

**POST REGISTRATION CHANGES AND REQUEST FOR ISSUANCE - INFORMATION AND REPORTING CHECK CHECKLIST**

**PS** : Clean development mechanism project standard (version 01.0), EB 65, annex 5, 25 November 2011.

**VVS** : Clean development mechanism validation and verification standard (version 02.0), EB 65, annex 4, 25 November 2011.

Item	Description of the Item	References
<b>POST-REGISTRATION CHANGES - INFORMATION AND REPORTING CHECK CHECKLIST</b>		
<b>1. Temporary deviations from the registered monitoring plan or applied methodology</b>		
<b>1.1 Monitoring report</b>		
1.1.1 Temporary deviations or permanent changes from the registered monitoring plan or applied methodology	Does the monitoring report contain a description of the nature, extent and duration of the non-conforming monitoring and the proposed alternative monitoring of the project activity?	PS para 206
<b>1.2 Validation opinion</b>		
1.2.1 Temporary deviations or permanent changes from the registered monitoring plan or applied methodology	Does the DOE confirm that the temporary deviations from the registered monitoring plan or applied methodology do not require prior approval of the Board, and the provisions of Appendix 1 of Project standard apply to those deviations?	VVS para 252
<b>2. Corrections</b>		
<b>2.1 Revised PDD</b>		
2.1.1 Description of corrections	Does the revised PDD clearly detail the type of corrections to project information and specify how it is in accordance with Appendix 1 of the Project standard?	PS para 209
<b>2.2 Validation opinion</b>		
2.2.1 Corrections to project information - Appendix 1	Does the DOE confirm that the changes do not require prior approval of the Board and the provisions of Appendix 1 of Project Standard apply to those corrections?	VVS para 257
2.2.2 Corrections to project information	Does the DOE confirm that the corrected information is accurate reflection of actual project information?	VVS para 258 (a)



<b>3. Permanent changes from the registered monitoring plan or monitoring methodology</b>		
<b>3.1 Revised PDD</b>		
3.1.1 Description of the proposed changes	Does the revised PDD provide a description of the nature and extent of the non conforming monitoring and the proposed alternative monitoring of the project activity?	PS para 215
	Does the revised PDD detail that the assumptions or discount factors used for GHG emission reductions calculations are not over-estimated as a result of the change?	PS para 217
<b>3.2 Validation opinion</b>		
3.2.1 Confirmation that changes are listed in Appendix 1	Has the DOE validated that the changes from the registered monitoring plan are in accordance to para 4 and 5 of the Appendix 1 of Project standard and do not require prior approval of the Board?	VVS para 248,262
<b>4. Changes to the project design of a registered project activity</b>		
<b>4.1 Revised PDD</b>		
4.1.1 Description of changes	Does the revised PDD contain a description of the nature and extent of the proposed or actual changes to the project design of a registered project activity?	PS para 218 (a) (b) (c)(d)(e)
4.1.2 Impact	Does the revised PDD provide a summary of impacts of the proposed or actual changes to the registered CDM project activity regarding: a) the applicability and application of the applied methodology under the project activity has been registered; b) compliance of the monitoring plan with the applied methodology; c) the level of accuracy and completeness in the monitoring of the project activity; d) the additionality of the project activity; e) the scale of the project activity.	PS para 219
4.1.3 Additionality	Does the revised PDD provide details on the effect on additionality as a result of the changes?	PS para 220 (a) (b)
<b>4.2 Validation opinion</b>		
4.2.1 Confirmation that changes are listed in Appendix 1	Does the validation opinion provide a conclusion whether the changes do not require prior approval by the Board in accordance with appendix 1 of Project Standard?	VVS para 248,270
4.2.2 Description of the changes	Does the validation opinion describe the nature and extent of the actual changes, determine whether this description accurately reflects the implementation, operation and monitoring of the modified project activity?	VVS para 271, 279 (a)



4.2.3 Reasons for the changes	Does the validation opinion contain an assessment on when the changes occurred, reasons for those 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?	VVS para 279 (a)(b)(c)
4.2.4 On-site visit	Has the DOE conducted an on-site visit and assessed the impacts of the actual changes on the monitoring plan, the monitoring methodology and tools and/or the level of accuracy of the monitoring activity?	VVS para 272
4.2.5 Additionality Opinion	Does the assessment report provide an opinion containing the parameters listed from 279 (a)-(b). on how the changes would impact: a) additionality; b) scale; c) applicability and application of the baseline methodology; d) compliance of the monitoring plan with the applied monitoring methodology; e) level of accuracy of the monitoring compared with the requirements contained in the reported monitoring plan?	VVS para 279 (c)
4.2.6 Additionality, scale, applicability and application	Does the assessment report determine that the changes do not adversely impact the conclusion of the validation in respect of (a) additionality of the project activity (b) scale of the project activity (c) applicability and application of approved baseline methodology under which the project has been registered or (d) the compliance of the monitoring plan with the applied monitoring methodology?	VVS para 274
<b>ISSUANCE - INFORMATION AND REPORTING CHECK CHECKLIST</b>		
<b>5. Monitoring Report</b>		
5.1 Implementation status	Does the monitoring report contain the implementation status of the project (including brief description of the installed technology, technical processes and equipments, relevant dates of project activity e.g. date of construction, commissioning, continued operation periods, etc.) during the monitoring period under consideration? For project activities that consist of more than one site, monitoring report shall describe the status of implementation and start date of operation for each site. For project activities with phased implementation, monitoring report shall describe the progress of the project activity achieved in each phase.	VVS para 274
5.2 Prior approval of post-registration changes	Does the monitoring report indicate whether any request for prior approval by the Board of changes to the registered CDM project activity has been submitted and if applicable, the date of approval?	PS para 189



5.3 Monitoring systems/procedures	Does the monitoring report contain description of the monitoring systems, quality assurance and quality control system employed by the project activity, data collection procedures (information flow including data generation, aggregation, recording, calculation and reporting), organizational structure, roles and responsibilities of personnel, emergency procedures for the monitoring system and line diagrams showing all relevant monitoring points?	PS para 190
5.4 Data and parameters	Does the monitoring report contain the values of all parameters used to calculate baseline, project and leakage emissions as well as other parameters required by the applied methodology and the registered monitoring plan? Does the monitoring report contain information on how data and parameters have been monitored?	PS para 191, 192 (a) (c) (d) (e) (f)
5.5 Equipment used to monitor	Does the monitoring report describe the equipment used to monitor each parameter including details on accuracy class and calibration information (frequency, dates of calibration and validity) as specified by the monitoring methodology and the monitoring plan?	PS para 192 (b)
5.6 References	Does the monitoring report contain information about appropriate emission factors, IPCC default values, and any other reference values used in the calculation of emission reductions?	PS para 192 (g)
5.7 Temporary deviations or permanent changes from the registered monitoring plan or applied methodology	Does the monitoring report contain reference whether any request for temporary deviations or permanent changes from the registered monitoring plan or applied methodology has been submitted, and if applicable, the date of approval?	PS para 193
5.8 Calculations	Does the monitoring report contain calculations of baseline emissions, project emissions, leakage (if any), and emission reductions, including reference to formulae and methods used?	PS para 194 (a) (b) (c) (d)
5.9 Comparison of CERs	Does the monitoring report contain a comparison of the actual CERs claimed in the monitoring period with the estimate in the PDD, and explanation on any significant increase, including all information (i.e. data or parameters) that is different from that stated in the registered PDD?	PS para 195
5.10 Sampling Plan	Does the monitoring report contain information on the sampling plan in accordance with the Standard for sampling and surveys for CDM project activities and programme of activities (if applicable)?	PS para 53
<b>6. Spreadsheet</b>		
6.1 Parameters	Does the spreadsheet contain all parameters required to be monitored and reported at the intervals required by the monitoring plan and the applied methodology?	



6.2 Formulae	Does the spreadsheet contain the formulae of calculation that are shown in the spreadsheet cells whenever possible?	
6.3 Explanation	Does the spreadsheet contain any other explanation with regard to application of formulae in the spreadsheet?	
<b>7. Verification Report</b>		
7.1 Implementation status and Phased-implementation delay	Does the verification report describe the implementation status of the project? (For project activities that consist of more than one site, the report shall clearly describe the status of implementation and starting date of operation for each site. For CDM project activities with phased implementation, the report shall state the progress of the proposed CDM project activity achieved in each phase under verification). In case if there is a phased-implementation delay, the report shall describe the reasons and present the expected implementation dates.	VVS para 228 (a)
7.2 Implementation of project	Does the verification report describe the actual operation of the project activity?	VVS para 228 (b)
7.3 Implementation of project	Does the verification report provide information on (data and variables) in the monitoring report that is different from the registered PDD or any approved revised PDD, and has caused an increase in estimates of the emission reductions in the current monitoring period or is highly likely to increase the estimates of emission reductions in the future monitoring periods?	VVS para 228 (c)
7.4 Monitoring Plan	Does the verification report state that the monitoring plan is in accordance with the approved methodology applied by the registered CDM project activity or an approved revised PDD?	VVS para 232
7.5 Monitoring	Does the verification report state whether monitoring has been carried out in accordance with the monitoring plan contained in the registered PDD, approved revised PDD or the accepted revised monitoring plan?	VVS para 235
7.6 Parameters and Conclusion	Does the verification report list each parameter required by the monitoring plan and state how the DOE verified the information flow (from data generation, aggregation, to recording, calculation and reporting) for these parameters including the values in the monitoring reports ? Does the verification report provide a statement on how the values in the monitoring report have been verified?	VVS para 236.284 (e)
7.7 Calibration	Does the verification report contain information whether the calibration of measuring equipments is conducted is conducted at a frequency specified by the methodology, monitoring plan of the registered PDD or the approved revised monitoring plan?	VVS para 243



7.8 Indication on not available data	Does the verification report contain an indication whether data were not available because activity levels or non-activity parameters were not monitored in accordance with the registered monitoring plan? In such cases, does the verification report detail the actions taken by the DOE to ensure that the most conservative assumption theoretically possible has been made?	VVS para 246 (a)
7.9 Cross-checking data	Does the verification report provide a description of how the DOE cross-checked reported data?	VVS para 246 (b)
7.10 Calculation of emission reductions	Does the verification report confirm that appropriate methods and formulae for calculating baseline emissions, project emissions and leakage have been followed? Does the verification report provide a conclusion on the verified amount of emission reductions achieved?	VVS para 246 (c), 284 (i)
7.11 Justification of assumptions	Does the verification report provide an opinion as to whether assumptions, emission factors and default values that were applied in the calculations have been justified?	VVS para 246 (d)
7.12 Process and Scope	Does the verification report provide a summary of the verification process and the scope of verification?	VVS para 284 (a)
7.13 Team	Does the verification report provide details of the verification team (e.g. name, function)?	VVS para 284 (b)
7.14 Findings of desk review and on-site visit	Does the verification report provide the findings of the desk review and site visit?	VVS para 284 (c)
7.15 Findings and Conclusion	Does the verification report provide the findings and conclusions as to whether: i)The project activity has been implemented and operated in accordance with the registered PDD or any approved revised PDD; ii)The monitoring plan complies with the monitoring methodology and the actual monitoring complies with the monitoring plan, including compliance with any guidance provided by the Board regarding deviations from the provisions of a registered plan and/or methodology; (iii) The data and calculation of GHG emission reductions have been assessed to correctly support the emission reductions being claimed.	VVS para 284 (d)
7.16 Post Registration Changes	Does the verification report provide a statement that identifies any changes to the registered PDD, and if applicable their date of approval by the Board?	VVS para 284 (f)
7.17 CARs / FARs	Does the verification report provide an assessment and close-out of any CARs, CLs or FARs issued to the project participants ?If applicable, does the verification report provide an assessment of remaining issues from the previous verification period?	VVS para 284 (g) & (h)



8. Certification Report		
8.1 Monitoring information	Does the certification report indicate the monitoring period under verification and the corresponding number of CERs requested by the DOE?	VVS para 286

### Appendix 1 - Request for Issuance: Information and Reporting Check Issues of an Editorial Nature\*

The table below lists “issues of an editorial nature” for which the secretariat may request the DOE to submit the missing or revised documents and/or information in accordance with paragraph 192 of the PCP.

Item	Description of the Item
1.	Any issue of an editorial nature that is not picked at completeness check stage
2.	Typographical errors in the Monitoring Report (MR) or Verification Report (VR)
3.	Start date of operation missing in MR/VR, except for the first request for issuance and projects with phased implementation
4.	Organisation/management structure missing in MR
5.	Verification report does not include the reporting of parameters at frequency required by monitoring plan or the applied methodology

\* This list is not exhaustive and will be revised as and when required. The secretariat may contact the Designated Operational Entity/Project Participant on any issues of an editorial nature that are not included in the list above.

-----

#### History of the document

Version	Date	Nature of revision(s)
01.0	3 May 2012	Initial publication.
<b>Decision Class:</b> Regulatory <b>Document Type:</b> Information note <b>Business Function:</b> Issuance		