

**CDM-EB101-A05-STAN**

## Standard

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# Establishment of sector specific standardized baselines

Version 01.0



**United Nations**  
Framework Convention on  
Climate Change

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## **1. Introduction**

### **1.1. Background**

1. The sixth meeting of the conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP 6) defined a “standardized baseline” and decided that Parties, project participants, as well as international industry organizations or admitted observer organizations through the host country’s Designated National Authority (DNA), may submit proposals for standardized baselines applicable to new or existing methodologies, for consideration by the clean development mechanism (CDM) Executive Board (hereinafter referred to as the Board).
2. CMP 6 also requested the Board to develop standardized baselines, as appropriate, in consultation with relevant DNAs, prioritizing methodologies that are applicable to least developed countries, small island developing states, Parties with 10 or fewer registered CDM project activities as of 31 December 2010 and under-represented project activity types or regions, inter alia, for energy generation in isolated systems, transport and agriculture.
3. In response to the request from CMP 6, the Board requested the secretariat to develop a general methodological framework for the development and assessment of standardized baselines.<sup>1</sup> This methodological framework (i.e. the “Guidelines for the establishment of sector specific standardized baselines”) was initially adopted by the Board at its sixty-second meeting (EB 62, Annex 8).
4. The use of standardized baselines can potentially reduce transaction costs, enhance transparency, objectivity and predictability, facilitate access to the CDM, particularly with regard to under-represented project types and regions, and scale up the abatement of greenhouse gas (GHG) emissions, while ensuring environmental integrity.

### **1.2. Objectives**

5. The objectives of the “standard: Establishment of sector specific standardized baselines” (hereinafter referred to as this standard) are to:
  - (a) Provide requirements and approaches for the establishment of sector specific standardized baselines;
  - (b) Ensure the quality of standardized baselines prepared by DNAs, project participants and relevant stakeholders.

## **2. Scope, applicability, and entry into force**

### **2.1. Scope**

6. This standard provides requirements and approaches for the establishment of sector specific standardized baselines, including additionality demonstration, baseline scenario identification and baseline emission determination.

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<sup>1</sup> EB 60 report, paragraph 39(a).

7. A standardized baseline shall be developed by applying one of the following regulatory documents:
  - (a) This standard;
  - (b) A methodological approach contained in an approved, proposed new or revised baseline and monitoring methodology;
  - (c) A methodological approach contained in an approved, proposed new or revised methodological tool; or
  - (d) The Guidelines "Establishment of standardized baselines for afforestation and reforestation project activities under the CDM".

## **2.2. Applicability**

8. This standard is applicable to determine standardized baselines for target measures that are implemented for stationary sources within a sector (target measures) and not necessarily restricted to one specific category of project activity.
9. This standard is not exhaustive and may not be applicable to certain sectors or types of target measures in its current form (e.g. the transport sector is currently not covered). Standardized baseline developers may propose revisions that further expand its applicability to include other approaches and measures.

## **2.3. Entry into force**

10. Version 01.0 of this standard enters into force on 29 November 2018.
11. This standard replaces the "Guidelines for the establishment of sector specific standardized baseline".

## **3. Normative references**

12. This standard is based on elements from the "Guidelines for the development and assessment of standardized baselines".
13. Relevant provisions from the latest approved versions of the following regulatory documents<sup>2</sup> should be applied when this standard is implemented, which are all available at <http://cdm.unfccc.int/>:
  - (a) "Guideline: Quality assurance and quality control of data used in the establishment of standardized baselines";<sup>3</sup>
  - (b) "Procedure: Development, revision, clarification and update of standardized baselines";

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<sup>2</sup> Available on the UNFCCC CDM website <http://cdm.unfccc.int/>

<sup>3</sup> DNAs should ensure that the data quality for the development of standardized baselines is in accordance with the data quality objectives and documentation provisions as well as the stepwise guidance specified in the guideline.

- (c) “Standard: Determining coverage of data and validity of standardized baselines”;<sup>4</sup>
- (d) “Standard: Sampling and surveys for CDM project activities and programme of activities”;
- (e) “Guidelines for objective demonstration and assessment of barriers”;
- (f) “AMS-III.F: Avoidance of methane emissions through composting”;
- (g) “TOOL02: Combined tool to identify the baseline scenario and demonstrate additionality”;
- (h) “TOOL07: Tool to calculate the emission factor for an electricity system”;
- (i) “TOOL21: Demonstration of additionality of small-scale project activities”.

## 4. Definitions

- 14. The definitions contained in the Glossary of CDM terms shall apply.
- 15. In addition, the following definitions apply:
  - (a) **Level of aggregation** - The level of aggregation measures the extent to which consolidation of information from any parts or units to form a collective whole is undertaken. This consolidation is usually done within a common sector, to provide information at a broader level to that at which detailed observations are taken. Information on categories can be grouped or aggregated to provide a broader picture when this does not lead to misrepresentation. It can also be split or disaggregated when finer details are required by too much non-homogeneity;
  - (b) **Output** - goods or services that are delivered/provided with comparable quality, properties, and application areas (e.g. clinker, street lighting, residential cooking, milled rice, solid waste collection and disposal, wastewater treatment);
  - (c) **Facility** - a set of equipment and associated process to provide the output for which the standardized baseline is to be developed. If one plant produces two outputs in two separate processes with separate feedstocks and energy inputs and both outputs are for consumption outside the facility, these two processes of the plant are considered to be two separate facilities; for example, one steel production plant would be divided into a cold-rolled steel facility and a hot-rolled steel facility;
  - (d) **Positive lists** - lists of target measures that are considered automatically additional under certain conditions (e.g. location, technology/measure, size);
  - (e) **Sector** - a segment of a national comprising activities or facilities that produce a defined output  $O_i$  within a defined level of aggregation (e.g. all the power generation facilities connected to the national or regional grid or all the facilities to produce charcoal for household consumption in the country);

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<sup>4</sup> DNAs should comply with the data coverage and currentness requirements when developing standardized baselines and should update approved standardized baselines in a timely manner in accordance with the requirements specified in this standard.

- (f) **Standardized baseline** - a baseline established for a Party or a group of Parties to facilitate the calculation of emission reductions and removals and/or the determination of additionality for CDM project activities, while providing assistance for assuring environmental integrity.<sup>5</sup>

## 5. Development of standardized baselines

### 5.1. Overview of the approach for developing standardized baselines

16. A standardized baseline shall be developed for and applicable to clearly defined target measures in a clearly defined sector.
17. The target measure shall be defined considering the main elements (e.g. key equipment or technology) of a certain sectoral activity or facility and its associated GHG emissions, taking into account input/output ratios.
18. Depending on the target measure, the standardized baseline may be based on the GHG emissions performance of the fuel (e.g. tCO<sub>2</sub>/GJ), feedstock (e.g. tCO<sub>2</sub>/t) or output (tCO<sub>2</sub>/t), or the energy efficiency of the technology (e.g. GJ/tOutput).
19. The level of aggregation shall be determined and proposed by DNAs, taking into account the following:
  - (a) A default level of aggregation shall comprise the facilities producing the same type of output within the geographical boundaries of one country. The level of aggregation could be expanded to a group of countries with similar circumstances relating to the output;<sup>6</sup>
  - (b) A default group of facilities should be disaggregated when significant dissimilarities exist in the performance of facilities or groups of facilities in the country/region. In this case, the disaggregation shall be carried out according to relevant criteria, such as production scale, installed capacity or age of the facilities<sup>7</sup>, and standardized baselines should be developed for each group of similar facilities or for one prioritized group;
  - (c) The selection of the final level of aggregation may be an iterative process;
  - (d) Disaggregation should not result in standardized baselines with overlapping applicability (e.g. overlap would occur in the case of a standardized baseline for energy efficiency in commercial buildings, and another standardized baseline for energy efficient lighting in commercial and residential buildings).
20. A standardized baseline may result in a country-specific or region-specific positive list of technologies, fuels and/or feedstocks, where all the included technologies/fuels/feedstocks are additional. By applying such positive lists, project proponents are not required to undertake further demonstration of additionality when

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<sup>5</sup> Decision 3/CMP.6.

<sup>6</sup> Refer to the approved standardized baseline ASB0001 for which the level of aggregation comprises power generation facilities from a group of countries.

<sup>7</sup> A DNA may propose other criteria for disaggregation which may demonstrate dissimilar performance.

seeking registration of a project activity. The development and application of positive lists shall take into account the following:

- (a) The positive lists are not limited to technologies/fuels/feedstocks available and used in the country/region, and may include other technologies/fuels/feedstocks not yet available or used in the country/region that meet all the criteria for positive lists (e.g. performance, and barriers or cost);
  - (b) For facilities involving multiple pieces of equipment and integrated processes, the differentiation of technologies should be based on the technical features of the key equipment and their performance, so that such characteristics of one technology do not overlap with those of another technology;
  - (c) When the target measure involves a combination of technologies/fuels/feedstocks, the positive list shall also address eligible combinations (for further guidance, please refer to section 5.7 below).
21. A standardized baseline shall be developed for one output, and the GHG emissions and performance data are collected for that output. In case multiple outputs (including main product, co-product and by-product) are simultaneously produced within the same facility with a common feedstock and/or energy inputs, it may not be possible to allocate the emissions to each of the multiple outputs and to develop standardized baselines for those outputs. Taking into account the circumstances of the country and the production process and equipment of the facility producing multiple outputs, the emissions shall be apportioned applying one of the following approaches:
- (a) By market prices: allocation of the emissions in proportion to the market prices of the main product and the by-products or co-products;
  - (b) Substitution approach (or system expansion): the alternative production process(es) of each by-product or co-product is/are identified (i.e. how they would have been produced) and the emissions associated with the alternative production process are respectively allocated to the co-product or by-product;
  - (c) By energy content: allocation of the emissions in proportion to the enthalpy of the main product and the by-products or co-products. This rule can only be applied in cases where the main product and all co-products or by-products are fuels (e.g. petroleum products produced by an oil refinery).
22. The collection of information should cover either all facilities in the sector or a sample of the facilities, determined according to the defined level of aggregation as per the "Standard: Sampling and surveys for CDM project activities and programmes of activities", including:
- (a) Activity data: actual production of output ( $O_i$ ) and the actual consumption of fuels, electricity and/or feedstock;
  - (b) Parameters that describe the properties or characteristics of the inputs: net calorific values (NCVs) of the fuels, emission factors of the fuel/electricity source/feedstock;

- (c) Reference data: as an alternative to activity data, design data on specific energy consumption (e.g. GJ/t output, GWh/t output) and/or design data on specific feedstock consumption (e.g. t feedstock/t output);
  - (d) General information on the facilities: name, location, implementation year (establishment/upgrading/expansion), design production capacity and description of relevant equipment.
23. When appropriate, the ranking of facilities shall be conducted according to the GHG emissions performance, based on parameters that are relevant for the measure (e.g. for a fuel switch measure, the performance is based on the associated GHG emissions per unit of energy of the respective fuels (tCO<sub>2</sub>/GJ) used at the facility).
24. The data and information related to performance and market penetration from each of the operational facilities should be collected in line with the “Standard: Determining coverage of data and validity of standardized baselines” and the “Guideline: Quality assurance and quality control of data used in the establishment of standardized baselines”.

## **5.2. Steps for establishing standardized baselines**

25. The following steps shall be applied to establish standardized baselines for each of the four measures:
- (a) Step 1: Identify host country(ies), sectors, output(s) and target measures;
  - (b) Step 2: Establish additionality criteria for the identified target measures (e.g. positive lists of fuels/feedstocks and technologies);
  - (c) Step 3: Identify the baseline for the measures (e.g. baseline fuel, technology, level of GHG destruction);
  - (d) Step 4: Determine the baseline emission factor where relevant.

## **5.3. Measure 1: Fuel and feedstock switch**

### **5.3.1. Level of aggregation**

26. The level of aggregation covers the facilities producing the same type of output within the geographical boundaries of the country or group of countries. If there are fuels/feedstocks that are not available to some regions within the country,<sup>8</sup> further disaggregation is needed and additionality and baseline fuels/feedstocks should be established for regions where the same set of fuels/feedstocks are available.<sup>9</sup> Only those facilities should be included in which it is technically possible to switch to the lower carbon intensity fuel/feedstock.

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<sup>8</sup> For example, natural gas may only be available to some regions covered by a distribution network for natural gas.

<sup>9</sup> Other means of aggregation may be proposed.

### **5.3.2. Additionality demonstration**

27. The cumulative percent of output  $O_i$  produced based on the fuels/feedstocks is arranged in descending order of the CO<sub>2</sub> emission factor of the fuels/feedstocks.
28. Fuels/feedstock with lower CO<sub>2</sub> emission factor than the fuels/feedstock used to produce aggregately more than a sector specific percentage ( $X_a$ ) of the output  $O_i$  and facing barriers that can be objectively demonstrated<sup>10</sup> and/or that are less commercially attractive, should be included in the positive list of fuels/feedstocks. A switch to any of the fuels/feedstocks in the positive list is deemed to be additional.
29. Fuels/feedstock are deemed less commercially attractive<sup>11</sup> if their price per unit of output is higher than that of all fuels/feedstocks used to produce aggregately more than  $X_a$  of the output(s)  $O_i$  of the sector, and:
  - (a) There is no national or sub-national enforced regulation mandating the use of the fuels/feedstock;
  - (b) The Board's clarifications on the consideration of national and or sectoral policies and circumstances in baseline scenarios is taken into account.

### **5.3.3. Baseline identification**

30. The existing facilities shall be ranked in descending order of the CO<sub>2</sub> emission factors of their fuels in order to identify the sector specific percentage ( $X_b$ ) of the output  $O_i$  produced. The fuel with the lowest CO<sub>2</sub> emission factor among the fuels used for  $X_b$  percentage of the output is the baseline fuel.

### **5.3.4. Baseline emission factor**

31. The baseline emission factor is determined based on the baseline fuel/feedstock identified above.

## **5.4. Measure 2: Switch of technology with or without change of energy sources (including energy efficiency improvement)**

### **5.4.1. Level of aggregation**

32. The level of aggregation covers the facilities producing the same type of output within the geographical boundaries of the country or group of countries.

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<sup>10</sup> "Guidelines for objective demonstration and assessment of barriers" and guidance given for barrier analysis in "TOOL02: Combined tool to identify the baseline scenario and demonstrate additionality" should be taken into account.

<sup>11</sup> The financial analysis should be based on parameters that are standard in the sector, but not necessarily linked to the costs incurred at an actual facility.

#### **5.4.2. Additionality demonstration**

33. The cumulative percent of output  $O_i$  is arranged in descending order of CO<sub>2</sub> emission factor of the involved technologies.<sup>12</sup>
34. Technologies that have lower associated GHG emissions than any of the technologies used to produce aggregately more than a sector specific percentage ( $Y_a$ ) of the output(s)  $O_i$  of the sector and are less commercially attractive than any of these technologies are deemed additional.
35. Technologies are considered to be less commercially attractive when their cost per unit of output is higher than that of all technologies used to produce aggregately more than  $Y_a$  of the output(s)  $O_i$  of the sector, and:
  - (a) There is no national or sub-national enforced regulation mandating the use of these technologies;
  - (b) The Board's clarifications on the consideration of national and or sectoral policies and circumstances in baseline scenarios is taken into account.

#### **5.4.3. Baseline identification**

36. The existing technologies shall be ranked in descending order of their emission factors in order to identify the sector specific percentage ( $Y_b$ ) of the output  $O_i$  produced in the sector. The technology with the lowest CO<sub>2</sub> emission factor among them is the baseline technology.

#### **5.4.4. Baseline emission factor**

37. The baseline emission factor is determined based on the baseline technology identified above.

### **5.5. Measure 3: Methane destruction**

38. This measure covers the flaring of methane generated in landfills or anaerobic treatment of manure or wastewater.

#### **5.5.1. Level of aggregation**

39. The level of aggregation covers the facilities treating the sources of methane within the geographical boundaries of the country or group of countries where the level of methane destruction required by enforced regulations is the same.

#### **5.5.2. Additionality demonstration**

40. If the level of methane destruction projected by a measure is higher than what is required and enforced in the area defined according to paragraph 39 above, then that measure of methane destruction is deemed additional.

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<sup>12</sup> In cases where the involved technologies do not prescribe the use of a specific fuel, the output  $O_i$  can be arranged in terms of energy intensity.

### **5.5.3. Baseline identification**

41. The baseline level of destruction in the area defined according to paragraph 39 above is the percentage of methane whose destruction is mandated and enforced.

### **5.5.4. Baseline emissions**

42. Baseline emissions shall be calculated in accordance with an approved CDM methodology and may be determined based on the monitoring of the actual amount of methane captured.

## **5.6. Measure 4: Methane formation avoidance**

43. This measure covers the avoidance of methane formation through aerobic treatment of waste or wastewater and the use of biomass residues that would have been left to decay in a solid waste disposal site.

### **5.6.1. Level of aggregation**

44. The level of aggregation covers the facilities treating the sources of methane within the geographical boundaries of the country or group of countries where the methods for the management and disposal of waste, wastewater or biomass residues are the same.

### **5.6.2. Additionality demonstration**

45. If the proposed disposal and treatment method is not mandatory or not enforced, and faces barriers that can be objectively demonstrated and/or is not financially attractive, then the measure is deemed additional.

### **5.6.3. Baseline identification**

46. The baseline shall be determined taking into account the common practices for the management and disposal of biomass residues, waste or wastewater.

### **5.6.4. Baseline emissions**

47. The baseline emissions and corresponding emission factors shall be determined in accordance with an approved CDM methodology or methodological tool.

## **5.7. Emission factors for simultaneous sectoral measures<sup>13</sup>**

48. When multiple measures are simultaneously applied in a sector or sub-sector, it is necessary to derive a baseline emission factor that integrates the combined effect of all the measures applied and other influencing factors, e.g. fuel/feed stock and respective NCV, baseline technology and its design features such as electricity/heat consumption/generation capacity, grid emission factor of electricity consumed. For example, in the cement sector there can be several GHG emission reduction actions associated with cement production such as: (a) substitution of fossil fuels with alternative fuels; (b) use of alternative raw materials; (c) decrease in the clinker content in the cement

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<sup>13</sup> This provision is applicable when the baseline technology can work in combination with the baseline fuel and or feedstock.

production mix; (d) energy-efficiency improvements; and e) electricity generation from waste heat and renewable energy. A baseline emission factor for this sector in a region may be determined through a calculation based on the following information: baseline fuel/feed stock and its CO<sub>2</sub> emission factor and NCV, baseline feed stock and its CO<sub>2</sub> emission factor, baseline technology (particularly its specific fuel/feedstock/electricity consumption as per its design) and the grid emission factor of the electricity.

49. When applying two or more measures in a sector, it may be possible to disaggregate the sector into homogeneous sub-sectors. In such instances, separate emission factors are established for each of the homogeneous sub-sectors depending on the level of aggregation used in the identification of the baseline fuel/feedstock, technology, etc.

## Appendix 1. Values for Xa, Xb, Ya, Yb

1. The following values shall be used for Xa, Xb, Ya, Yb:

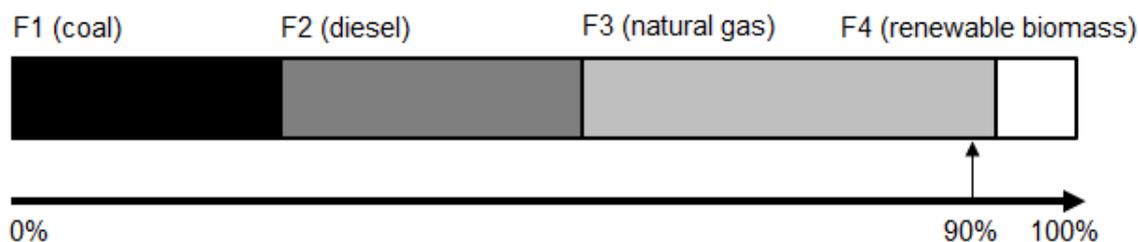
**Table. Values for Xa, Xb, Ya, Yb**

<b>Sectoral scopes</b>	<b>Xa</b>	<b>Xb</b>	<b>Ya</b>	<b>Yb</b>
Energy for household; Energy generation in isolated systems; Agriculture	80%	80%	80%	80%
Other sectors	90%	90%	90%	90%

## Appendix 2. Examples for development of standardized baselines

### 1. Example 1 - Fuel and feedstock switch

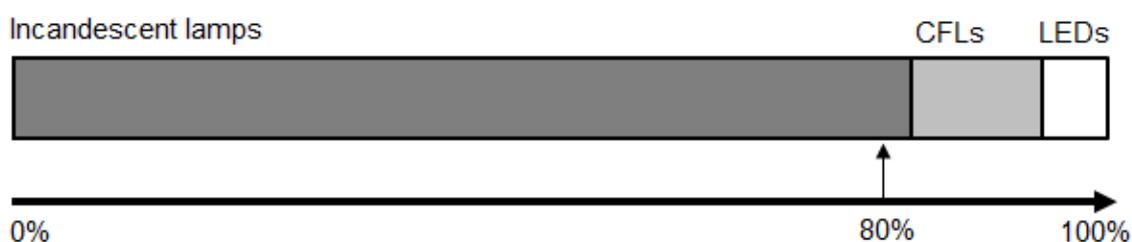
1. The DNA of country C1 develops a standardized baseline applicable to fuel switching measures for steam generation, from fuels with higher emission factors (e.g. coal and diesel) to fuels with lower emission factors (e.g. natural gas and renewable biomass).
2. Fuels are arranged in descending order of emission intensity from F1 to F4, as per the figure below.
3. The applicable value for Xa is 90%, then fuel F4 is additional. If Xb is set at 90% then the baseline fuel is F3 (natural gas).



### 2. Example 2 - Switch of technology

4. The DNA of country C2 developed a standardized baseline applicable to switch of technology in the residential lighting sector, involving the distribution of efficient lightbulbs (CFLs and LEDs) in replacement of incandescent lamps.
5. The following data were collected from a representative sample of lamps in country C2:
  - (a) Historical activity data: annual usage hours;
  - (b) Source of electricity;
  - (c) The design-specific energy consumption (i.e. the reciprocal of the luminous efficacy) in watts per lumen and the lamp power in watts, as the actual electricity consumption of the individual lamps is not monitored;
  - (d) The type of lamp;
  - (e) Location.
6. The positive list was developed based on the "TOOL21: Demonstration of additionality of small-scale project activities" (version 12).
7. As all residential buildings in country C2 are connected to the national grid, the following were considered:
  - (a) The technology switch does not require a switch of the electricity source;

- (b) The design-specific energy consumption of the lamps allows the impact of the switched technology to be distinguished from the impact of the energy source (electricity) on the performance of the lamps;
  - (c) All the lamps are connected to the national grid.
  - (d) The lamps are ranked according to their efficiency (watts per lumen).
8. For each lamp, the output (lumen-hours/year) is calculated as the lamp power (watts) x luminous efficacy (lumens/watt) x annual usage hours (hour/year). To simplify the bar chart below, the incandescent lamps, the CFLs and the LEDs are grouped together and represented by the total output from each group.



9. The baseline threshold  $X_b$  is set at the 80<sup>th</sup> percentile for this priority sector, i.e. energy for households.
10. CFLs and LEDs are more efficient than the lamp at the 80<sup>th</sup> percentile and face barriers that can be objectively demonstrated. Therefore, the positive list may consist of CFLs and LEDs.
11. The baseline emissions of a project lamp should be calculated by multiplying the design-specific energy consumption (watts per lumen) of the lamp at the 80<sup>th</sup> percentile, the annual usage hours of the project lamp, the grid emission factor, the project lamp power (watts) and the luminous efficacy of the project lamp (lumens/watt).

### 3. Example 3 - Methane destruction

12. The DNA of country C3 developed a standardized baseline applicable to methane destruction measures in the municipal waste sector, involving landfill gas recovery and flaring.
13. The country's applicable regulation requires the capture and destruction of A1% of the landfill gas for health and safety reasons and this regulation is enforced.
14. The amount of methane recovered from the landfills and destroyed by landfill above the mandatory regulatory requirements is additional.

### 4. Example 4 - Methane formation avoidance

15. The DNA of country C4 developed a standardized baseline applicable to methane formation avoidance measures in the waste sector, involving the aerobic composting of green waste.
16. In country C4, composting of green waste is not mandatory and faces barriers that can be objectively demonstrated, then the measure is deemed additional.

17. In accordance with small-scale methodology “AMS-III.F: Avoidance of methane emissions through composting” (version 12.0), the baseline was identified as the green waste being left to decay within the country C4 and methane being emitted to the atmosphere. The related emission factors are determined in accordance with the first order decay model of IPCC.

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### Document information

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<i>Version</i>	<i>Date</i>	<i>Description</i>
01.0	29 November 2018	EB 101, Annex 5 Initial adoption  This document has been reclassified from a guideline to a standard. Previous version was “Guidelines for the establishment of sector specific standardized baselines (version 02.0)” (EB 65, Annex 23).

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