



**Issuance - Information and Reporting checklist
(Version 2.0)**

Version 2.0 of the Information and Reporting checklist was published in June 2010. The revision on this version of checklist includes the following:

1. Items including phased-implementation delay, calibration information, and application of relevant guidelines in case of calibration delay as per VVM 01.2 have been introduced and updated in Verification report section;
2. References to Deviations, Revision of monitoring plan and Notification of changes of PDD have been introduced in the Monitoring report and Verification report sections;
3. The previous requirement of reporting monitored parameters at required intervals in the Monitoring report has been moved to the Spreadsheet section. Correspondingly, the Monitoring report now requires to report the values of the monitored parameters only;
4. Information including Implementation status, Monitoring systems/procedures and Calibration) has been fine-tuned in accordance with the Monitoring Report Form published in EB 54;
5. Minor editorial changes for clarity.

Information and Reporting Check Checklist - Issuance				
	EB 48 Annex 68	Y/N	Remarks	Compliance Check
1. Monitoring Report				
1.1 Implementation status	10 (a)i		EB 54 Annex 34	Does the monitoring report contain the implementation status of the project (including brief description of the installed technology and equipments, relevant dates of project activity e.g. date of construction, commissioning, continued operation periods, etc.) during the monitoring period under consideration?
1.2 Deviations	10 (a)vi		EB 54 Annex 34	Does the monitoring report contain reference to the deviation if a deviation prior to submitting request for issuance is requested and approved by the Executive Board for the monitoring period in consideration?
1.3 Revision of Monitoring Plan			EB 54 Annex 34	Does the monitoring report contain reference to the revised monitoring plan if a request for revision of monitoring plan is sought and approved by the Executive Board?



1.4	Notification or Change of PDD		EB 54 Annex 34	Does the monitoring report contain reference to the approved revised PDD if a notification or request for approval of changes from the project activity as described in the registered PDD is sought and approved by the Executive Board?
1.5	Monitoring systems/procedures	10 (a)ii	EB 54 Annex 34	Does the monitoring report contain description of the monitoring systems, quality assurance and quality control system employed by the project activity, data collection procedures (information flow including data generation, aggregation, recording, calculation and reporting), organizational structure, roles and responsibilities of personnel, emergency procedures for the monitoring system, and line diagrams showing all relevant monitoring points)?
1.6	Values of parameters		EB 54 Annex 34	Does the monitoring report contain the values of the monitored parameters?
1.7	Calibration	10 (a)iv	EB 54 Annex 34	Does the monitoring report contain information on calibration of monitoring instruments (frequency, relevant dates of calibration and validity) as specified by the monitoring methodology and the monitoring plan?
1.8	References	10 (a)v		Does the monitoring report contain emission factors, IPCC default values, and other reference values used in the calculation of emission reductions?
1.9	Calculations	10 (a)vii		Does the monitoring report contain calculations of baseline emissions, project emissions, leakage (if any), and emission reductions, including reference to formulae and methods used?
1.10	Comparison of CERs	10 (a)viii		Does the monitoring report contain a comparison of the actual CERs claimed in the monitoring period with the estimate in the PDD, and explanation on any significant increase?
2. Spreadsheet		EB 48 Annex 68		



2.1 Parameters			Does the spreadsheet contain all parameters required to be monitored and reported at the intervals required by the monitoring plan and the applied methodology?
2.2 Formulae	10 (b)ii		Does the spreadsheet contain the formulae of calculation that are shown in the spreadsheet cells whenever possible?
2.3 Explanation	10 (b)iii		Does the spreadsheet contain any other explanation with regard to application of formulae in the spreadsheet?
3. Verification Report	VVM (v.01.2)		
3.1 Team	para.221 (b)		Does the verification report provide details of the verification team (e.g. name, function)?
3.2 Process and Scope	para. 221 (a)		Does the verification report provide a summary of the verification process and the scope of verification?
3.3 Findings and on-site visit	para.221(c)		Does the verification report provide the findings of the desk review and site visit? (If an on-site visit is not conducted, the DOE shall justify the rationale of the decision).
3.4 Implementation status	para.198 (a)		Does the verification report describe the implementation status of the project? (For project activities that consist of more than one site, the report shall clearly describe the status of implementation and starting date of operation for each site. For CDM project activities with phased implementation, the report shall state the progress of the proposed CDM project activity achieved in each phase under verification).
3.5 Phased-implementation delay	para.198 (a)		Does the verification report describe the reasons and present the expected implementation dates if there is a phased-implementation delay?



3.6 Implementation of project	para.196	Does the verification report provide assessment that all physical features of the proposed CDM project activity proposed in the registered PDD are in place and that the project participant has implemented and operated the proposed CDM project activity as per the registered PDD or the approved revised PDD ?
3.7 Deviations	para. 203	Does the verification report contain reference to any deviation prior to submitting request for issuance requested and approved by the Executive Board for the monitoring period in consideration?
3.8 Revision of Monitoring Plan	para. 203	Does the verification report contain reference to any revision of monitoring plan requested and approved by the Executive Board?
3.9 Notification or Change of PDD	para. 198 (d)	Does the verification report contain reference to any approved request for notification or request for approval of changes from the project activity as described in the registered PDD?
3.10 Monitoring	para.206 &221(d)	Does the verification report state that monitoring has been carried out in accordance with registered or the accepted revised monitoring plan?
3.11 Monitoring Plan	para.200,203 & 221 (d)	Does the verification report state that the monitoring plan is in accordance with the applied methodology?
3.12 Parameters	para.206	Does the verification report list each parameter required by the monitoring plan and state how the DOE verified the information flow for these parameters?
3.13 Cross-checking data	para.208 (a)& (b)	Does the verification report indicate that the information provided in the monitoring report has been cross-checked with other sources such as plant log books, inventories, purchase records, laboratory analyses?



<p>3.14 Calculation of CERs</p> <p>3.15 Justification of assumptions</p> <p>3.16 CARs / FARs</p> <p>3.17 Calibration</p> <p>3.18 Calibration delay</p>	<p>para.208 (c) & 221 (h)</p> <p>para.208 (d) & (e)</p> <p>para.192, 194</p> <p>para. 184 (a) (ii)</p> <p>para. 184 (a) (ii)</p>	<p>EB 52 Annex 60</p> <p>EB 52 Annex 60</p>	<p>Does the verification report provide a conclusion on the verified amount of emission reductions achieved and determine that calculations of baseline emissions, project emissions and leakage as appropriate have been carried out in accordance with the formulae and methods described in the monitoring plan and the applied methodology document?</p> <p>Does the verification report determine if the assumptions used in emission calculations have been justified and emission factors, default values and other reference values have been correctly applied?</p> <p>Does the verification report contain information on all CARs, CLs and FARs and provide an assessment and close out of any CARs, CLs or FARs issued? (This reporting shall be undertaken in a transparent manner that allows the reader to understand the nature of the issue raised, the nature of the responses provided by the project participants, the means of verification of such responses and clear references to any resulting changes in the monitoring report or supporting annexes).</p> <p>Does the verification report provide an assessment on whether the calibration of measuring equipments is conducted at a frequency specified in applied monitoring methodology or EB guidance if applicable, and/or the monitoring plan?</p> <p>Does the verification report provide an assessment of the compliance with EB 52 Annex 60 'Guidelines for assessing compliance with the calibration frequency requirements' if there is a calibration delay?</p>
<p>4. Certification Report</p>	<p>EB 48 Annex 68</p>		
<p>4.1 Monitoring information</p>	<p>10 (d)</p>		<p>Does the certification report indicate the monitoring period under verification and the corresponding number of CERs requested by the DOE?</p>

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History of the document

Version	Date	Nature of revision
02.0	3 June 2011	Revisions made in line with para 9 & 11 of the “Procedure for requests of issuance of CERs” (version 01.2) (EB54, Annex 35). As well as to be in line with para 58 of Decision 3/CMP6.
01.0	10 June 2010* <i>*prepared by the secretariat and published on the CDM website as requested by the Board (EB 54, Paragraph 57, 28 May 2010)</i>	Initial Adoption.
Decision Class: Regulatory Document Type: Information Note Business Function: Registration		