

**Annex 2****PROCEDURES FOR THE SUBMISSION AND CONSIDERATION OF
A PROPOSED NEW SMALL SCALE METHODOLOGY****(Version 03)****I. BACKGROUND**

1. This document contains the procedures for the submission and consideration of proposed new simplified baseline and monitoring methodologies for small scale CDM project activity categories (SSC methodologies). The procedures are drawn from the guidelines for completing the SSC-PDD and other related guidance from the Board and serve to further operationalize the provisions of paragraph 15 and 16 of the simplified modalities and procedures for small scale CDM project activities.

II. SUBMISSION OF A PROPOSED NEW SMALL SCALE METHODOLOGY

2. To propose a new SSC methodology for the Executive Board's consideration and approval, project participants, DOEs, DNAs or stakeholders shall submit the following forms, completed in both MS Word and PDF formats, to the UNFCCC secretariat at secretariat@unfccc.int:

(a) The "CDM: Form for Submissions on Small Scale Methodologies and Procedures (F-CDM-SSC-Sub),"¹ indicating that the submission is a proposed new SSC methodology;

(b) The "CDM form for proposed new small scale methodologies (F-CDM-SSC-NM),"¹ including:

(i) Appropriate contact information (i.e., a primary and a secondary contact)²;

(ii) Indication as to whether the proposed methodology is also intended for application to a programme of activities (PoA) along with the completion of the relevant additional section of the form;

(iii) A draft project design document (CDM-SSC-PDD)¹ with sections A to C, including relevant annexes, completed;

3. After performing a completeness check, the UNFCCC secretariat shall forward the documentation to the Executive Board and the Small Scale Working Group (SSC WG). The date of the secretariat's transmission of the documentation to the SSC WG and Executive Board is deemed the date of the Board's receipt of the proposal for a new SSC methodology.

4. In accordance with the Board's practice of inviting public input on technical documentation, the secretariat also shall make the proposed new SSC methodology publicly available on the UNFCCC CDM website and invite public inputs for a period of ten (10) working days.

5. Public inputs on a proposed new SSC methodology shall be made using the current version of the "CDM: Proposed new small scale methodology - public comment form (F-CDM-SSC-NMpu)"³ and sent

¹ The current versions of the forms (F-CDM-SSC-Sub) and (F-CDM-SSC-NM) are available on the UNFCCC CDM website (<http://cdm.unfccc.int>).

² This is to enable that project proponents can be informed in advance if a submission will be considered during a SSC WG meeting or if further technical clarifications are required prior to making a recommendation.

³ The current version of the form (F-CDM-SSC-NMpu) is available on the UNFCCC CDM website (<http://cdm.unfccc.int>).



to the UNFCCC secretariat at secretariat@unfccc.int. Public inputs received by the secretariat shall be forwarded to the SSC WG soon after receipt and made publicly available at the end of the ten (10) day public comment period.

III. ANALYSIS/RECOMMENDATION BY THE SMALL SCALE WORKING GROUP

6. To be considered at a meeting of the SSC WG, the secretariat shall receive a proposed new SSC methodology at least eight (8) weeks before the meeting. Incomplete proposals submitted by the deadline cannot be guaranteed consideration at the subsequent meeting.

7. If more than five (5) proposed new SSC methodologies are submitted by the deadline, cognizant of workload of the SSC WG and priorities set by the Board, the Chair of the SSC WG shall ascertain how many proposals shall be analyzed at the next meeting of the SSC WG and may decide to postpone the analysis of some submissions to the subsequent meeting of the SSC WG. Submissions received and confirmed to be complete by the secretariat shall be treated on a “first come first served” basis.

8. The SSC WG shall analyze proposed new SSC methodologies submitted in accordance with these provisions. Under the guidance of the Chair and Vice-Chair of the SSC WG, a minimum of two (2) members of the SSC WG shall be assigned to review each proposed new methodology. The assigned SSC WG members shall each be paid a half-day (0.5) fee for the consideration and review of each proposed new SSC methodology considered at a SSCWG meeting. Any member who does not provide comments by the pre-meeting deadline as provided by the secretariat, shall be paid a quarter-day (0.25) fee and the Chair may decline the payment of any fee outright should he/she determine that input provided is insufficient.

9. The Chair and the Vice-Chair of the SSC WG, with the assistance of the secretariat and in consultation with the assigned SSC WG members, shall, no later than four (4) working days after receipt of the proposed new SSC methodology, select one expert from the roster of experts to undertake a desk review to appraise the validity of the proposed new SSC methodology. Under the guidance of the Chair of the SSC WG and in accordance with the provisions of the simplified modalities and procedures for small scale CDM projects, the desk reviewer shall prepare a recommendation and forward it to the secretariat within six (6) working days after receiving the assignment, using the current version of the form “CDM: Proposed new small scale methodology expert form (F-CDM-SCC-NM-exp)”⁴. The desk reviewer shall be paid a fee of two (2) working days. The SSC WG, facilitated by the secretariat, may draw on additional expertise as required for the further assessment of the submission.

10. At any stage before preparation of the SSC WG’s final recommendation, the secretariat may request the proponents of the new SSC methodology to provide additional technical information necessary to assist in analysis of the methodology, with a deadline for responses and copies to the selected members of the SSC WG. The secretariat shall make these communications available to the SSC WG and the public on the UNFCCC CDM website as soon as possible or archive them if the proposal is marked confidential.

11. The secretariat shall compile all inputs — from members of the SSC WG, the public, the expert’s desk review, expertise outside the SSC WG and any additional information obtained from the proponents of the new methodology — and prepare draft methodologies and recommendations for the SSC WG’s consideration using the current version of the form “CDM: Recommendation form for CDM Small Scale

⁴ The current version of the form (“F-CDM-SCC-NMexp”) is available on the UNFCCC CDM website (<http://cdm.unfccc.int>).



Methodologies (“F-CDM-SSCwg”)⁵. The SSC WG, shall base its recommendation on the proposed new SSC methodology in the draft as prepared by the secretariat.

12. To ensure that documents for proposed new SSC methodologies are made available to the entire SSC WG one (1) week before the meeting, the assigned members will be provided a first draft by the secretariat three (3) weeks in advance of a meeting with a one (1) week deadline to provide comment. The secretariat shall then prepare an advanced draft recommendation incorporating the comments and make this available to the SSC WG one (1) week in advance of the meeting, for consideration at the meeting. No changes are allowed thereafter to ensure that all members can prepare for the meeting during this week.

IV. CONSIDERATION AND APPROVAL BY THE BOARD

13. Having analyzed proposed new SSC methodologies in accordance with the paragraphs above, the SSC WG shall, if possible, make a recommendation regarding the approval of the proposed new SSC methodology to the Executive Board at its next meeting. The SSC WG shall not forward to the Board any submissions that it deems not suitable for recommendation to the Board or where it has sought further clarification from the project participants. The responses to the proponents for those submissions not recommended to the Board, are considered as agreed upon by the Board unless revised by the Board at its next meeting.

14. If the SSC WG requests further clarifications from the author of the submission referred to in paragraph 2 above:

(a) SSC WG shall, through the secretariat, communicate the request to the email contact provided on the ‘CDM form for proposed new small scale methodologies (F-CDM-SSC-NM)’ referred in paragraph 2 above indicating the deadline for response stipulated by the Chair of the SSC WG;

(b) Response to the requested clarifications shall be provided to the secretariat within the timeframe stipulated by the Chair of the SSC WG, but not exceeding 3 weeks from the date of receipt of the request and the response shall include the following documents:

(i) CDM: Form for Submissions on Small Scale Methodologies and Procedures (F-CDM-SSC-Sub);

(ii) If a revision is being suggested to the proposed new small-scale methodology and or the draft project design document, the changes shall be shown in a highlighted form or in track change mode.

(c) The response provided shall be made available to the Executive Board and to the public soon after they have been received by the secretariat;

(d) If the response is received by the secretariat within the stipulated time referred to in paragraph 14(b) above, the SSC WG shall consider the clarifications provided at its next meeting;

(e) If there is no response within the timeframe of three (3) months, the case will be considered withdrawn.

15. The Board shall expeditiously review a submitted proposed methodology in accordance with the simplified modalities and procedures for small-scale CDM project activities. Once approved, the

⁵ The current version of the form (“F-CDM-SSCwg”) is available on the UNFCCC CDM website (<http://cdm.unfccc.int>).



secretariat shall make the methodology publicly available and a designated operational entity may proceed with the validation of the project activity applying the new methodology and submit the project design document (CDM-SSC-PDD) for registration.

**Appendix 1****Provisions and criteria for including experts in the
“UNFCCC roster of experts – small scale CDM methodologies”**

1. An expert who is to undertake a desk review of a proposed new small scale methodology shall:
 - (a) Be familiar with the simplified modalities and procedures for small scale CDM project activities and relevant decisions of the COP (or CMP);
 - (b) Have demonstrated relevant working experience related to project activities;
 - (c) Have demonstrated technical/scientific experience related to small scale baseline and/or monitoring methodologies, *inter alia*, through publications;
 - (d) Good analytical and drafting skills;
 - (e) Have an advanced university degree in economics, energy, social, environmental studies, natural sciences, engineering, development studies, or any related discipline;
 - (f) Good working knowledge of English. Working knowledge of other UN languages desirable;
 - (g) Be free from any interest that might cause him/her to act in other than an impartial and non-discriminatory manner.
2. An expert applying for the roster of experts to undertake desk reviews of proposed new methodologies shall complete, in addition to the P11, a table on detailed working and/or scientific and technical experience.
3. An expert selected to undertake a desk review and appraise the validity of a proposed new methodology shall be compensated in accordance with the rules and regulations of the UNFCCC.

History of the document

| Version | Date | Nature of revision(s) |
|----------------|--------------------------------------|---|
| 03 | EB 40, Annex 2, 17 June 2008 | To clarify the timelines for response to clarifications requested by a SSC WG meeting |
| 02 | EB 37, Annex 8, 1 February 2008 | To clarify under what situation a submission of a new SSC methodology is considered withdrawn |
| 01 | EB 34, Annex 8, 14 September 2007 | Initial adoption |