



Annex 2

PROCEDURE FOR THE SUBMISSION AND CONSIDERATION OF REQUESTS FOR REVISION OF APPROVED BASELINE AND MONITORING METHODOLOGIES AND TOOLS FOR LARGE SCALE CDM PROJECT ACTIVITIES

(Version 01)

I. General

1. This document replaces, rather than continues as a new version, the document entitled: “Procedures for the revision of an approved baseline or monitoring methodology by the Executive Board” (EB 35, Annex 13, Version 09).

II. Definitions/Acronyms

2. This document applies the following definitions/acronyms:
 - (a) Meth Panel - Methodologies Panel;
 - (b) AM - an approved baseline and monitoring methodology for large scale CDM projects developed in accordance with paragraph 37(e) of the “Modalities and procedures for a clean development mechanism as defined in Article 12 of the Kyoto Protocol”;¹
 - (c) AT - an approved tool referred to in an AM for which a request for revision is submitted.

III. Objective and overview

3. This document contains detailed steps for:
 - (a) The submission by project participants, of requests for revision of an AM and an AT;
 - (b) The initiation by the Meth Panel and/or the secretariat of a revision of an AM and an AT;
 - (c) The application of a request for revision of an AM and an AT issued by the CDM Executive Board (the Board); and
 - (d) The Board’s consideration of a draft revised AM and AT in accordance with paragraph 39 of the “Modalities and procedures for a clean development mechanism as defined in Article 12 of the Kyoto Protocol”.²

¹ Decision 3/CMP.1, FCCC/KP/CMP/2005/8/Add.1, Annex, paragraph 37, page 14, <<http://cdm.unfccc.int/Reference/COPMOP/08a01.pdf#page=14>>.

² Decision 3/CMP.1, FCCC/KP/CMP/2005/8/Add.1, Annex, paragraph 39, page 15, <<http://cdm.unfccc.int/Reference/COPMOP/08a01.pdf#page=15>>.



IV. Request for revision of an approved methodology or an approved tool

A. General

4. Project participants may submit a request for revision at any time following this procedure.
5. The secretariat publishes updated schedules of the Meth Panel meetings and deadlines for submission of requests for revision on the UNFCCC CDM website. The Meth Panel considers requests for revision 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 Meth Panel.
6. The Board may request the Meth Panel and/or the secretariat to revise an AM or an AT by a defined deadline.
7. The Meth Panel and/or the secretariat may initiate the revision of an AM or an AT in order to simplify it and/or improve its objectivity, applicability, usability and consistency.

B. Request for revision of an AM or an AT submitted by project participants

8. Project participants submit a request for revision of an AM or an AT by submitting the following documents to a DOE:
 - (a) A draft of the proposed revised AM or AT highlighting all proposed changes; and
 - (b) A project design document form for a CDM project (form CDM-PDD)³ with at least section “Application of an approved baseline and monitoring methodology” (including relevant annexes) completed as a draft, providing an example of the application of the revised AM or AT.
9. The DOE then:
 - (a) Checks the completeness of the documents received from project participants;
 - (b) Completes a form for submission of requests for revision of approved methodologies to the Meth Panel (form F-CDM-AM-Rev); and
 - (c) Submits them using the submission interface for requests for revision on the UNFCCC CDM website.

C. Revision of an AM or an AT initiated by the Meth Panel or by the secretariat

10. If the Meth Panel agrees to initiate the revision of an AM or an AT, different from the editorial one (as described in Chapter VI), it requests either the secretariat or the members of the Meth Panel to draft the revised version of the methodology.
11. If the secretariat initiates the revision of an AM or an AT, (e.g. to improve the usability, to improve the accuracy of emission reduction estimation methods or to enable modular application of methodologies):

³ Go to *UN FCCC Website Reference Section, Forms, Project Design Documents (PDDs)*
<<http://cdm.unfccc.int/Reference/Forms>>.



- (a) It informs the Meth Panel about the scope of the initiated revision using the appropriate mailing list; and
- (b) Drafts the revision and forwards it for consideration by the Meth Panel.

D. Revision of an AM or an AT requested by the Board

12. The Board requests the revision of an AM or an AT by including the request in its meeting report.

13. If the Board considers that the continued application of the AM or the AT should be curtailed, as it has become apparent that there are major shortcomings in the emission reduction estimation methods included, the Board's request shall contain a decision that:

- (a) The AM or the AT be put on hold.
In such a case DOEs shall not upload any request for registration of a project activity applying the version of the AM or the AT for which the revision was requested, after the fourth week (2400 hours GMT) from the date of publication of the Board's report containing the decision;
- (b) The AM or the AT be put on hold with immediate effect.
In such a case DOEs shall not upload any request for registration of a project activity applying the AM or the AT that has been put on hold with immediate effect, from the date (2400 hours GMT) of publication of the Board's report containing the decision.

V. Consideration of a request for revision

14. Depending on the technical complexity of the request for a revision of an AM or an AT and with the approval of the Chair of the Meth Panel, the secretariat either proceeds directly to the step in paragraph 16 below or selects one or two consultants and proceeds to the step in paragraph 15 below.

15. Each consultant performs an independent assessment of the request for the revision and reports the outcome to the secretariat.

16. The secretariat:

- (a) Prepares a draft recommendation on the request for revision taking into account the report(s) of the consultant(s) (if any); and
- (b) Selects one or two members of the Meth Panel to: (i) assess the request for revision, taking into account the secretariat's draft recommendation; (ii) considers whether the improvements applied in the AM or in the AT increase conservativeness over the previous version; and (iii) prepares an initial recommendation for consideration by the Meth Panel.

17. The Meth Panel:

- (a) Considers the request for the revision and the initial recommendation prepared by the member(s), including the statement that the revision leads to an increase in conservativeness over the previous version, if any;
- (b) Finalizes its recommendation over the course of no more than two meetings unless additional guidance from the Board or the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) is required.



18. If the request for revision was submitted by project participants and the initial recommendation referred to in paragraph 16(b) above indicates a high probability that the Meth Panel will recommend that the Board approves the revision, the secretariat sends the draft revision to the project participants at least two weeks before the Meth Panel meeting which includes the consideration of the draft revision on its agenda. The secretariat requests project participants for comments on the draft revised AM or AT within a defined timeframe.

19. The project participants may:

- (a) Inform the secretariat that the draft revised AM or AT is applicable to their project; or
- (b) Identify changes that are needed in the draft revised AM or AT in order to make it applicable to their project and request the Meth Panel to consider them.

20. The Meth Panel considers the project participants' requests, if any, and attempts to accommodate them into the draft revised AM or AT. Project participants may request the Meth Panel to allow them to provide specific information regarding the changes mentioned in the step in paragraph 19(b), in particular by means of a teleconference organized during its meeting. The teleconference shall not last longer than approximately 30 minutes. If the Meth Panel cannot accommodate project participants' requests, it may recommend the draft revised AM or AT to the Board without accounting for the project participants' requests, explaining why the project participants' requests could not be accommodated.

21. Depending on the technical complexity of the draft revision as assessed by the secretariat and with the approval of the Chair of the Meth Panel, the secretariat:

- (a) Makes the draft revised AM or AT publicly available on the UNFCCC CDM website and invites public comments for a period of 10 calendar days;⁴
- (b) Informs the public of the call for public comments through the CDM newsletter;
- (c) At the end of the period, makes all public comments publicly available on the UNFCCC CDM website; and
- (d) Accommodates relevant public comments into the draft revision.

22. Following each Meth Panel meeting at which the request for the revision is considered, the Meth Panel:

- (a) Reports its final recommendation to the Board to approve the revision, including the statement that the revision leads to an increase in conservativeness over the previous version, if any; or
- (b) Reports its final recommendation to the Board not to approve the request for the revision; or
- (c) Continues its consideration of the request for the revision (referred to as work-in-progress (WIP)) within the timeframe defined in paragraph 17(b) above.

⁴ For example when the request for revision proposes many changes to parameters/methods directly impacting emission reduction calculations there may be a need for broad based consultation.



23. If the Meth Panel agrees to recommend the draft revised AM or AT to the Board, the secretariat places the consideration of the recommendation on the request for revision on the annotated agenda of the subsequent Board meeting.

24. If the Meth Panel cannot agree upon a final recommendation to the Board either because:

- (a) Further inputs from an expert and/or the project participants are required; or
- (b) Public comments provided inputs suggesting further improvement or broadening of the applicability of the revised AM or AT; or
- (c) Further reformatting and/or quality control of the request for the revision of the revised AM or AT is required,

then the reason is briefly explained in the meeting report of the Meth Panel and the consideration of the request for the revision is continued (referred to as work-in-progress (WIP)).

25. At any step in this procedure, the secretariat, on behalf of the Meth Panel, may request project participants to provide additional information regarding the request for the revision within a defined timeframe. Any information provided by the project participants that might significantly impact the outcome of the consideration of the request for the revision is made available by the secretariat to the Board, and to the public, on the UNFCCC CDM website before the recommendation for request for revision is placed on the annotated agenda of the Board meeting.

26. If the Board agrees to approve the revised AM or AT, then the approved revised version is published on the UNFCCC CDM website.

27. Project participants may resubmit a request for revision not approved by the Board at any time following this procedure.

28. The secretariat shall make available all approved revised AMs and ATs in the approved methodologies section on the UNFCCC CDM website within five calendar days from the publication date of the report of the Board meeting at which they were approved.

VI. Editorial amendment of an AM or an AT

29. To improve clarity of the text or correct editorial errors the secretariat drafts the editorial amendment of an AM or an AT and submits it for approval to the Chair of the Meth Panel.

30. Once approved by the Chair of the Meth Panel, the draft editorial amendment shall be submitted for consideration of the Chair of the Board. The editorial amendment that is approved by the Chair of the Board is forwarded to all members of the Board. If at least one of the Board members requests within 20 days that the editorial amendment shall be considered by the Board the secretariat places the consideration of the editorial amendment on the annotated agenda of the subsequent Board meeting, otherwise it is deemed to be approved by the Board.

31. The secretariat forwards the approved editorial amendment to the Meth Panel and makes it publicly available on the UNFCCC CDM website.

VII. Version control

32. During the finalization of a revision the Meth Panel assesses if the proposed revision, whether based on a request submitted by project participants or initiated by the secretariat, the Meth Panel or the



Board, results in improvements that increase the conservativeness of the AM or the AT over its previous version. If the conservativeness is not increased, the Meth Panel classifies the revised version of the AM or the AT as amendment of the previous version.

33. All methodologies will be catalogued with a three number version extension in the format X.Y.Z. X indicates a version number. This will be increased by 1 when the Board approves a revision to the methodology. Y indicates an amendment. This will be increased by 1 when the Board approves an amendment. Z is a document control number. This will be increased by 1 when a new editorial amendment is approved.

VIII. Application of the amended/revised version of an AM or an AT

34. Project participants may apply the approved amended/revised AM or AT in project activities seeking validation after the date on which the approved revised version is published on the UNFCCC CDM website.

35. The amendment of an AM or an AT has no effect on the global stakeholder consultations of PDDs and registration of project activities applying the previous version of the amended AM or AT.

36. If the recommendation that the Board approve the revision includes the statement that the revision leads to an increase in conservativeness over the previous version and the Board approves the revision, then DOEs may upload for registration the PDDs of project activities in which the previous version of an AM or an AT has been applied not later than the calendar day (2400 hours GMT) eight months from the publication date of the report of the Board meeting at which the revised AM or AT was approved.⁵

History of the document

Version	Date	Nature of revision
01	EB 54, Annex 2 28 May 2010	Initial adoption. This document replaces, rather than continues as a new version, the document entitled: Procedure for the revision of an approved baseline or monitoring methodology by the Executive Board (version 09; EB 35, Annex 13; 19 October 2007).
Decision Class: Regulatory Document Type: Procedure Business Function: Methodology		

⁵ A request registration referred to in this paragraph is considered to be submitted within the deadline if the following conditions are fulfilled: (a) The DOE has uploaded the request for registration using the dedicated interface of the UNFCCC CDM website before 2400 hours GMT on the day of the deadline. (b) Either the proof of payment is uploaded within 20 calendar days after the deadline or the payment is received within 40 calendar days after the deadline. It is noted that these conditions are checked by automated checks.