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Annex 7

DRAFT GUIDELINES ON COMPLETENESS CHECK OF REQUESTS FOR ISSUANCE

A. Background

1. The “Procedures relating to Verification report and certification report/request for issuance of CERs (Version 01.1)” requires the secretariat to conduct a completeness check upon the receipt of a request for issuance.
2. At present completeness checks are guided by the Executive Board’s “Clarifications to facilitate the implementation of the procedures for review as referred to in paragraph 65 of the modalities and procedures for a Clean Development Mechanism”. These guidelines replace the clarifications related to completeness checks in that document.
3. Paragraph 18 (b) of the Decision 2/CMP.4 requests the Executive Board “to continue to streamline the registration and issuance processes of the clean development mechanism by assessing the existing timelines and take the necessary action to ensure the efficient and timely consideration of requests for registration and issuance”.
4. The purpose of this guideline is to improve the efficiency of the processing of requests for issuance. This guideline is designed to achieve this purpose by providing DOEs with a clear understanding of the expected quality standard of submissions. The Board also expects that the enhanced completeness check outlined in this guideline will reduce the volume of cases, and the number issues in each case, which the Board will need to consider in the review process.

B. Processing completeness check

5. The secretariat shall make a list of requests for issuance awaiting completeness check publicly available on the UNFCCC CDM website. The priority order of these requests shall be indicated and shall be determined by the date of submission of request for issuance.
6. While recognizing that the assignment of resources may not result in requests being processed on a first come first served basis, the secretariat shall pay due regard to this priority order in processing requests.

C. Conducting completeness check

7. The purpose of the completeness check is to determine whether:
 - (a) All necessary documents have been submitted;
 - (b) These documents are internally and mutually consistent;
 - (c) These document are complete and comply with the reporting standards of the DCM Executive Board.
8. The following documents are expected to be submitted with a request for issuance:
 - (a) A monitoring report;

**DRAFT**

- (b) A spreadsheet containing the emission reductions calculation;
 - (c) A verification report;
 - (d) A certification report;
 - (e) A request for issuance form;
 - (f) Additional annexes to the monitoring report providing further details and/or relevant information related to the monitoring of the project activity.
9. In conducting the completeness check the secretariat shall firstly:
- (a) Ensure that the documents 8 (a) to (e) above have been submitted;
 - (b) Ensure that spreadsheet are supplied in an assessable (unprotected) format;
 - (c) Ensure relevant annexes have been provided and are in an appropriate format;
 - (d) Ensure that all documents are in English or contain a translation into English in cases where the DOE considers the provision of the original document to be necessary for the purposes of transparency;
 - (e) Ensure that cross-referencing and versioning, including number of Certified Emission Reductions (CERs), within and between the documents is correct and accurate;
 - (f) Ensure that the monitoring periods and crediting periods throughout the documentation are consistent;
10. In addition, the secretariat shall ensure the completeness of documents according to reporting requirements as described below.
- (a) Monitoring Report contains:
 - (i) The implementation status of the project during the monitoring period under consideration;
 - (ii) Monitoring systems and procedures, including any quality assurance and quality control system employed by the project activity;
 - (iii) All parameters required to be monitored and reported at the intervals required by the monitoring plan and the applied methodology;
 - (iv) Information on calibration of monitoring instruments as specified by the monitoring methodology and the monitoring plan;
 - (v) Emission factors, IPCC default values, and other reference values used in the calculation of emission reductions;
 - (vi) Reference to any deviation request approved by the Executive Board for the monitoring period in consideration;

**DRAFT**

- (vii) Calculations of baseline emissions, project emissions, leakage (if any), and emission reductions, including reference to formulae and methods used;
 - (viii) Comparison of the actual emission reduction claimed in the monitoring period with the estimate in the registered PDD, and explanation on any significant increase.
- (b) Spreadsheet of calculation of emission reductions contains:
- (i) Values of the monitored parameters;
 - (ii) Formulae of calculation are shown in the spreadsheet cells for ease of assessment, whenever possible;
 - (iii) Any other explanation with regard to application of formulae in the spreadsheet.
- (c) The verification report contains the reporting requirements as indicated in the relevant sections of the Validation and Verification Manual (version 01), including how the Corrective Action Requests (CAR), Clarification Requests (CL) raised by the DOE during verification are resolved and all Forward Action Requests (FAR) raised in the previous verification are addressed.
- (d) The certification report clearly indicates the monitoring period under verification and the corresponding number of Certified Emission Reductions requested by the DOE.
- (e) The request for issuance form corresponds to the correct number of Certified Emission Reductions in the respective monitoring period and has been signed by the representative of the DOE
11. The request for issuance shall not be published unless the secretariat concludes that it complies with the standards above.

12. If the secretariat identifies non-compliance the DOE shall be notified of the issues raised and requested to revise the documentation to comply. The project participants shall be informed of the status of the request and of the issues of non-compliance identified. It is the responsibility of the DOE to take all reasonable efforts to address the issues raised.

C. Implications of incomplete submissions

13. The secretariat shall report the trend of incomplete submissions to the Executive Board on a regular basis. Continued submission of incomplete requests for issuance by a DOE will be considered by the Board as a serious matter and will be incorporated into the framework for addressing non-compliance by DOEs.
