

**CDM PROJECT ACTIVITY REQUEST FOR REGISTRATION: INFORMATION AND REPORTING CHECK CHECKLIST**

**PS** : Clean development mechanism project standard (version 01.0), EB 65, annex 5, 25 November 2011.

**VVS** : Clean development mechanism validation and verification standard (version 02.0), EB 65, annex 4, 25 November 2011.

**SS** : Standard for sampling and surveys for CDM project activities and programme of activities (version 02.0), EB 65, annex 2, 25 November 2011.

Item	Description of the Item	References
<b>1. PROJECT DESIGN DOCUMENT</b>		
<b>1.1 Project description</b>		
1.1.1 General description	Are all sections of the PDD for the description of the project activity completed, including the purpose of the project activity, its contribution to sustainable development, applied technologies and/or measures, involved Party(ies) and project participants, estimated amount of reductions, and whether it receives public funding?	PS para 30-34
1.1.2 Small scale project activity	For project activities requesting for registration as a small scale project activity, does the PDD explain how it qualifies as a small scale project type, and that it is not a de-bundled component of a large scale project activity?	PS para 81-89
<b>1.2 Baseline</b>		
1.2.1 Application of the baseline/monitoring methodology (ies)	Does the PDD contain the reference and the version of the applied methodology(ies) including any tools, standards and/ or guidelines as required by the methodology(ies), valid at the time of submission?	PS para 35-37
1.2.2 Applicability of the baseline/monitoring methodology (ies)	Does the PDD describe how applicability conditions of the methodology(ies) are met?	PS para 38



1.2.3 Application of the small scale baseline/ monitoring methodology(ies)	For project activities applying small scale methodology(ies), does the PDD explain its fulfillment of specific requirement for the application of the selected methodology(ies) for the small scale project activities?	PS para 90-95
1.2.4 Project boundary and sources of GHG	Does the PDD clearly define the boundary of the proposed project activity and the GHG sources included in the project boundary, in accordance with the selected methodology(ies)?	PS para 39, 40
1.2.5 Identification of the baseline scenario	Does the PDD describe the baseline scenario and how it was identified?	PS para 41-46
<b>1.3 Additionality</b>		
1.3.1 Prior consideration	Where project starting date is before the publication of the PDD for the global stakeholder consultation, does the PDD describe how the CDM benefits were considered in the decision to undertake the project?	PS para 47, 26-28
1.3.2 Additionality demonstration option	Does the PDD describe how additionality of the project activity was demonstrated in accordance with the applied methodology(ies), tool(s) and/or any other guidelines?	PS para 48, 49 and 96
1.3.3 Investment analysis	Where investment analysis is used to demonstrate additionality of the project activity, does the PDD list all relevant assumptions such as the financial indicator, input values, benchmark and the results of the investment analysis, including sensitivity analysis?	PS para 48 (a)
1.3.4 Barrier analysis	Where barrier analysis is used to demonstrate additionality of the project activity, does the PDD describe each of the barriers presented?	PS para 48 (b), 49 (a)
1.3.5 Common practice analysis	For large scale project activities, does the PDD contain common practice analysis?	PS para 49 (b)



<b>1.4 Emission reductions</b>		
1.4.1 Methodological choices	Does the PDD explain the methodological choices for the calculation of the baseline and project emissions, leakage and emission reductions?	PS para 50, 51
1.4.2 Data and parameters available at validation	Does the PDD list data and parameters used to calculate the emission reductions; for parameters that are not monitored but remain fixed throughout the crediting period, are the details such as the values applied accompanied by appropriate units, source, and justification provided?	PS para 52, 53
1.4.3 Ex-ante calculation of emission reductions	Does the PDD present step-wise calculation of the ex-ante emission reduction calculations, including how the selected values are applied in each equations, in accordance with the selected methodology(ies)?	PS para 50
<b>1.5 Monitoring methodology</b>		
1.5.1 Data and parameters monitored	Does the PDD list all data and parameters to be monitored, as required by the applied methodology(ies), including the details such as the unit, source, measurement methods, and QA/QC procedures?	PS para 55,
1.5.2 Monitoring plan	Does the PDD contain a monitoring plan that explains the operational and management structure, responsibilities and institutional arrangement for data collection/ archiving, QA/QC procedures, and sampling plan where applicable.	PS para 54, 56, 97,98 SS section III
<b>1.6 Duration of the project activity</b>		
1.6.1 Project starting date	Does the PDD indicate the project starting date and how it has been determined?	PS para 57, 58
1.6.2 Crediting period	Does the PDD indicate the type, the duration and starting dates of the crediting period?	PS para 59-62



<b>1.7 Environmental impact</b>		
1.7.1 Environmental impact	Does the PDD include a summary of an analysis of the environmental impacts of the proposed CDM project activity, and if required by the host Party, an environmental impact assessment in accordance with the host Party's procedures?	PS para 63, 64
<b>1.8 Local stakeholder consultation</b>		
1.8.1 Local stakeholder consultation	Does the PDD include description of how the stakeholders were invited to provide comments on the project activity, prior to the submission of the PDD for validation, summary of the comments received and how the comments were considered?	PS para 65-69
<b>2. VALIDATION REPORT</b>		
<b>2.1 Validation methods</b>		
2.1.1 Standard auditing techniques	Does the validation report describe how the DOE has applied the standard auditing techniques as appropriate, including desk review, follow-up actions, referencing, review of the calculations?	VVS para 22
<b>2.2 Global stakeholder consultation</b>		
2.2.1 Global stakeholder consultation	Does the validation report contain information on the global stakeholder consultation, including dates, duration and how comments received have been taken into consideration by the DOE?	VVS para 34-37 PCP para 13
<b>2.3 Letter of Approval/ Authorization</b>		
2.3.1 Letter of Approval	Is the receipt of the valid letter reported in the validation report; whether the LoA was received from the project participants or directly from the DNA?	VVS para 41, 42, 43 (a) (b)
2.3.2 Statements	Does the validation report indicate if the LoA(s) includes clear statements on: i) the ratification of Kyoto Protocol and voluntary participation, and ii) contribution to the sustainable development of the host country for the host Party LoA?	VVS para 39 (a)(b)(c), 40, 43 (d)



2.3.3 Authorization	Does the validation report indicate how it has confirmed that the participation for each project participant has been authorized by a Party to the Kyoto Protocol?	VVS para 46-49
<b>2.4 Project design document -PDD</b>		
2.4.1 Template	Does the validation report indicate if the PDD was completed correctly using the latest PDD template and guideline?	VVS para 62, 63
<b>2.5 Project description</b>		
2.5.1 Validation method and opinion	Does the validation report describe the steps taken and the validation opinion on the accuracy and completeness of the project description in the PDD?	VVS para 64-68, 69 (a) (b)
2.5.2 Small scale project activity	For a project activity requesting for registration as a small scale project activity, does the validation report explain how the project activity fulfills the eligibility criteria for small scale project and confirm that it is not a de-bundled component of a large scale project?	VVS para 153, 157
2.5.3 Site visit	In case no site visit was conducted, is the justification provided in the validation report?	VVS para 65-67, 69 (c)
<b>2.6 Methodology</b>		
2.6.1 Applicability conditions	Does the validation report describe how each applicability condition of the methodology(ies) is fulfilled by the project activity?	VVS para 76, 77
2.6.2 Deviation and/or clarification on the methodology	Does the validation report indicate if the project participant deviated from the approved methodology, hence requires a clarification on the applicability of an approved methodology or request for deviation of an approved methodology?	VVS para 78-81



2.6.3 Boundary and sources of GHG	Does the validation report describe how the DOE has validated the project boundary and sources of GHG, and if it has identified emission sources that are not addressed by the applied methodology(ies) which are expected to contribute more than 1 % of the annual emission reduction?	VVS para 86, 87
<b>2.7 Baseline scenario</b>		
2.7.1 Baseline scenario identification	Does the validation report describe the steps taken to assess the baseline scenario identified and a validation opinion on the assumptions and data used, the documentation and the relevant national and/or sectoral policies and circumstances, and the method applied to crosscheck the information contained in the PDD?	VVS para 91-95
2.7.2 Alternative scenario(s)	Does the validation report indicate if procedures in the methodology(ies) has been correctly applied in to identifying the baseline scenario; if the methodology requires several alternative scenarios to be considered, has the DOE confirmed that no alternative scenario has been excluded?	VVS para 89, 90
<b>2.8 Algorithm and/or formulae</b>		
2.8.1 Application of equations and parameters	Does the validation report contain assessment on whether the equations and parameters have been correctly applied, and all estimates can be replicated using the data and parameter values provided in the PDD? Where the methodology provides several options for equations and parameters, is the justification of the choice provided?	VVS para 97, 99 (d), (e)
2.8.2 Data and Parameters	Does the validation report verify the justification of the choice of data used: i) for data and parameters fixed throughout the crediting period, are the sources of data and assumptions appropriate and does it result in an accurate or conservative estimation of the emission reductions; and ii) for those that are monitored, are the values applied reasonable?	VVS para 98, 99 (a), (b), (c), 100



<b>2.9 Additionality</b>		
2.9.1 Additionality	Does the validation report describe all the steps taken to cross-check the given information in the PDD , and how it has determined the credibility of the evidence, where applicable?	VVS para 104, 161
2.9.2 Project starting date	Does the validation report describe how the project starting date was validated to be in line with the latest CDM glossary of terms?	VVS para 106, 112 (a)
2.9.3 Continuing and real actions	Does the validation report describe how real and continuing actions to secure the CDM status was validated?	VVS para 108 (b), 109, 110
2.9.4 Evidence of prior consideration	Does the validation report describe how the evidence of the prior consideration of CDM and the real and continuing actions, if applicable, were assessed?	VVS para 112 (b)
2.9.5 Compliance with the requirements	Does the validation report include a validation opinion regarding the project activity's compliance with the applicable requirements related to the prior consideration of and the real and continuing actions for the CDM status?	VVS para 107, 108, 112 (c )
2.9.6 Demonstration of additionality	Does the validation report describe the assessment of the option/ approach taken by the project participant and it if is in accordance with the requirements by the applied methodology(ies) and/or applicable guidelines?	VVS para 103, 159,160
2.9.7 Identification of alternatives	Does the validation report indicate whether the list of alternatives presented in the PDD is credible and complete?	VVS para 116
2.9.8 Accuracy of the investment analysis	Where investment analysis is used, does the validation report contain a confirmation of the appropriateness of the underlying assumptions and the accuracy of financial calculations carried out for any investment analysis?	VVS para 120, 123 (c)



2.9.9 Parameters used for the Investment analysis	Where investment analysis is used, does the validation report describe how the suitability of parameters used in the financial calculation has been assessed?	VVS para 120, 123 (a)
2.9.10 Sensitivity analysis of the investment analysis	Does the validation report contain assessment of the sensitivity analysis of the financial calculation to determine under what conditions variations in the result would occur and the likelihood of these conditions?	VVS para 120 (e)
2.9.11 Suitability of the benchmark	Where benchmark analysis is conducted, does the validation report describe how the suitability of the benchmark has been assessed?	VVS para 121, 123 (b)
2.9.12 Feasibility report	In case the financial parameters are taken from a feasibility study report (FSR) that is approved by a national authority, does the validation report provide a clear validation opinion on the project activity's compliance with the applicable requirements related to the reference to FSRs?	VVS para 122
2.9.13 Assessment of barrier analysis	Where barrier analysis is used, does the validation report describe how the DOE has assessed each barrier identified and the credibility of the barrier analysis?	VVS para 125-127
2.9.14 Common practice analysis	Where applicable, does the validation report describe validation of the common practice analysis; in particular: the applicable geographical area, existence of similar projects, essential distinctions between the project activity and any similar projects; and confirmation that the project activity is not a common practice?	VVS para 129, 130
<b>2.10 Monitoring</b>		
2.10.1 Compliance with the Monitoring methodology	Does the validation report describe how the DOE has assessed the compliance of the monitoring plan with the methodology(ies) and tools applied: whether it contains all necessary parameters, and how each parameter is monitored?	VVS para 132 (a)



2.10.2 Implementation of the monitoring plan	Does the validation report describe how the DOE has assessed the monitoring plan, whether the monitoring arrangements, including the QA/QC procedures, are feasible within the project design?	VVS para 132 (b)
<b>2.11 Environmental Impact</b>		
2.11.1 Environmental impact	Does the validation report indicate whether the project participant(s) have undertaken an environmental impact assessment with procedures as required by the host Party procedures?	VVS para 137
<b>2.12 Local Stakeholders Comments</b>		
2.12.1 Local stakeholder comments	Does the validation report describe how it has assessed the adequacy of the local stakeholder consultation?	VVS para 139, 140
<b>2.13 Validation Report -VR</b>		
2.13.1 Summary of validation process	Does the validation report include a summary of validation process, overview of how it has arrived at the final validation conclusions and opinion that the project activity is in conformity with applicable CDM requirements?	VVS 147 (a), (b) 148 (a)
2.13.2 Validation conclusions	Does the validation report describe the approaches taken, findings and conclusions, to reach the final validation opinion?	VVS para 148 (b)
2.13.3 Adjustment to the validation report	Does the validation report include the results of the dialogue between the DOE and the project participants, as well as any adjustments made to the project design following stakeholder consultation?	VVS para 147 (c ), 148 (c )



2.13.4 Requests raised by the DOE	Does the validation report contain information on all CARs, CLs and FARs: the issues raised, the responses by the project participants, how they were resolved, and how they resulted in changes in the PDD or supporting annexes.	VVS para 29
2.13.5 FARs	In case FARs are raised, are they related to the project implementation and not to the registration requirements?	VVS para 27
2.13.6 List of reference	Are lists of interviewees and documents reviewed provided?	VVS para 148 (d)
2.13.7 Quality control	Is the information on quality control within the team and in the validation process provided?	VVS para 148 (f)
2.13.8 Validation team	Does the validation report include the details of the validation team members, technical experts, internal technical reviewers involved, and their roles in the validation activity?	VVS para 148 (e) (g)
<b>2.14 Validation opinion</b>		
2.14.1 Validation methodology	Does the validation opinion include a summary of the validation methodology, procedures and the validation criteria applied and if the project activity satisfies the criteria?	VVS para 146 (a) (e)
2.14.2 Non coverage	Does the validation opinion include a description of any of the project components or issues that are not covered by the validation?	VVS para 146 (b)
2.14.3 Validation conclusion	Does the validation opinion include a summary of the validation conclusions and a statement on the validation of the expected emission reductions?	VVS para 146 (c ), (d)



### Appendix 1 - Request for Registration: Information and Reporting Check Issues of an Editorial Nature\*

The table below lists “issues of an editorial nature” for which the secretariat may request the DOE to submit the missing or revised documents and/or information in accordance with paragraph 65 of the PCP.

Item	Description of the Item
1.	Any issue of an editorial nature that is not picked at completeness check stage
2.	Hyperlink/weblink missing or not opening
3.	System diagram like project boundary, monitoring line diagram, management structure missing or is unclear
4.	GHG sources not discussed in the PDD
5.	Start date of crediting period missing except for cases in which project participant intends to start the crediting period after the registration of the project.
6.	Recording frequency of parameters not reported as per the methodology

\* This list is not exhaustive and will be revised as and when required. The secretariat may contact the Designated Operational Entity/Project Participant on any issues of an editorial nature that are not included in the list above.

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#### History of the document

Version	Date	Nature of revision(s)
01.0	3 May 2012	Initial publication.
<b>Decision Class:</b> Regulatory <b>Document Type:</b> Information note <b>Business Function:</b> Registration		