

## Revision history

Issue 2	Prepared by Gareth Phillips 3/11/05	Amendments to 1.10 and 1.11; exclusion of table 2 – 6 for SSC projects

## Validation Protocol

This validation protocol is designed to ensure that the project meets the requirements for CDM projects that are detailed in paragraph 37 of the CDM modalities and procedures. Each requirement is covered in a separate table. The following requirements are discussed in this protocol:

Requirement	Description	
Participation requirements	The participation requirements as set out in Decision 17/CP7 need to be satisfied	Covered in table 1
Baseline and monitoring methodology	The baseline and monitoring methodology complies with the requirements pertaining to a methodology previously approved by the Executive Board	Baseline methodology is covered in table 2 Monitoring methodology is covered in table 4
Additionality	The project activity is expected to result in a reduction in anthropogenic emissions by sources of greenhouse gases that are additional to any that would occur in the absence of the proposed project activity	Covered in table 3
Monitoring plan	Provisions for monitoring, verification and reporting are in accordance with relevant decisions of the COP/MOP	Covered in table 5
Environmental impacts	Project participants have submitted to the designated operational	Covered in table 6

Comments by local stakeholders	entity documentation on the analysis of the environmental impacts of the project activity, including transboundary impacts and, if those impacts are considered significant by the project participants or the host Party, have undertaken an environmental impact assessment in accordance with procedures as required by the host Party; Comments by local stakeholders have been invited, a summary of the comments received has been provided, and a report to the designated operational entity on how due account was taken of any comments has been received;	Covered in Table 7
Other requirements	The project activity conforms to all other requirements for CDM project activities in relevant decisions by the COP/MOP and the Executive Board.	Covered in Table 8

Small sale projects and AR projects have specific requirements which are covered in Table 9-11. Small scale SSC projects have special requirements which deviate from the requirements of other CDM projects. These requirements are tested in table 9. Tables 2 to 6 are not applicable to SSC projects.

Further remarks on the use of this document:

- text in *italic blue* is meant as guidance for the assessor
- MoV = Means of Verification, DR= Document Review, I= Interview

This protocol should be adapted as required. For example, if the project is not a small scale project or an AR project, some tables can be deleted.

**Table 1 Participation Requirements for Clean Development Mechanism (CDM) Project Activities (Ref PDD, Letters of Approval and UNFCCC website) All CDM project activities**

REQUIREMENT	MoV	Ref	Comment	Draft finding	Concl
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REQUIREMENT	MoV	Ref	Comment	Draft finding	Concl
1.1 The project shall assist Parties included in Annex I in achieving compliance with part of their emission reduction commitment under Art. 3 and be entered into voluntarily.	Document Rev	PDD	Yes, Project will reduce GHG emissions, but no Annex-1 Party is listed	OK	OK
1.2 The project shall assist non-Annex I Parties in achieving sustainable development and shall have obtained confirmation by the host country thereof, and be entered into voluntarily	DR	PDD	Yes, The project activity will contribute to sustainable development.  Host Country Approval from Designated National Authority is to be provided by the client. Host country approval provided date 14-6-2006 bearing number F.No.4/12/2006-CCC.	CAR1	OK CAR1 Closed Out
1.3 All Parties (listed in Section A3 of the PDD) have ratified the Kyoto protocol and are allowed to participate in CDM projects	DR	UNFCCC	Yes, India has ratified the protocol on 26 <sup>th</sup> August 2002 and is allowed to participate.  ( <a href="http://unfccc.int/parties_and_observers/parties/items/2109.php">http://unfccc.int/parties_and_observers/parties/items/2109.php</a> )	OK	OK
1.4 The project results in reductions of GHG emissions or increases in sequestration when compared to the baseline; and the project can be reasonably shown to be different from the baseline scenario	DR	PDD	Yes, The project activity results in reduction of GHG emissions by treatment of spent wash using CSTR technology by capturing methane and burning it in the boiler along with rice husk to produce electricity and thereby reducing emissions from fossil fuel based grid power . This is the project activity.	OK	OK
1.5 Parties, stakeholders and UNFCCC accredited NGOs shall have been invited to comment on the validation			Yes, the project is listed on UNFCCC website from 31 <sup>st</sup> March to 29 <sup>th</sup> April 2006. No comments were received.	OK	OK

REQUIREMENT	MoV	Ref	Comment	Draft finding	Concl
requirements for minimum 30 days (45 days for AR projects), and the project design document and comments have been made publicly available	DR	UNF CCC web	The project was also listed on SGS climate change website from 31 <sup>st</sup> March to 29 <sup>th</sup> April 2006 and no comments were received.		
1.6 The project has correctly completed a Project Design Document, using the current version and exactly following the guidance	DR	PDD	Yes, the guidelines for completing the PDD has been followed , except some pending closure of CARs and NIRs	Pending	OK
1.7 The project shall not make use of Official Development Assistance (ODA), nor result in the diversion of such ODA	DR	PDD	No, ODA is Utilized	OK	OK
1.8 For AR projects, the host country shall have issued a communication providing a single definition of minimum tree cover, minimum land area value and minimum tree height. Has such a letter been issued and are the definitions consistently applied throughout the PDD?	DR	PDD	Not Applicable	Not Applicable	N/A
1.9 Does the project meet the additional requirements detailed in: Table 9 for SSC projects Table 10 for AR projects Table 11 for AR SSC projects	DR	PDD	See table 9	Pending	OK
1.10 Is the current version of the PDD complete and does it clearly reflect all the information presented during the	DR	PDD	This is the only version of PDD we have utilized and present all the information.	OK	OK

REQUIREMENT	MoV	Ref	Comment	Draft finding	Concl
validation assessment.					
1.11 Does the PDD use accurate and reliable information that can be verified in an objective manner?	DR	PDD	Yes,the PDD uses accurate and reliable information	OK	OK

**Table 2 Baseline methodology(ies) (Ref: PDD Section B and E and Annex 3 and AM) Normal CDM projects only**

**Table 3 Additionality (Ref: PDD Section B3 and AM) Normal CDM projects only**

**Table 4 Monitoring methodology (PDD Section D and AM) Normal CDM Projects only**

**Table 5 Monitoring plan (PDD Annex 4) Normal CDM Project activities only**

**Table 6 Environmental Impacts (Ref PDD Section F and relevant local legislation) Normal CDM Project Activities only**

**Table 7 Comments by local stakeholders (Ref PDD Section G) All CDM Project Activities**

CHECKLIST QUESTION	Ref.	MoV*	COMMENTS	Draft Concl	Final Concl
7.1 Have relevant stakeholders been consulted?	DR	Sec G	The list of local stake holders consulted should be provided. To be checked during site visit.	NIR2	OK NIR2 CLOSED OUT
7.2 Have appropriate media been used to invite comments by local	DR		Yes, media used to invite comments is addressed in PDD. To be checked during site visit by the local assessor.	TBC	OK

CHECKLIST QUESTION	Ref.	MoV*	COMMENTS	Draft Concl	Final Concl
stakeholders?					
7.3 If a stakeholder consultation process is required by regulations/laws in the host country, has the stakeholder consultation process been carried out in accordance with such regulations/laws?	DR	G.1	No stake holder consultation process is not required as per law.	OK	OK
7.4 Is a summary of the stakeholder comments received provided?	DR	G.2	Summary of comments not mentioned clearly in PDD. To be provided by the client.	NIR3	OK NIR3 CLOSED OUT
7.5 Has due account been taken of any stakeholder comments received?	DR		Due account of stakeholder comments is not clearly mentioned in PDD	NIR4	OK NIR4 CLOSED OUT

**Table 8 Other requirements All CDM project activities**

CHECKLIST QUESTION	Ref.	MoV*	COMMENTS	Draft Concl	Final Concl
<b>8.1 Project Design Document</b>					
8.1.1 Editorial issues: does the project correctly apply the PDD template and has the document been completed without modifying/adding headings or logo, format or font.	DR.	PD D	The PDD template is followed.	OK	OK

CHECKLIST QUESTION	Ref.	MoV*	COMMENTS	Draft Concl	Final Concl
8.1.2 Substantive issues: does the PDD address all the specific requirements under each header. If requirements are not applicable / not relevant, this must be stated and justified	DR		Pending Closure of CARS / NIRS Yes, The PDD now addresses all the requirements.	Pending	OK
<b>8.2 Technology to be employed</b>					
8.2.1 Does the project design engineering reflect current good practices?			Yes, The project design reflect current good practices	OK	OK
8.2.2 Does the project use state of the art technology or would the technology result in a significantly better performance than any commonly used technologies in the host country?			Yes, the project is using the state of art technology	OK	OK
8.3 Is the project technology likely to be substituted by other or more efficient technologies within the project period?			Probably not during the crediting period	OK	OK
8.2.4 Does the project require extensive initial training and maintenance efforts in order to work as presumed during the project period?			Not mentioned in PDD clearly to be checked during site visit. It was checked and found that supplier provided the training to their employees.	TBC	OK

CHECKLIST QUESTION	Ref.	MoV*	COMMENTS	Draft Concl	Final Concl
<b>8.3 Duration of the Project/ Crediting Period</b>					
8.3.1 Are the project's starting date and operational lifetime clearly defined and reasonable?			Project starting date is not mentioned. The operational life time is clearly defined	CAR5	OK CAR5 CLOSED OUT
8.3.2 Is the assumed crediting time clearly defined and reasonable (renewable crediting period of max. two x 7 years or fixed crediting period of max. 10 years)?			Yes, 3 x 7 years	OK	OK
8.3.3 Does the project's operational lifetime exceed the crediting period	DR		Yes, 30 years	OK	OK

**Table 9 Additional requirements for SSC project activities only**

CHECKLIST QUESTION	Ref.	MoV*	COMMENTS	Draft Concl	Final Concl
9.1 Does the project qualify as a small scale CDM project activity as defined in paragraph 6 (c) of decision 17/CP.7 on the modalities and procedures for the CDM?		UNF CCC	Yes, the project qualifies as a small scale project activity in type 13, & type 1 categories.	OK	OK
9.2 The project conforms to one of the categories listed in Appendix B to		UNF	Yes, Type 13, Type 15 & Type 1 Categories	OK	OK

CHECKLIST QUESTION	Ref.	MoV*	COMMENTS	Draft Concl	Final Concl
Annex II to Decision 21/CP8		CCC			
9.3 The small scale project activity is not a debundled component of a larger project activity?		DR	No, Small scale project activity is not a debundled component of a larger project.	OK	OK
9.4 PDD has been prepared in accordance with appendix A of Annex II to Decision 21/CP8			Yes, PDD has been prepared in accordance with Appendix A of Annex II.	OK	OK
9.5 The project uses a simplified baseline and monitoring methodology specified in Appendix B. If not, they may propose changes to the meths or a new SSC project category		UNF CCC	Yes, the project uses a simplified baseline and monitoring methodology AMS III H & AMS 1D that falls under scope 13, 15 and scope 1	OK	OK
9.6 Are the emission reductions determined in accordance with the methodology described			Yes, the emission reductions are determined in accordance with the methodology. Later in the revised PDD the CERs increased so CAR7 was raised.	CAR7	OK CAR7 Closed out
9.7 Is there any bundling of SSC activities into one PDD? If so, does the monitoring plan consider sampling of activities? Refer to para 19 of Annex II. Also, note bundling provisions in SSC Briefing Note and SSC meths I C / I D and III D and Para 22e of Appendix B			NO, there is no bundling of SSC activities into one PDD.	OK	OK
9.8 Is EIA required by host party? If not, none is required irrespective of SHC.	F		EIA was carried out by the project proponent. Report to be checked during site visit.	TBC	OK

CHECKLIST QUESTION	Ref.	MoV*	COMMENTS	Draft Concl	Final Concl
If yes, has one been performed consistent with local requirements?			Checked during site visit and found to be OK		
9.9 The project results in emission reductions that are additional in accordance with the following requirements: <ul style="list-style-type: none"> <li>(para 26) The project is additional if emissions are reduced below those in the absence of the project</li> <li>(Para 27) Simplified baseline can be used; if not, baseline proposed shall cover all gases, sectors and sources listed in Annex A to the KP</li> <li>Para 28) One or more barriers as detailed in attachment A to Appendix B to Annex II will be used to demonstrate that the project would not proceed without the CDM</li> </ul>	PDD  B.3	DR	Investment barrier is not clear. Provide calculation (excel) sheet for the same. Provide evidence that the project is first of its kind and faces technological barrier. Provide details on how many other sugar plants having distilleries using the same technology in common practices analysis. Provide evidence of the norm as mentioned in regulatory or policy requirements. The baseline of the project is that the spent was will otherwise after some treatment would have been drained out in the atmosphere. This is not been done due to the project activity.	CAR6	OK CAR6 CLOSED OUT
9.10 Leakage is calculated according to the provisions of the SSC methodologies in Appendix B			Leakage is not considered as there is no energy generating equipment is transferred from another activity or no existing equipment is transferred to another activity.	OK	OK
9.11 The project boundary shall be constructed in accordance with the	PDD		Yes, the project boundary is constructed in accordance with the requirements of the SSC meth in Appendix B. To	TBC	OK

CHECKLIST QUESTION	Ref.	MoV*	COMMENTS	Draft Concl	Final Concl
requirements of the SSC meths in Appendix B			be checked during site visit. Checked and found to be in order.		
9.12 The Monitoring plan shall be consistent with the requirements of the SSC methodology in Appendix B and shall provide for the collection and archiving of data needed to determine project emissions, baseline emissions and leakage.			Yes, Monitoring plan is consistent. To be checked during site visit. It was checked and found to be OK.	TBC	OK
9.13 The monitoring plan shall present good monitoring practice appropriate to the circumstances of the project activity (para 33)			Yes, monitoring plan is presenting good monitoring practices. To be checked during site visit. It was checked and found to be OK.	TBC	OK
9.14 If project activities are bundled, separate monitoring plan shall be prepared for each of the activities or an overall plan reflecting good monitoring practice will be prepared, consistent with the above requirements			No, the project is not a bundled project activity.	OK	OK

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