

**CDM-EB86-AA-A06**

## Information note

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# Development of specific simplified project-cycle forms

Version 01.0



**United Nations**  
Framework Convention on  
Climate Change

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## COVER NOTE

### 1. Procedural background

1. The Board agreed, via its 2015 management plan (CDM-EB81-A01)<sup>1</sup> and its 2015 workplan (CDM-EB82-A01), to develop specific simplified project-cycle forms.
2. With this mandate, the secretariat has developed 11 forms (along with instructions for filling out the forms) under this project, and all these developed forms are now publicly available for the use of stakeholders.

### 2. Purpose

3. The purpose of this information note is to update the Board on the work done under this project against the Board mandate.

### 3. Key issues and proposed solutions

4. In the absence of official forms for certain CDM processes (such as validation, verification (projects and programmes), monitoring of programmes of activities (PoAs) and validation of post-registration changes), stakeholders are either using existing forms for other processes (such as the monitoring report form for CDM projects being used for PoAs) or their own internal forms for reporting (such as a self-developed validation and verification report form used by the designated operational entities (DOEs)). Under this practice, it has been observed that either the requisite information is not reported accurately or the reporting is overly complex. Thus, through this project the Board mandated the secretariat to develop simplified and streamlined forms for project participants (PPs) and the DOEs along with instructions for filling out such forms.

### 4. Impacts

5. The forms will reduce transaction costs (through reduced time and effort required) related to developing/assessing CDM projects/PoAs.
6. PP/DOE reporting practices (e.g. transparency and consistency) will be improved, which will result in outcomes such as increased efficiency in the registration and issuance processes (e.g. increased rate of acceptance of new submissions).

### 5. Subsequent work and timelines

7. This work has been completed against the Board mandate. No further work is envisaged.

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<sup>1</sup> Table 2, Objective 1(a), activity – “Simplification of the project submission, registration and issuance processes and further opportunities for streamlining”

## **6. Recommendations to the Board**

8. The secretariat recommends that the Board take note of the information contained in this document.

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## **1. Introduction**

1. In the absence of official forms for certain CDM processes (such as validation, verification (projects and programmes), monitoring of programmes of activities (PoAs) and validation of post-registration changes), stakeholders are either using existing forms for other processes (such as the monitoring report form for CDM projects being used for PoAs) or their own internal forms for reporting (such as a self-developed validation and verification report form used by the designated operational entities (DOEs)). Under this practice, it has been observed that either the requisite information is not reported accurately or the reporting is overly complex. Thus, through this project the Board mandated the secretariat to develop simplified and streamlined forms for project participants (PPs) and the DOEs along with instructions for filling out such forms.
2. The secretariat has developed 11 forms under this project along with instructions for filling them out, and all these developed forms are now publicly available for stakeholder usage and applications. Please refer to section 2.4 below for a detailed discussion on the validity of the forms.
3. The following sections detail the steps followed during the development of the specific simplified project-cycle forms and the progress made.

## **2. Development of forms**

### **2.1. Review of regulatory requirements and current practices**

4. As a first step, a review was conducted on the various types of forms used by stakeholders, including: (i) monitoring reports and reporting practices by the PPs; and (ii) validation and verification reports and reporting practices by the DOEs. A review of the CDM requirements was also conducted, in particular the validation and verification standard (VVS), project standard (PS), project cycle procedure (PCP) and Standard for demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programmes of activities.
5. Based on the above review, draft versions of the forms were designed taking into consideration the reporting practices followed by stakeholders and the applicable CDM requirements. To provide flexibility in reporting, standardization of the validation and verification forms to be used by the DOEs was focused on the reporting of the findings and how the DOE has arrived at its validation or verification opinion. To support its reporting, the DOE can use relevant information, including tables, graphs and annexes such as the internal validation or verification protocol that all DOEs are using.

### **2.2. Stakeholder consultation**

6. Each draft form developed under this project was submitted for stakeholder consultation through e-mails and teleconferences. As most of the forms developed under this project were specific for the use of the DOEs (10 out of 11), all these draft forms were shared with the DOEs for their inputs through the AE/DOE Forum. Inputs from other stakeholders were sought through the circulation of the developed forms among key stakeholders such as the Project Developer Forum (PDF), PoA Working Group and the World Bank.

7. After incorporating the inputs received during these stakeholder consultations, the developed forms were further revised and then made publicly available on the UNFCCC CDM website.

### 2.3. Developed forms and their publication dates

8. The developed forms and the dates when they were published are as follows:

**Table 1. Forms and the publication date**

No.	Title	Initial Publication	Board meeting report
1.	CDM-VAL-FORM - Validation report form for CDM project activities (version 01.0)	23 March 2015	CDM-EB83
2.	CDM-VCR-FORM - Verification and certification report form for CDM project activities (version 01.0)	23 March 2015	CDM-EB83
3.	CDM-PRCV-FORM - Validation report form for post-registration changes for CDM project activities (version 01.0)	23 March 2015	CDM-EB83
4.	CDM-RCP-FORM - Validation report form for renewal of crediting period for CDM project activities (version 01.0)	23 March 2015	CDM-EB83
5.	CDM-PoA-MR-FORM - Monitoring report form for CDM programme of activities (version 01.0)	1 April 2015	CDM-EB83
6.	CDM-PoA-VAL-FORM - Validation report form for CDM programme of activities (version 01.0)	4 May 2015	CDM-EB84
7.	CDM-CPA-VAL-FORM - Validation report form for CDM component project activities (version 01.0)	4 May 2015	CDM-EB84
8.	CDM-PoA-VCR-FORM - Verification and certification report form for CDM programme of activities (version 01.0)	5 June 2015	CDM-EB85
9.	CDM-PoA-PRCV-FORM - Validation report form for post-registration changes for CDM programme of activities (version 01.0)	5 June 2015	CDM-EB85
10.	CDM-PoA-REN-FORM - Validation report form for renewal of programme of activities (version 01.0)	3 August 2015	CDM-EB86
11.	CDM-CPA-RCP-FORM - Validation report form for renewal of crediting period of component project activities (version 01.0)	3 August 2015	CDM-EB86

### 2.4. Validity of published forms

9. In accordance with paragraphs 2(a) and 3 of the “Transitional measures from version 07.0 to version 09.0 of the PS, VVS and PCP” available at <[https://cdm.unfccc.int/Reference/regulatory\\_revision\\_olddocs.html](https://cdm.unfccc.int/Reference/regulatory_revision_olddocs.html)>, the new forms for validation and verification reports on the UNFCCC CDM website are mandatory only if the submission package is in accordance with version 09.0 of the PS, VVS and PCP. If the submission package is in accordance with version 07.0 of the same documents, the following is applicable:

- (a) DOEs may use their own validation report forms if:
  - (i) The request for registration using version 07.0 of the PS, VVS and PCP is submitted on or before 26 November 2015 (the end of the grace period); and
  - (ii) The corresponding project design document (PDD) or programme design document (PoA-DD) for the request for registration has been published for global stakeholder consultation before 1 April 2015;
- (b) DOEs may use their own verification and certification report forms if:
  - (i) The request for issuance using version 07.0 of the PS, VVS and PCP is submitted on or before 26 November 2015; and
  - (ii) The corresponding monitoring report for the request for issuance has been published before 1 April 2015;
- (c) Further, DOEs may use their own validation and verification and certification report forms for a request for registration and issuance based on version 09.0 of the PS, VVS and PCP if the submission is made before the end of the transitional period (i.e. up to and including 26 November 2015) and if their own forms cover all requirements in version 09.0 of the PS, VVS and PCP;
- (d) The publication of a monitoring report for a request for issuance for a PoA has to be based on form CDM-PoA-MR-FORM – the monitoring report form for CDM PoAs (version 01.0) as of 1 April 2015 onwards.

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### Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
01.0	28 September 2015	Initial publication as an annex to the annotated agenda of EB 86.
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