



Registration - Reporting requirement check

Project Design Document-PDD	EB 48, Annex 60	Compliance check
1 General description	10 (a)	Does the PDD contain all sections for the description of the project activity including details of its project participants, technology, location, estimated amount of reductions and public funding information?
2 Application of the baseline/monitoring methodology		Does the PDD contain the reference, version, justification of the applied methodology?
2.1 Identification of the baseline scenario		Does the PDD describe how the sources and gases are included in the project boundary? Does the PDD describe how the baseline scenario (s) is identified?
3 Additionality		Does the PDD describe how the prior consideration of the CDM was carried out? Does the PDD describe how the continuing and real actions to achieve CDM status were carried out? Does the PDD describe how additionality of the project activity was determine?
3.1 Investment analysis		Does the PDD show the input values, benchmark (if applicable) and results of the investment analysis?
3.2 Barrier analysis		Does the PDD show sensitivity and common practice analyses? Does the PDD describe each of the barriers presented?
4 Emission reductions		Does the PDD explain the methodological choices applied to calculate the baseline, project emissions and emission reductions?
4.1 Methodological choices		Does the PDD list the data and parameters used to calculate the emission reductions ?
4.2 Data and parameters available at validation		Does the PDD include details (such as units, value, source, justification, etc.) of the parameters?
4.3 Ex-ante calculation of emission reductions		Does the PDD describe (with actual data) how the ex-ante calculations of emission reductions was carried out?
5 Monitoring methodology		Does the PDD list the data and parameters to be monitored?
5.1 Monitoring plan		Does the PDD list details (such as unit, source, measurement methods, QA/QC procedures, etc.) for each parameter? Does the PDD describe the monitoring plan?



6	Duration of the project activity	Does the PDD show the duration of the project activity including the project starting date, lifetime and type/dates of crediting period?
---	----------------------------------	--

Letter of Approval/Authorization -LoA		EB 48, Annex 60	Compliance check
1	Host party LoA	10 (c)	Does the LoA from the host party include statements on the Kyoto Protocol ratification, voluntary participation, and sustainable development contribution? Does the LoA from the host party acknowledge the bundle activity (if applicable)?
2	Donor party LoA		Does the LoA from the donor party include statements on the Kyoto Protocol ratification and voluntary participation?
Modalities of Communication - MoC		EB 48, Annex 60	Compliance check
1	MoC	10 (d)	Has the MoC been completed as per the latest 'Procedures for MoC between the project participants and the Executive Board?
Registration request form - F-CDM-REG		EB 48, Annex 60	Compliance check
1	F-CDM-REG	10 (e)	Does the F-CDM-REG correspond to the final submission? Has the DOE's representative signed the F-CDM-REG?
Validation Report - VR		EB 48, Annex 60, 10 (b) VVM, v1.1	Compliance check
1 Letter of Authorisation/Approval -LoA			
1.1	LoA	49 (a)	Has the DOE Reported the LoA?
1.2	LoA source	49 (b)	Does the VR indicate the source of the LoA (e.g. project participants or directly from the DNA)?
1.3	Authenticity	49 (c)	Does the VR indicate the LoA authenticity?
1.4	Statements	49 (d)	Does the VR indicate if the LoA statements are clearly stated? (party of Kyoto Protocol, voluntary participation, host party sustainable development contribution and project activity title)
2 Project design document -PDD			
2.1	Template	55	Has the DOE validated if the PDD complies with the latest template?
3 Project Description			



3.1	Validation method	64 (a)	Has the DOE described the process to validate the accuracy and completeness of the project description?
3.2	Site visit	59-61	If a site visit was not carried out, has the DOE justified the reason?
3.3	validation opinion	64 (b)	Does the VR contain the DOE's opinion of the accuracy and completeness of the project description?
4	Methodology		
4.1	Applicability	75	Has the DOE clearly described that each applicability condition of the methodology/ies is fulfilled by the project activity?
	Conditions	70, 75	Has the DOE determined, by checking on PDD's references and own expertise, if the project activity meets the applicability conditions?
	Emission <1%	76	Does the VR contain information about the project activity's GHG emissions which will contribute more than 1% of the expected ER/year and which are not addressed in the applied methodology?
4.2	Boundary	79	Has the DOE described how the validation of the project boundary has been carried out?
	Applicability	79	Has the DOE provided a statement justifying that the boundary, sources and gases are applicable to the project activity?
4.3	Baseline identification	86	Has the DOE described the steps taken to assess the identification of the baseline scenario of the project activity?
	Assumptions	86 (a)	Has the DOE described all the assumptions/data/references used in the PDD?;
	Relevance of docs	86 (b)	Has the DOE described all relevant documents used?
	Suitability	86 (c)	Has the DOE described the assumptions/data used as justified/reasonable?
	Relevant policies	86 (d)	Has the DOE described the relevant national/sectoral policies/circumstances listed in the PDD?
	Application of meth	86 (e)	Has the DOE described if the methodology is correctly applied to determine the most reasonable baseline scenario?
	Scenario	85	Has the DOE determine if the PDD provides a verifiable description of the baseline scenario(s) which includes the description of the technology and the activities that would take place in the absence of the project activity?
	Crosschecks	87	Does the VR contain a description of other steps taken to cross-check the information given in the PDD?
4.4	Algorithm and formulae	91	Has the DOE described the steps taken to assess the equations applied to calculate baseline/project emissions, leakage and emission reductions as per the chosen methodology? Is the validation opinion referring to:
	Assumptions	91 (a)	all the assumptions/data/references used in the PDD?



<p>References</p> <p>Reasonableness Meth application</p> <p>Reliability</p> <p>Verification of data</p> <p>Equations applicability</p> <p>Ex-ante validation</p> <p>Monitoring data</p> <p>Baseline applicability</p> <p>Correctness</p> <p>4.5 General Methodology application</p>	<p>91 (b)</p> <p>91 (c)</p> <p>91 (d)</p> <p>91 (e)</p> <p>92</p> <p>89</p> <p>90</p> <p>90</p> <p>66</p> <p>66</p> <p>67</p>	<p>all the documents/data used in the PDD are correctly quoted and interpreted in the PDD?</p> <p>all values used in the PDD are reasonable?</p> <p>the baseline methodology as correctly applied to calculate project/baseline emissions, leakage and emission reductions?</p> <p>all estimates of the baseline emissions as replicable using data/values from the PDD?</p> <p>Does the VR describe how the data/parameters used in the equations were verified?</p> <p>Has the DOE determined if the methodology allows selecting different options for equations and parameters and if the selection is appropriate?</p> <p>If data and parameters are fixed ex-ante (not need to monitor) during the project activity crediting period, then the DOE shall validate this to be conservative and appropriate.</p> <p>If data and parameters are monitored during implementation and are available after validation, then the DOE shall confirm that the estimates from the PDD are reasonable</p> <p>Has the DOE determined if the baseline and monitoring methodologies are applicable?</p> <p>Has the DOE determined if the baseline and monitoring methodologies are correctly applied and are not a deviation?</p> <p>Has the DOE ensured that the selected methodology applies correctly to: project boundary, baseline identification and algorithms and/or formulae to determine ERs</p>
<p>5 Additionality</p> <p>5.1 Prior consideration</p> <p>Project starting date</p> <p>Evidences</p> <p>Compliance with guidance</p> <p>5.2 Identification of alternatives</p>	<p>96</p> <p>103 (a)</p> <p>103 (b)</p> <p>103 (c)</p> <p>106</p>	<p>Does the VR contain a description of all the steps taken to cross-check the given information in the PDD? Is the DOE explaining how it has determined that the documentation is authentic.</p> <p>Does the VR contain a description on how the project starting date was validated?</p> <p>Does the VR contain a description on how the evidence provided for prior consideration (if necessary) was assessed?</p> <p>Does the VR provide a clear validation opinion regarding whether the project activity complies with the requirements of EB 49, Annex 22?</p> <p>Has the DOE described whether the list of alternatives is completed?</p>



<p>5.3 Investment analysis</p> <p> Accuracy</p> <p> Sensitivity analyses</p> <p> Suitability of benchmark</p> <p> Feasibility Study Reports (FSRs)</p> <p> Decision</p> <p> Consistency</p> <p> Sectoral expertise</p> <p>5.4 Barrier analysis</p> <p> Credibility</p> <p>5.5 Common practice</p> <p> Geographical scope</p> <p> Assessment</p> <p> Essential distinction</p> <p> Validation opinion</p>	<p>111 (a, b, c) /113 (a, c)</p> <p>110 (e)</p> <p>113 (b)</p> <p>112</p> <p>112 (a)</p> <p>112 (b)</p> <p>112 (c)</p> <p>117 (a, b)</p> <p>117</p> <p>120</p> <p>120 (a)</p> <p>120 (b)</p> <p>120 (c)</p> <p>120 (d)</p>	<p>Has the DOE confirmed the accuracy of financial calculations carried out for any investment analysis?</p> <p>Has the DOE assessed the sensitivity analysis to determine under what conditions variations in the result would occur and the likelihood of these conditions?</p> <p>Does the VR contain a description on how the suitability of any benchmark applied has been assessed?</p> <p>For project activities based on FSRs: In cases where project participants rely on values from FSRs that are approved by national authorities for proposed project activities, has the DOE validated that:</p> <p>The FSR has been the basis of the decision to proceed with the investment in the project</p> <p>The values used in the PDD and associated annexes are fully consistent with the FSR</p> <p>Has the DOE provided a confirmation based on specific local and sectoral expertise?</p> <p>Does the VR contain an assessment of each barrier presented?</p> <p>Does the VR contain an overall determination of the credibility of the barrier analysis presented?</p> <p>Does the VR provide details regarding:</p> <p>Has the geographical scope of the common practice analysis been validated appropriately?</p> <p>Has the DOE undertaken a sufficient assessment of the existence of similar projects?</p> <p>Has the DOE assessed the essential distinctions between the proposed CDM project activity and any similar projects that are widely observed and commonly carried out?</p> <p>Has the DOE confirmed that the project activity is not a common practice?</p>
<p>6 Monitoring</p> <p>6.1 Compliance</p> <p>6.2 Assessment</p>	<p>123 (a)</p> <p>123 (b)</p>	<p>Does the VR contain a statement on the DOE's opinion regarding the compliance of the monitoring plan with the requirements of the methodology?</p> <p>Does the VR describe the steps undertaken to assess if the monitoring arrangements (Eg. 100% monitoring of 6 million households using CFL lights) are feasible to implement within the project design?</p>



6.3	Ability to implement	123 (c)	Does the VR contain a statement on the DOE's opinion regarding the PPs ability to implement the monitoring plan?
7	Sustainable development		
7.1	Host DNA	126	Has the DOE validated that the DNA of the host party confirmed the sustainable development contribution of the project activity?
8	Local Stakeholders Comments		
8.1	Validation method	128 (a)	Has the DOE described the steps taken to assess the adequacy of the local stakeholder consultation?
8.2	Validation opinion	128 (b)	Has the DOE stated its opinion on the adequacy of the local stakeholder consultation?
9	Environmental Impact		
9.1	Environmental Impact	132	Does the VR contain a description if the PPs have undertaken an analysis of environmental impacts and an environmental impact assessment (if required by the host party) as per the host party procedures?
10	Validation Report -VR		
10.1	Summary of validation process	173 (a)	Does the VR include a summary of the validation process and its conclusions?
10.2	Validation conclusions	173 (b)	Does the VR include all the DOE's applied approaches, findings and conclusions as per procedures?
10.3	Global stakeholder consultation	173 (c)	Does the VR include information on the global stakeholder consultation with dates and consideration of comments (if any)?
10.4	List of documents reviewed	173 (d)	Does the VR include a list of interviewees and documents reviewed?
10.5	Validation team	173 (e)	Does the VR include details of the validation team?
10.6	Team CV	173 (g)	Does the VR include appointment certificates or CV of the DOE's validation team members?
11	Validation opinion	175	
11.1	Validation methodology		Does the validation opinion include a summary of the validation methodology, process used and the validation criteria applied?
11.2	Non coverage		Does the validation opinion include a description of the project components or issues not covered by the validation process? Need clarification on what to look for?
11.3	Conclusion		Does the validation opinion include a summary of the validation conclusions?
11.4	Statement on ER		Does the validation opinion include a statement on the validation of the expected emission reductions?
11.5	Criteria met		Does the validation opinion include a statement whether the proposed CDM project activity meets the stated criteria?



12 Global stakeholder consultation 12.1 30days (45 days A/R) 12.2 Comments 12.3 Comments consideration	40	Was the PDD(s) hosted/published for global stakeholder public consultation by the DOE for 30 days (45 days for large-scale Afforestation/Reforestation cases)? Were comments received? Has the DOE taken into account the public comments received?
13 Validation methods 13.1 Audit standards Document review Follow-up actions Referencing Review of calculations	33	Has the DOE applied the required auditing standards? Has the DOE applied the required auditing standards with respect to document review? Has the DOE applied the required auditing standards with respect to follow-up actions: interviews, cross-checking, etc.? Has the DOE applied the required auditing standards with respect to referencing to similar activities? Has the DOE applied the required auditing standards with respect to review of methodology: formulae, calculations?
14 Requests raised by the DOE 14.1 Corrective action requests -CARs 14.2 Clarification requests -CLs 14.3 Forward action requests -FARs 14.4 Closure of CARs and CLs 14.5 FARs on implementation 14.6 Updating the PDD	38-39 38-39 37 37 38 38	How many corrective action requests (CARs) have been raised by DOE? How many clarification request (CLs) have been raised by DOE? How many forward action requests (FARs) have been raised by DOE? Has the DOE closed out the CARs and CLs raised? Are they justified? Are the FARs related to monitoring or implementation? Has the PDD been rectified / updated according to the answers to the CARs, CLs, and/or FARs?

History of the Document

Version 01.0	10 June 2010* <i>*prepared by the secretariat and published on the CDM website as requested by the Board (EB 54, Paragraph 57, 28 May 2010)</i>	Decision Class: Regulatory Business Function: Registration
--------------	--	---