



## Annex 13

### **PROCEDURE FOR THE SUBMISSION AND CONSIDERATION OF A PROPOSED NEW BASELINE AND MONITORING METHODOLOGY FOR LARGE SCALE AFFORESTATION AND REFORESTATION CDM PROJECT ACTIVITIES**

#### **(Version 01)**

1. This document replaces, rather than continues as a new version, the document entitled: “Procedures for the submission and consideration of a proposed new methodology for afforestation and reforestation project activities under the CDM” (version 07). It contains the procedure for the submission and consideration of proposed new methodologies which operationalize the provisions of paragraph 13 of the “Modalities and procedures for afforestation and reforestation project activities under the clean development mechanism in the first commitment period of the Kyoto Protocol”.<sup>1</sup>
2. This document applies the following definitions/acronyms:
  - (a) A/R WG - working group on afforestation and reforestation project activities (Afforestation and Reforestation Working Group);
  - (b) A/R PNM - a proposed new baseline and monitoring methodology for large scale CDM projects developed in accordance with paragraph 12(g) of the “Modalities and procedures for afforestation and reforestation project activities under the clean development mechanism in the first commitment period of the Kyoto Protocol”.<sup>2</sup>

#### **I. Objective**

3. This document contains detailed steps for the submission by project participants and consideration of an A/R PNM.

#### **II. Submission of an A/R PNM**

4. Project participants may submit an A/R PNM for the Board’s consideration at any time following this procedure.
5. The secretariat publishes updated schedules of the A/R WG meetings and deadlines for submission of A/R PNMs on the UNFCCC CDM website. The A/R WG considers the A/R PNMs submitted by a deadline at a subsequent meeting taking into account priorities set by the Board and if necessary, due to a high workload, priorities set by the Chair of the A/R WG.
6. Project participants initiate the submission of an A/R PNM by completing the following forms available on the UNFCCC CDM website<sup>3</sup> and submitting them to a designated operational entity (DOE):
  - (a) Proposed new baseline and monitoring methodology for large scale afforestation and reforestation CDM project activities (form CDM-AR-NM);

<sup>1</sup> Decision 5/CMP.1, FCCC/KP/CMP/2005/8/Add.1, Annex, paragraph 13, page 65, <<http://cdm.unfccc.int/Reference/COPMOP/08a01.pdf#page=65>>.

<sup>2</sup> Decision 5/CMP.1, FCCC/KP/CMP/2005/8/Add.1, Annex, paragraph 12(g), page 64, <<http://cdm.unfccc.int/Reference/COPMOP/08a01.pdf#page=64>>.

<sup>3</sup> See UNFCCC CDM website <<http://cdm.unfccc.int/Reference/Forms>>.



- (b) Project design document for afforestation and reforestation project activities (form CDM-AR-PDD) with at least section “Application of an approved baseline and monitoring methodology” (including relevant annexes) completed as draft, providing an example of the application of the A/R PNM.
7. The DOE then:
- (a) Checks the completeness of the documents received from the project participants;
  - (b) Completes the “CDM: Proposed new A/R methodology” (form F-CDM-AR-NM); and
  - (c) Submits them using the A/R PNM submission interface of the UNFCCC website.

### III. Completeness check and assessment of the A/R PNM

8. The secretariat checks whether the forms listed in paragraph 6(a) and 6(b) are complete within five working days after the deadline for submissions.
9. If the forms are deemed complete the secretariat confirms this to the DOE.
10. If the forms are deemed incomplete, the secretariat informs the DOE of the reasons. The DOE either provides the missing information within two working days after being informed by the secretariat or the submission is assessed as incomplete and rejected.
11. Once a submission is deemed complete, the secretariat assesses it in accordance with the criteria in the current version of the “CDM: Proposed new A/R methodology assessment form” (form F-CDM-AR-NMas) and prepares an assessment report using the same form within 30 days of the submission deadline.
12. The outcome of the assessment is either:
- (a) “*unqualified*”; or
  - (b) “*qualified*”.
13. If the A/R PNM is assessed as *unqualified*, the secretariat selects two members of the A/R WG and forwards its assessment report to those members to perform an independent assessment of the A/R NM.
14. If both A/R WG members confirm the secretariat’s assessment, the secretariat forwards its assessment report to the project participants, copying the DOE. The *unqualified* A/R PNM is not subjected to further consideration and paragraph 33 applies.
15. If at least one of the A/R WG members does not confirm the secretariat’s assessment, the member/members update the assessment report and the A/R PNM is deemed *qualified*.
16. If the A/R PNM is assessed as *qualified*, whether as a result of the step in paragraph 12 or the step in paragraph 15:
- (a) The secretariat assigns a reference number to the A/R PNM and makes the A/R PNM (form CDM-AR-NM) publicly available on the UNFCCC CDM website, inviting public comments for a period of 15 calendar days using the current version of the “Proposed CDM A/R new A/R methodology - public comment form” (form F-CDM-AR-NMpu);
  - (b) The secretariat informs the public of the call for public comments through the UNFCCC CDM newsletter; and



- (c) At the end of the period, the secretariat makes all public comments publicly available on the UNFCCC CDM website.

#### IV. Consideration of the A/R PNM

17. Depending on the technical complexity of the A/R PNM submitted and with the approval of the Chair of the A/R WG, the secretariat proceeds to the step in paragraph 19 or selects one or two independent experts, at least one of whom is from the roster of experts and proceeds to the step in paragraph 18.
18. The independent expert(s) shall undertake desk reviews to assess the A/R PNM and report the outcome of such assessment using the latest version of the following forms, as appropriate:
- (a) “CDM: Proposed New A/R Methodology Expert Form – Lead Review” (form F-CDM-AR-NMex\_3d); or
  - (b) “CDM: Proposed New A/R Methodology Expert Form – Second Review” (form F-CDM-AR-NMex\_2d); or
  - (c) “CDM: Proposed new methodology expert form - Second Review (Sectoral/industry expert)” (form F-CDM-NMex\_Sect).
19. If the A/R PNM is assessed as *qualified* as a result of the step in paragraph 12, the secretariat:
- (a) Prepares a draft recommendation on the A/R PNM taking into account the independent expert(s)’ reports (if any) and public comments;
  - (b) Selects two members of the A/R WG to assess the A/R PNM who, taking into account the secretariat’s draft recommendation, assess the A/R PNM; and
  - (c) Prepares an initial recommendation for the consideration of the A/R WG, taking into account the members’ assessment.
20. If the A/R PNM is assessed as *qualified* as a result of the step in paragraph 15, the secretariat:
- (a) Prepares a draft recommendation on the A/R PNM based on the updated assessment report, taking into account the independent expert(s)’ reports (if any) and public comments; and
  - (b) Forwards the draft recommendation to the A/R WG members selected as a result of the step in paragraph 13, who prepare an initial recommendation for the consideration of the A/R WG.
21. The A/R WG considers the project participants’ submission and the members’ initial recommendation and finalizes its recommendation on the A/R PNM over the course of no more than four consecutive meetings unless an additional guidance from the Board is required.
22. Depending on the progress of the consideration of the A/R PNM, the secretariat prepares the draft reformatted methodology based on the A/R PNM for the consideration of the A/R WG.
23. Following each meeting at which the A/R PNM is considered, the A/R WG reports one of the following outcomes:
- (a) A final recommendation to the Board to approve the A/R PNM (referred to as A);
  - (b) A final recommendation to the Board not to approve the A/R PNM (referred to as C); or



- (c) A preliminary recommendation to the project participants who may provide clarification, if they wish, regarding the issues raised in accordance with paragraph 27 below.

or the A/R WG continues the consideration of the A/R PNM (referred to as work-in-progress) within the time frame defined in paragraph 21 above and briefly explains the reason for it in the meeting report.

24. If the A/R WG does not agree whether to recommend the A/R PNM to the Board during three meetings, the secretariat presents the unresolved issues to the Board at its next meeting in order to obtain the Board's request to:

- (a) Continue the consideration of the A/R PNM; or
- (b) Conclude the consideration of the A/R PNM during the next meeting of the A/R WG.

25. If the A/R WG agrees to recommend that the Board approve the A/R PNM, the secretariat publishes on the UNFCCC CDM website the following as agreed by the A/R WG:

- (a) The final recommendation using the form "CDM: Proposed new methodology for A/R CDM project activities" (form CDM-AR-NM);
- (b) The summary recommendation using the form "CDM: Proposed New Methodology – working group recommendation summary to the Executive Board" (form F-CDM-AR-NMSUMar); and
- (c) The draft reformatted methodology based on the A/R PNM.

26. If the A/R WG agrees to recommend that the Board not approve the A/R PNM, the secretariat publishes on the UNFCCC CDM website the following as agreed by the A/R WG:

- (a) The final recommendation using the form "CDM: Proposed new methodology for A/R" (form CDM-AR-NM); and
- (b) The summary recommendation using the form "CDM: Proposed New A/R Methodology – A/R WG summary recommendation to the Executive Board" (form F-CDM-AR-NMSUMar).

27. If the A/R WG agrees to the preliminary recommendation, the secretariat publishes it on the UNFCCC CDM website using the form "CDM: Proposed new methodology for A/R" (form CDM-AR-NM) and forwards it to the project participants, copying the DOE.

28. After receiving a preliminary recommendation, the project participants may submit (copying the DOE) through the secretariat, clarifications to the A/R WG concerning the A/R PNM raised in the recommendation. If project participants provide clarifications related to a preliminary recommendation within four weeks of receiving the preliminary recommendation, then the A/R WG considers the A/R PNM at its next meeting. If these clarifications include changes to the A/R PNM as submitted in the form "CDM: Proposed new methodology for A/R" (form CDM-AR-NM), and/or the project design document as submitted in the form "Project design document for afforestation and reforestation project activities" (form CDM-AR-PDD) then all changes shall be highlighted. The secretariat makes such clarifications available to the Board and publishes them on the UNFCCC CDM website.

29. If project participants provide no response to the preliminary recommendation within three months of the publishing date of the report of the A/R WG meeting at which the A/R PNM received its preliminary recommendation, then the submission is considered withdrawn.



30. If the A/R WG intends to recommend that the Board approve the A/R PNM, the secretariat sends the draft reformatted methodology to the project participants at least two weeks before the A/R WG meeting which includes the consideration of the A/R PNM on its agenda. The secretariat further requests project participants for comments on the draft reformatted methodology within a defined timeframe. The project participants may inform the secretariat whether the draft reformatted methodology is applicable to their project, or identify changes that are needed in the draft reformatted methodology in order to make it applicable to their project. The A/R WG considers the project participant's requests and attempts to accommodate them into the draft reformatted methodology. If the A/R WG cannot accommodate the project participant's requests, it may recommend the draft reformatted methodology to the Board without accounting for the project participant's requests, with an explanation for why the project participant's requests could not be accommodated.

31. The secretariat places the consideration of the recommendation on the A/R PNM on the annotated agenda of a subsequent Board meeting.

32. At any step in this procedure, the secretariat, on behalf of the A/R WG, may request the project participants to provide additional information regarding the A/R PNM within a defined timeframe, and if such information significantly affects the outcome of the consideration of the A/R PNM by the Board, the secretariat makes this information available to the Board and puts it on the UNFCCC CDM website before the date that the recommendation on the A/R PNM is placed on the annotated agenda of a Board meeting.

33. Project participants may submit again any A/R PNM assessed as *unqualified* or not approved by the Board at any time following this procedure.

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#### History of the document

Version	Date	Nature of revision
01	EB 53, Annex 13 26 March 2010	Initial adoption. This document replaces, rather than continues as a new version, the document entitled: Submission and consideration of a proposed new methodology for AR project activities (version 07; EB 37, Annex 4; 01 February 2008).
<b>Decision Class:</b> Regulatory <b>Document Type:</b> Procedure <b>Business Function:</b> Methodology		