



## Annex 66

### PROCEDURES FOR NOTIFYING AND REQUESTING APPROVAL OF CHANGES FROM THE PROJECT ACTIVITY AS DESCRIBED IN THE REGISTERED PROJECT DESIGN DOCUMENT

#### A. Background

1. In accordance with paragraph 62(g) of the CDM Modalities and Procedure, the DOE contracted by the project participant to perform verification shall, “Identify and inform the project participants of any concerns related to the conformity of the actual project activity and its operation with the registered project design document. Project participants shall address the concerns and supply relevant additional information;”
2. If at verification a DOE identifies that the implementation or operation of a CDM project activity does not conform with the description contained in the registered Project Design Document (PDD), and the DOE determines that the changes do not raise concerns with respect to aspects outlined in paragraph 10(c) and the relevant guidelines established by the Executive Board<sup>1</sup>, the DOE shall submit a notification of the changes with relevant documentation in accordance with Section C of this procedure, and the notification will be processed in accordance with Section D of this procedure.
3. If the DOE determines that the changes raise concerns with respect to aspects outlined in paragraph 10(c) and the relevant guideline established by the Board, the DOE shall not conclude the verification/certification of the emission reductions for the corresponding period, and shall notify and seek guidance from the Executive Board on the acceptability of these changes. In this case, the DOE shall submit a request for approval of changes with relevant documentation in accordance with Section C of this procedure, and the request will be processed in accordance with Section E of this procedure.
4. For the changes related to the improvement of accuracy and completeness of the monitoring and/or correct application of the applied monitoring methodology, the DOE shall consider if these can be appropriately addressed through the submission of request for revision of monitoring plan.
5. This document contains procedures for the DOE to notify and request the approval of changes from project description in the PDD the Executive Board. These procedures replace paragraph 75 of the report of thirty-third meeting of the Board.
6. In the future the Executive Board may, as appropriate, make publicly available types of changes from the project description in the PDD, which are considered minor in nature and can be addressed through the verification stage by the DOE without submitting a notification or a request for approval of changes from project description in the PDD.

#### B. Applicability

7. The procedure shall be applied by the DOE for *permanent* changes from the registered project activity under one of the following situations:
  - (a) The project has never been implemented in accordance with description in the registered PDD; or

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<sup>1</sup> Guidelines on Assessment of different types of changes from project activity as described in the registered PDD



- (b) Permanent changes occur after the project activity has been implemented in accordance with the description in the PDD and issuance of CERs has taken place.

**C. Submission of Notification and Request for Approval of Changes from Project Activity as described in the registered PDD**

8. Prior to requesting issuance of CERs, the DOE shall submit a notification or a request for approval of changes from Project Description in PDD, as appropriate, to the secretariat via a dedicated interface on the CDM website.
9. The submission by the DOE shall contain:
- (a) A Validation Opinion;
  - (b) Revised Project Design Document;
  - (c) Supplemental documentation.
10. The Validation Opinion by the DOE shall contain:
- (a) A clear description of the changes as compared to the description in the registered PDD;
  - (b) An assessment on when the changes occurred, reasons for these changes taking place, whether the changes would have been known prior to registration of the project activity, and how the changes would impact the overall operation/ability of the project activity to deliver emission reductions as stated in the PDD;
  - (c) An assessment, following the guideline by the Board, regarding whether or not the changes would impact the following aspects:
    - (i) Additionality of the project activity;
    - (ii) Scale of CDM project activity;
    - (iii) Applicability and application of Approved Baseline Methodology under which the project activity has been registered.

11. Upon receipt of submission by the DOE the secretariat shall expeditiously process the request to determine whether all information and documentation requested has been provided by the DOE. Once deemed complete, the secretariat shall proceed with processing the notification of the changes as outlined in Section D, or the request for approval of changes as outlined in Section E.

**D. Processing Notification of Changes from Project Activity as described in the registered PDD**

12. The secretariat shall within 10 working days prepare an assessment on the notification and documentation submitted by the DOE.
13. The secretariat shall inform the Chair of Executive Board if based on this assessment the changes are considered acceptable and the subsequent requests for issuance may be allowed.
14. The original PDD shall be revised to include the changes submitted by the DOE and the document shall be made available to the public on the UNFCCC CDM website. This version of PDD shall be applied for future requests for issuance.



15. If based on this assessment the changes are not considered acceptable, the secretariat shall, in consultation with the Chair of Executive Board, recommend further consideration by the Executive Board at a subsequent meeting.

**E. Processing Request for Approval of Changes from Project Activity as described in the registered PDD**

16. In line with the current procedure for submitting request for issuance of CERs, an appraisal shall be prepared by a registration and issuance team (RIT) member in accordance with the existing procedure for RIT. The appraisal shall be submitted to the secretariat within a period of 10 working days.

17. Upon receipt of RIT Member appraisal, the secretariat shall within 10 working days prepare a summary and assessment of the request and forward this assessment together with the request and all documentation to the Executive Board for its consideration at a subsequent meeting.

18. The Board's consideration to different situations of project changes will be determined on a case by case basis and may vary, depending on the type of change and its potential impact on the Board's earlier decision to register the project. The Board, in certain cases, may request, the relevant panel(s) and/or working group(s) to provide technical inputs on the submission.

19. The Board shall decide on each request whether:

- (a) To accept the changes and allow the subsequent requests for issuance;
- (b) To accept the changes and allow the subsequent requests for issuance, but limit the Certified Emission Reductions up to the level estimated in the original PDD;
- (c) To reject the changes and not allow the subsequent requests for issuance.

20. Once a decision has been made by the Board, the secretariat shall inform the DOE regarding the decision and any guidance provided by the Board and make this decision and guidance publicly available.

21. The PDD shall be revised to include the changes as approved by the Board and the document shall be made available to the public on the UNFCCC CDM website. This version of PDD shall be applied for future requests for issuance.

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**History of the document**

Version	Date	Nature of revision
01	EB 48, Annex 66, 17 July 2009	Initial adoption
<b>Decision Class:</b> Regulatory <b>Document Type:</b> Procedure <b>Business Function:</b> Issuance		