposed CDM PoA, seek guidance from the Board on the acceptability of a deviation from selected approved methodology or methodological tool, if the DOE, when performing validation for a proposed CDM PoA, or upon request from the coordinating/managing entity before the publication of the PoA-DD, finds that, due to a programme specific issue implying that a revision of the methodology would not be required to address the issue, 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 PoA uses standardized baselines.
50. Alternatively, if the DOE considers that a revision of the methodology would be required to address the 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 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 proposed CDM 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, that is, 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 methodology and/or technology or measure, 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 proposed CDM 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 proposed CDM 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 proposed CDM PoA, and the implementation of the activities through CPAs is integrated through the design of the proposed CDM PoA;⁴
 - (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:
 - 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 proposed CDM 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".

⁴ 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".

5. Registration of 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 PoA meets all relevant requirements in the “CDM project standard for programmes of activities” by following the relevant provisions of the “CDM validation and verification standard for programmes of activities” and other CDM requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for registration of the proposed CDM PoA by using the “CDM programme of activities registration request form” (CDM-PoA-REG-FORM 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 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 PoA and that the comments were considered by the DOE as authentic, that a request for registration has been submitted for the proposed CDM PoA, by sending them an e-mail to the addresses provided when they submitted the comments.
76. 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 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, that is, 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 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 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 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 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 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 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 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 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. **[DELETED]**
87. **For re-submission of a request for registration after the completeness check or the information and reporting check in accordance with paragraph 80 or 83 above respectively, the proposed CDM PoA may apply the same version of the baseline and monitoring methodology and/or the standardized baseline applied in the initial submission until the end of the 90th-day period after the initial notification of the negative conclusion of the completeness check or the information and reporting check. After this period, all re-submissions shall apply the version of the methodology and/or the standardized baseline valid for a new request for registration.**
88. The secretariat shall notify 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 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 for programmes of activities”, “CDM validation and verification standard for programmes of activities” 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 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 PoA, or at least three members of the Board, request a review of the request for registration, the secretariat shall:
- (a) Notify the coordinating/managing entity, and the DOE that validated the proposed CDM PoA, that a Party involved in the proposed CDM 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 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 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 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 coordinating/managing entity and the DOE shall either:
- (a) Respond by making any revisions that they deem necessary to the 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 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 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 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 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 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 CDM 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 coordinating/managing entity, and the DOE, and any revision to the 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 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 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 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 PoA, the secretariat shall register it as a CDM 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 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 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 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 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 coordinating/managing entity wish to request the registration of a propose CDM PoA that has been rejected by the Board, the validation activity by the same or a different DOE for the PoA shall restart, including the publication of a revised 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 coordinating/managing entity voluntarily wish to withdraw a proposed CDM PoA, of which the DOE is requesting for registration;⁵
 - (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 coordinating/managing entity in

⁵ In such cases the DOE shall process the request expeditiously.

accordance with appendix 1. In this case, the secretariat shall not mark the proposed CDM PoA as “withdrawn”, but shall block the unique reference number assigned to the withdrawn 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 mark the proposed CDM 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 CPA-DD to a DOE, after having ensured that the CPA and the CPA-DD meet the eligibility criteria for inclusion in the registered CDM PoA defined in the latest version of the registered PoA-DD and its generic CPA-DD part, based on, where appropriate, sample-based checks in accordance with the “Standard: Sampling and surveys for CDM project activities and programme of activities” and “Guideline: Sampling and surveys for CDM project activities and programme of activities”. The coordinating/managing entity may forward more than one CPA-DD at one time.
129. If the DOE confirms that the CPA meets the eligibility criteria for inclusion in the registered CDM PoA, it shall include the CPA in the registered CDM PoA by uploading the corresponding CPA-DD through a dedicated interface on the UNFCCC CDM website together with the “Component project activity inclusion form” (CDM-CPA-INC-FORM). Such uploads shall be grouped, shall not occur more frequently than once per month and shall not be submitted at the same time as the registration request for the CDM PoA.
- 129_{bis} The coordinating/managing entity may directly include a CPA that is deemed automatically additional in accordance with the “Methodological tool: Demonstrating additionality of microscale project activities” in a registered CDM PoA without validation by a DOE. To do this, the coordinating/managing entity shall include the CPA in the registered CDM PoA by uploading the corresponding CPA-DD through a dedicated interface on the UNFCCC CDM website together with the completed “Component project activity inclusion (CME inclusion) form” (CDM-CPA-INC-CME-FORM). The coordinating/managing entity may upload more than one CPA-DD at one time. Such uploads shall be grouped and not occur more frequently than once per month.
130. The CPA identified in the CPA-DD uploaded by the DOE or the coordinating/managing entity will be automatically included in the registered CDM PoA and displayed on the view page of that CDM PoA. The secretariat shall automatically notify the DOE, the coordinating/managing entity and the DNA of the change in the status of the CDM PoA, as applicable and shall assess, on a sample basis, the inclusion of CPAs.
- 130_{bis} For the CPAs directly included by the coordinating/managing entity in accordance with paragraph 129_{bis} above, the DOE contracted by the coordinating/managing to perform their first verification shall confirm that they comply with the version of the CDM PoA applicable when they were included, including the eligibility criteria for inclusion of CPAs

in the PoA and the applicable requirements, and if they do not, it shall exclude them from the PoA.

131. If an approved methodology and/or an approved standardized baseline that is/are applied to the registered CDM 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 section 6.3.1 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 the revision of the 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 the DNA of a Party involved in the registered CDM 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 registered CDM 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 review form” (CDM-CPA-R-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 CDM 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 for review of the CPA has been received from the DNA or a

Party involved, the secretariat shall accordingly notify the coordinating/managing entity, the DOE that confirmed that the CPA met the eligibility criteria for inclusion of CPAs in the registered CDM PoA in accordance with paragraph 129 or 130_{bis} above (hereinafter referred to as validating DOE) and the DNAs of all Parties involved. The coordinating/managing entity and the validating 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, taking into account any comments received from the coordinating/managing entity and the validating DOE, shall either:

- (a) Confirm the inclusion of the CPA in the CDM PoA; or
- (b) Exclude the CPA from the registered CDM PoA with immediate effect if it determines that the CPA was erroneously included in the registered CDM PoA; and

139_{bis} If the Board determines that the that the consideration of the request for review raises concerns regarding the processes used to include CPAs in the registered CDM PoA it shall initiate a full review of the registered CDM PoA.

140. If the Board initiates the full review referred to in paragraph 139_{bis}, it shall request the secretariat to contract a DOE, that has not performed validation, CPA inclusion or verification functions with regard to this registered CDM PoA, to review the CPAs that have been included in the registered CDM 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 validating 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 registered CDM PoA; and
- (b) Whether the compliance of each of the CPAs reviewed with the eligibility criteria for inclusion in the registered CDM PoA was adequately assessed by the validating DOE in accordance with the "CDM validation and verification standard for programmes of activities" 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 registered CDM PoA if it concludes that they have been erroneously included.

144. A CPA that has been excluded after having been identified as erroneously included in the CDM PoA may be re-included in a registered CDM PoA or registered as a CDM project activity. For re-inclusion of a CPA, the process in section 6.1 shall be followed.

For registration as a CDM project activity, the relevant CDM rules and regulations shall be applied.

145. Where, for any of the CPAs excluded in accordance with paragraph 139(b) or 143 above, the Board determines that the validating DOE failed to adequately assess their compliance with the eligibility criteria for inclusion in the registered CDM PoA in accordance with the “CDM validation and verification standard for programmes of activities”, 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.

145_{bis} If any of the excluded CPAs had been directly included by the coordinating/managing entity in accordance with paragraph 129_{bis} above, it shall no longer directly include CPAs in the registered CDM PoA from the date of the decision by the Board to exclude the erroneously included CPAs, but shall follow the process of CPA inclusion by a DOE in accordance paragraphs 128–129 above.

6.2. Voluntary exclusion of component project activities from programme of activities

146. Any time after the inclusion of a CPA in a registered CDM PoA, the coordinating/managing entity of the registered CDM PoA may voluntarily request the exclusion of the CPA from the registered CDM 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.

147_{bis} A CPA that has been excluded from a registered PoA may be re-included in a registered CDM PoA or registered as a CDM project activity. For re-inclusion of a CPA, the process in section 6.1 above shall be followed. For registration as a CDM project activity, the relevant CDM rules and regulations shall be applied.

6.3. Changes to registered 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 PoA:
- (a) Temporary deviation from the monitoring plan as described in the registered CDM PoA-DD or CPA-DD, or the applied methodology or standardized baseline;
 - (b) Permanent changes:
 - (i) Corrections;

- (ii) Changes to the start date of the crediting period of the CPA;
- (iii) Inclusion of a monitoring plan to the registered PoA-DD or CPA-DD, if a monitoring plan was not included at the time of their registration/inclusion;
- (iv) Permanent changes to the monitoring plan as described in the registered PoA-DD, CPA-DD, or the applied 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 programme design as described in the registered PoA-DD;
- (vi) Changes to the project design as described in the registered generic CPA-DD or specific-case CPA-DD;
- (vii) Voluntary update of the applied methodology to a later valid version of the same methodology or voluntary change to another methodology.

149. **[DELETED]**

150. For registered 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 registered CDM PoA is revised or replaced subsequent to being placed on hold;
 - (ii) If the revision of the eligibility criteria of a registered CDM PoA is initiated by the Board at any time during the lifetime of the registered CDM PoA if an issue related to environmental integrity is identified;
 - (iii) If the use of positive lists or related provisions is introduced or modified based on the “Methodological tool: Demonstration of additionality of small-scale project activities” or “Methodological tool: Demonstration of additionality of microscale project activities”;
- (c) Removal of methodologies and/or standardized baselines from the registered CDM PoA;
- (d) Addition or change of technologies/measures with or without addition or change of applied methodologies⁶ in the registered CDM PoA-DD as follows:
 - (i) Changes that allow a shift to more efficient, less GHG-intensive or at least equivalent technologies/measures;⁷

⁶ If the change leads to the application of a new version of the applied methodology or a new methodology, 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 registered technology/measure (e.g. addition or change of Type I methodologies in a registered PoA primarily applying Type III methodologies).⁸
- 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 modify⁹ 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 methodologies and, where applicable, the approved standardized baselines);
 - (b) The modified or added technologies/measures were either: (i) already included in the registered PoA-DD and the eligibility criteria for these technologies/measures had been specified in the registered PoA-DD; 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.¹⁰
- 152. In the cases referred to in paragraph 148(b)(vi) above, the request for approval of post-registration changes to 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 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 registered CDM PoA to reflect the change, and include them in the new version of the PoA-DD including its generic CPA-DD part.

⁷ 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.

⁸ 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.

⁹ Modifications to technologies/measures may include changes to the effective output capacity.

¹⁰ 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 registered CDM PoA.
155. The DOE shall submit a request for approval by the Board of changes to the registered CDM PoA in accordance with paragraphs 160–161 below (prior-approval track) or together with the next request for issuance in accordance with section 8.1.1 below (issuance track). The choice of whether the DOE submits the request for approval via the prior-approval track or the issuance track shall be at the discretion of the coordinating/managing entity.
- (a) [DELETED]
 - (b) [DELETED]
 - (c) [DELETED]
156. For submitting a request for approval by the Board of changes to the registered CDM PoA under the prior-approval track, the coordinating/managing entity may appoint any DOE for the validation of the changes. The coordinating/managing entity may also appoint this DOE to perform a verification for the same registered CDM PoA if it has not performed other validation activities for the registered CDM PoA (i.e. registration, renewal of crediting period and inclusion of CPAs in the registered CDM PoA), unless the DOE is authorized by the Board to do so in accordance with paragraphs 209–212 below.
157. Where more than one of the changes referred to in paragraph 148 above have occurred or are expected to occur to the registered CDM PoA after its registration, the DOE shall, wherever possible, combine such changes or addition into one request for approval.
158. [DELETED]
159. For both the prior-approval track and the issuance track, the DOE shall be accredited for the validation function in the sectoral scope(s) of the registered CDM 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 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 PoA-DD including its revised generic CPA-DD part, (in both clean and track-change versions;
 - (d) [DELETED]
 - (e) Letters of approval by the DNAs of the additionally included host Parties in the registered CDM PoA, as applicable;
 - (f) Supplemental documentation, as appropriate.

161_{bis} For post-registration changes to a CPA, the change to the CPA shall be notified to the secretariat applying mutatis mutandis the provisions in paragraph 160 and 161 above.

6.3.2. Processing requests for approval of changes and notifications of changes

162. The secretariat shall maintain a publicly available list of all submitted requests for approval of changes to a registered CDM PoA 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 sampling approach and operational plans, that is, 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 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 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 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 the coordinating/managing entity, it shall request the DOE by e-mail, copying 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 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 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.

173_{bis} A notification of change to a CPA that is selected for assessment, based on the sampling approach, shall apply mutatis mutandis the provisions for requests for approval of changes in paragraph 162–173 above.

173_{ter} A notification of change to a CPA that is not selected for assessment, based on the sampling approach, shall apply mutatis mutandis the provisions in paragraph 162, 166, 171, 172 and 173 above.

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 registered CDM PoA;

- (b) Approve the changes and allow subsequent requests for issuance for the registered CDM PoA;
 - (c) Reject the proposed changes but allow subsequent requests for issuance for the registered CDM PoA only if it is implemented as described in the registered PoA-DD.
- 176. For the changes referred to in paragraphs 148(a) and 148(b)(i)(ii)(iii) and (vii) 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 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 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 PoA-DD, and the validation or assessment opinion by the DOE, as applicable, publicly available on the UNFCCC CDM website. This version of the PoA-DD shall be applied for future requests for issuance or for inclusion of new CPAs in the registered CDM PoA.
- 180. The CPAs that were included before the changes to the registered CDM 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 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 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 registered CDM 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 the focal point(s) of the respective registered CDM 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 a 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 point(s) 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 point(s) 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 duly signed by and through the coordinating/managing entity 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.
187. The focal point(s) for scope (b) who submit a new MoC statement in accordance with paragraph 197 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 registered CDM PoA or multiple changes affecting the same registered CDM 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 point(s) or project participants shall provide written evidence that they are authorized to sign on behalf of the respective entities.
189. The secretariat shall process requests for changes to MoC statements following the steps described in each of the sections 6.4.2–6.4.5 below. Wherever specific steps are not described, the secretariat shall review the requests on the basis of compliance with the documentary requirements. In the absence of clear evidence to support a specific request, the secretariat may request additional information prior to approving or rejecting the request. In the case of a rejection, the secretariat shall provide reasons for the rejection and additional guidance as appropriate.
190. The secretariat shall make detailed guidance available on the CDM Registry section of the UNFCCC CDM website on how to request changes to the project participants and focal points.
191. The secretariat shall display the effective dates of updated MoC statements on the corresponding registered CDM 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, the project participants or focal point(s) 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 point(s).
193. The secretariat may engage the DNA(s) of the Parties involved in the respective registered CDM PoA whenever issues resulting from insolvency and/or disputes over the designation of focal point(s) 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 point(s) and the project participants, temporarily put on hold the forwarding of CERs for the registered CDM PoA for which the project participants or the focal point(s) 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 registered CDM 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. **[DELETED]**
197. The project participants of a registered CDM PoA may change the designation of any of the focal point(s) 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(s) in accordance with paragraph 197 above, the coordinating/managing entity 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(s) that is not a project participant is added to represent the project participants for any or for all scopes of authority, the coordinating/managing entity 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. **[DELETE]**
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 registered CDM 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 CDM 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 for programmes of activities".
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 registered 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 for programmes of activities” 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 PoA have changed its registration, 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;
- (e) Addition of, or change to, the end-date of participation of a project participant in the registered CDM PoA.

207. A project participant added to a registered CDM 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 coordinating/managing entity of a registered CDM PoA shall prepare (a) monitoring report(s) in accordance with the “CDM project standard for programmes of activities”, 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 for the registered CDM PoA (including the renewal of the registered CDM PoA and the inclusion of a CPA in the PoA) wishes to perform a verification for the same registered CDM 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.

209_{bis} When submitting the request for authorization, the DOE shall justify that it would be reasonable for it to do the verification, and attach any relevant information for the justification. Such information shall include, but not be limited to:

(a) A demonstration that there is a barrier to accessing validation/verification services of DOEs in the host country of the registered CDM PoA based on the number of requests for registration and issuance submitted for the CDM project activities and PoAs hosted by that country over the last 12 months in that country;

(b) Specific measures that the DOE will implement to safeguard its impartiality and integrity in undertaking the verification, including, but not limited to, the exclusion from the verification of those individuals who participated in the validation as a member of the validation team or technical review team, and the evaluation of the impartiality and conflict of interest of the individuals that will participate in the verification;

209_{ter} The Board shall decide on the request, taking into account any potential impacts that such a decision could have on the outcome of the verification. The Board may analyse whether the DOE has provided evidence that it will implement measures to safeguard the impartiality and integrity in undertaking the verification, and any other specific circumstances that would justify the authorization of the Board, such as the barriers to access other DOEs to perform the verification.

210. [DELETED]

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, if to be conducted.

213_{bis} The DOE shall open a 14-day commenting period after the publication of the monitoring report for the first monitoring period for the registered CDM PoA to allow for comments from stakeholders on any impacts that may have been triggered by the implementation of the registered CDM PoA. If multiple separate monitoring reports for the first monitoring period for the registered CDM PoA are prepared in accordance with the "CDM project standard for programmes of activities", the DOE shall open a 14-day commenting period for the monitoring report of each batch. Comments shall be supported with evidence. For submission and treatment of comments, the process in section 4.3.3 above shall apply *mutatis mutandis*.

214. After publication of the monitoring report, 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 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 registered CDM PoA that the monitoring report concerns from a list of registered CDM 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 registered CDM PoA is linked through the application of 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 registered CDM PoA;
 - (b) A link to the monitoring report;
 - (c) The name of the DOE contracted by the coordinating/managing entity for the verification;
 - (d) The name of the DOE that performed the validation of the registered CDM PoA, and, if this DOE has been authorised by the Board to perform the verification of the registered CDM PoA, a reference to the meeting report where the authorisation was granted.

7.1_{bis} Specific requirements on changes of designated operational entity

217_{bis} If the coordinating/managing entity wishes to change the DOE after the publication of the monitoring report, 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 issuance for the registered CDM PoA. The secretariat shall obtain the confirmation from both outgoing and incoming DOEs. Upon the receipt of the confirmation from both DOEs, the secretariat shall reflect the change on the UNFCCC CDM website.

217_{ter} From the date of change of the DOE reflected on the UNFCCC CDM website, the incoming DOE is responsible for all the roles of DOE in the verification, including requesting the withdrawal of a published monitoring report, if applicable. The incoming DOE has the full responsibility of the verification outcome that will be submitted when requesting issuance.

217_{quater} The incoming DOE will not need to republish the monitoring report in accordance with paragraphs 213 above but, for the first verification for the registered CDM PoA, shall

take into account the comments received during the global stakeholder consultation on the monitoring report conducted in accordance with paragraph 213_{bis} above.

7.2. Reporting of status of registered programme of activity

218. At two years subsequent to the registration of a CDM PoA, the coordinating/managing entity shall provide an update of the status of its implementation of the registered CDM PoA, unless a DOE contracted by the coordinating/managing entity to perform the verification has made a monitoring report for the registered CDM PoA publicly available in accordance with paragraph 213 above. 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 registered CDM PoA is under implementation, but has not reached the stage of monitoring of GHG emission reductions or removal enhancements. In this case the coordinating/managing entity shall also provide an update of the status at 180-day intervals thereafter;
 - (b) The registered CDM PoA has not yet been implemented, but is still planned to be implemented. In this case the coordinating/managing entity shall also provide an update of the status at 180-day intervals thereafter;
 - (c) The registered CDM PoA has been implemented, but the coordinating/managing entity has not yet decided to proceed with the request for issuance stage;
 - (d) The implementation of the registered CDM PoA has been cancelled;
 - (e) Any other reason for not having submitted a monitoring report for the registered CDM PoA.
219. On the later of 30 June or 31 December, subsequent to the publication of the monitoring report, and on each 30 June and 31 December thereafter, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update of the status of its verification activity, until it submits a request for issuance of CERs for the corresponding monitoring period for the registered CDM 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 coordinating/managing entity. In this case the DOE shall also provide a summary of the issues raised;
 - (d) The DOE is still performing the verification activity and it has not yet sent any corrective action or clarification requests to the coordinating/managing entity. In this case the DOE shall also provide an explanation on the length of time taken.

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

220. [DELETED]

221. [DELETED]

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 for programmes of activities” and certifying the quantity of CERs claimed in the monitoring report, by following the relevant provisions of the “CDM validation and verification standard for programmes of activities” 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. [DELETED]

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

- (a) The request for issuance for a specified monitoring period shall either:
 - (i) Relate to all CPAs included in the registered CDM PoA; or
 - (ii) In the case of multiple separate monitoring reports for a monitoring period prepared in accordance with the "CDM project standard for programmes of activities ", relate to all CPAs included in the batch of CPAs that the request covers, out of all the batches of CPAs in the registered CDM PoA;
- (b) The monitoring periods shall be consecutive. CPAs shall be included in issuance requests in a consecutive manner, that is, a CPA can be included in a request for issuance for the registered CDM 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 registered CDM 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 registered CDM PoA for the previous monitoring period.

225. If the DOE submits changes to a registered CDM PoA for acceptance by the Board under the issuance track in accordance with paragraph 155 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, that is, 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 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.
- 228_{bis} If a "comments annex" referred to in the "CDM validation and verification standard for programmes of activities", is attached to the verification report, the secretariat shall forward it to the DNAs of the Parties involved.
229. Upon conclusion of the completeness check stage, the secretariat shall notify 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 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 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 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 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 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 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 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 registered CDM 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 within 42 days of the date of publication of the request for issuance for the registered CDM 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.

237_{bis} For a multi-country registered CDM PoA, the request for review raised by a host Party of a programme of activities shall affect only the component project activities in the territory of that Party.

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 for programmes of activities”, “CDM validation and verification standard for programmes of activities” 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 section 8.1.3 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 in accordance with decision 3/CMP.1, annex, paragraph 66.

(a) [MOVED TO CHAPEAU OF PARA. 241]

(b) [DELETED]

242. The secretariat shall inform the coordinating/managing entity of the Board’s instruction to the CDM registry administrator and of any share of proceeds payable by 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 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 coordinating/managing entity, the secretariat shall forward the CERs to 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 PoA, or at least three members of the Board request a review of the request for issuance, the secretariat shall:
- (a) Notify the coordinating/managing entity, and the DOE that verified and certified the claimed CERs, that a Party involved in the registered CDM 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 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 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 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 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 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 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 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 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 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 accordance with decision 3/CMP.1, annex, paragraph 66:
- (a) **[MOVED TO CHAPEAU OF PARA. 263]**
 - (b) **[DELETED]**
264. The secretariat shall inform the coordinating/managing entity of the Board's instruction to the CDM registry administrator and of any share of proceeds payable by 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 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 coordinating/managing entity, the secretariat shall forward the CERs to 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 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 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 coordinating/managing entity voluntarily wishes to withdraw the request for issuance for the specified monitoring period;¹¹
 - (b) The DOE has revised its verification report and/or certification report based on new insights or information.

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 registered CDM 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.

¹¹ In such cases the DOE shall process the request expeditiously.

277. If the coordinating/managing entity wishes 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; or decide whether an on-site inspection is necessary in order to duly perform its verification by following the relevant provisions of the validation and verification standard. After the verification, the DOE may resubmit its request for issuance.

8.4. Addressing non-permanence in CCS project activities [DELETED]

278. [DELETED]
279. [DELETED]
280. [DELETED]
281. [DELETED]
282. [DELETED]
283. [DELETED]
284. [DELETED]
285. [DELETED]
286. [DELETED]
287. [DELETED]

9. Renewal of crediting period

9.1. General requirements

288. Crediting period(s) are defined only at the CPA level of a CDM PoA and for each CPA individually. The PoA, as the framework, is to be renewed every seven years (every 20 years for A/R PoAs) maximum three times, that is, maximum 28 years in total (maximum 60 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 for programmes of activities".
289. In section 9, "renew/renewal of crediting period of registered CDM PoA" shall be read as "renew/renewal of a registered CDM PoA" in the context of CDM 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 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.

290^{bis}. A registered CDM PoA for which the coordinating/managing entity has failed to comply with the requirement of updating the status of their implementation referred to in paragraph 218 above may proceed with a request for renewal of the registered CDM PoA, and this does not have any impact on the outcome of validation for the purpose of renewal of the registered CDM PoA.

9.2. Notification of intention of renewal of crediting period

291. The coordinating/managing entity wishing to renew the crediting period of a registered CDM 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 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 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 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 coordinating/managing entity shall update the PoA-DD including its generic CPA-DD part in accordance with the “CDM project standard for programmes of activities”. In doing so, the coordinating/managing entity shall ensure that any changes to the list of the coordinating/managing entity in the PoA-DD have been notified to the secretariat in accordance with section 6.4 above.
294. The coordinating/managing entity shall submit the updated PoA-DD to a DOE for its validation. For this purpose, the coordinating/managing entity may not appoint a DOE that has performed a verification for the same registered CDM 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 PoA-DD cannot apply the methodology or methodological tool applied in the registered PoA-DD because the registered CDM 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 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 CDM PoA, the coordinating/managing entity shall update the eligibility criteria for inclusion of CPAs in the registered CDM PoA in accordance with the “CDM project standard for programmes of activities”, 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 PoA-DD meets all relevant requirements in the “CDM project standard for programmes of activities” by following the relevant provisions of the “CDM validation and verification standard for programmes of activities” and other CDM requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for renewal of crediting period of the registered CDM PoA using the “Renewal of crediting period request form” (CDM-REN-FORM) together with the updated 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 registered CDM PoA. The DOE, the coordinating/managing entity and the DNA are automatically notified of the change in the status of the registered CDM 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 registered CDM 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-RENR-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 for programmes of activities”, “CDM validation and verification standard for programmes of activities” or any other applicable CDM requirements.

9.3.4. Finalizing request for renewal of crediting period

308. The crediting period of the registered CDM 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 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-RENEW-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 coordinating/managing entity may combine a request for approval of any types of changes to the PoA 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 PoA-DD with its generic CPA-DD part (in both clean and track-change versions);

- (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 for programmes of activities”;
 - (e) Letters of approval by the DNAs of the added host Parties in the registered 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 coordinating/managing entity shall, through the DOE, submit an updated PoA-DD and CPA-DD(s), and the DOE shall confirm that 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 PoA-DD and its confirmation in accordance with paragraph 316 above.

10. Voluntary deregistration of project activity [DELETED]

10.1. Submission of request for deregistration [DELETED]

318. [DELETED]

319. [DELETED]

10.2. Processing of request for deregistration [DELETED]

320. [DELETED]

321. [DELETED]

322. [DELETED]

323. [DELETED]

10.3. Effects of deregistration [DELETED]

324. [DELETED]

325. [DELETED]

326. [DELETED]

327. [DELETED]

328. [DELETED]

10.4. Administration period [DELETED]

329. [DELETED]

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 CDM PoAs and establishes specific rules applicable to afforestation and reforestation (A/R) PoAs.

2. Share of proceeds and registration fee

3. The share of proceeds to cover administrative expenses for CDM PoAs is:
 - (a) USD 0.10 per certified emission reduction (CER) issued for the first 15,000 tonnes of CO₂ 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 CO₂ equivalent for which issuance is requested in a given calendar year;
 - (c) No share of proceeds shall be due for CDM PoAs hosted in least developed countries. In the case of CDM 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. **[DELETED]**
5. **If a proposed CDM PoA only applies small-scale methodologies, the registration fee shall be USD 10,000, otherwise the registration fee shall be USD 20,000. For each CPA which is included subsequently, no registration fee is payable.**
6. **[DELETED]**
7. **[DELETED]**
8. **[DELETED]**
9. No registration fee shall be payable for proposed CDM PoAs hosted exclusively in least developed countries. The registration fee for CDM PoAs hosted not exclusively in least developed countries shall be the same rate referred to in paragraph 5 above. 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 CDM PoAs in total.¹ The application of this exemption shall be based on the number of registered CDM PoAs in the country on the date of the submission of the request for registration. If a CDM PoA is hosted in multiple countries, no registration fee shall be payable until after the date of the first issuance of CERs if all host Parties are countries with fewer than 10 registered CDM PoAs.
11. The registration fee shall be reimbursed in full if the DOE withdraws the request for registration of the proposed CDM PoA prior to the date when the secretariat publishes the request for registration on the UNFCCC CDM website. No reimbursement of the registration fee shall be made in any other circumstances.
12. [DELETED]
13. The registration fee shall be deducted from the share of proceeds due for the issuance of CERs.
14. [MOVED TO PARA. 11 ABOVE]
- 3. Specific provisions for afforestation/reforestation programmes of activities**
15. [DELETED]
16. The share of proceeds to cover administrative expenses for A/R CDM PoAs shall be calculated based on one of the following:
 - (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,² and the highest among the sums of the issuances and reversals since the start of the project calculated for each previous verification period.
17. [DELETED]
18. [DELETED]
19. If an A/R CDM PoA only applies small-scale A/R methodologies, the registration fee shall be USD 10,000, otherwise the registration fee shall be USD 20,000.

¹ 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 CDM PoA post-registration will also be considered for the calculation.

² 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 CDM programme of activity (PoA), or

registered CDM 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 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 coordinating/managing entity, 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 CDM PoA in situations where the request for registration does not contain sufficient information to demonstrate to a reasonable reader that the proposed CDM PoA complies with the applicable CDM rules and requirements for the registration of proposed CDM PoAs.
12. The Board shall reject the request for registration if it:
 - (a) Contains information which indicates that the proposed CDM 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 for programmes of activities” or the “CDM validation and verification standard for programmes of activities”;
 - (c) Contains contradictory facts regarding the compliance of the proposed CDM 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 coordinating/managing entity within the PoA-DD, 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 coordinating/managing entity 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 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 the coordinating/managing entity 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 CDM PoA has not complied with the applicable requirements for operating and monitoring registered CDM 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 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 coordinating/managing entity 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 the coordinating/managing entity 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 PoA complies with the applicable CDM rules and requirements for the registration of 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 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 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 coordinating/managing entity within the 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 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 the coordinating/managing entity 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 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 coordinating/managing entity 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 coordinating/managing entity 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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