

**CDM-EB65-A32-PROC**

## Procedure

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# Clean development mechanism project cycle procedure

Version 03.1



**United Nations**  
Framework Convention on  
Climate Change

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## **1. Introduction**

### **1.1. Background**

1. The Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (CMP), at its first session, established the basis of a regulatory framework of the clean development mechanism (CDM) to implement Article 12 of the Kyoto Protocol through the annex to decision 3/CMP.1, the annexes II, III and IV to decision 4/CMP.1, the annex to decision 5/CMP.1 and the annex to decision 6/CMP.1. The CMP revised provisions in these decisions through new decisions in subsequent sessions. In addition, the Executive Board of the clean development mechanism (hereinafter referred to as the Board) operationalized the CDM process by adopting various standards, procedures and guidelines and revised them, as appropriate, with a view to improving the CDM process.
2. This document, developed in accordance with the “CDM management plan 2011” under its objective 3(b) “Clarification, consolidation and enhancement of the consistencies of all the existing regulatory decisions of the Board that relate to validation and verification of project activities”, consolidates all procedural provisions relating to the project cycle under the CDM: from prior consideration of seeking CDM status, the publication of project design document (PDD) regarding a CDM project activity or programme design document (PoA-DD) regarding a CDM programme of activities (PoA) up to the issuance of certified emission reductions (CERs) for the CDM project activity or PoA and the renewal of crediting period.
3. The document information section at the end of this document lists all documents that are superseded by this document individually or in conjunction with the “Clean development mechanism project standard” and the “Clean development mechanism validation and verification standard”.

### **1.2. Objectives**

4. The objectives of the “Clean development mechanism project cycle procedure” (hereinafter referred to as this procedure) are to:
  - (a) Improve the consistency and clarity in processing by the Board and the UNFCCC secretariat (hereinafter referred to as the secretariat) of the submissions of documents relating to the registration of a proposed CDM project activity or PoA and issuance of CERs;
  - (b) Enhance the overall efficiency and integrity of the CDM.

## **2. Scope and applicability**

5. This procedure describes the administrative steps to follow for project participants, coordinating/managing entities for PoAs, designated operational entities (DOEs), other stakeholders, the Board and the secretariat for registration of a CDM project activity or PoA, issuance of CERs and related actions.

### **3. Terms and definitions**

6. In addition to the definitions in the “Glossary of CDM terms”, the following terms apply in this procedure:
  - (a) “Shall” is used to indicate requirements to be followed;
  - (b) “Should” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
  - (c) “May” is used to indicate what is permitted.

### **4. Pre-registration activities**

#### **4.1. Prior consideration of the clean development mechanism**

7. For project activities with a start date on or after 2 August 2008, the project participants shall notify the designated national authority(ies) (DNAs) of the host Party(ies) of the project activity and the secretariat in writing of the commencement of the project activity and their intention to seek the CDM status within 180 days of the start date of the project activity as defined in the “Glossary of CDM terms”, by using the “Prior consideration of the CDM form” (F-CDM-PC). Such notification is not necessary if:
  - (a) A PDD regarding the project activity has been published for global stakeholder consultation in accordance with paragraph 16 below; or
  - (b) A new baseline and monitoring methodology is proposed or a revision of an approved baseline and monitoring methodology is requested for the project activity before the start date in accordance with relevant procedures.
8. The secretariat shall maintain a publicly available list of such notifications on the UNFCCC CDM website.
9. For project activities referred to in paragraph 7 above, until they meet a condition in paragraph 7(a) or 7(b) above, the project participants shall inform the secretariat of the progress of the project activity every subsequent two (2) years after the initial notification, using the “Prior consideration of the CDM form” (F-CDM-PC).
10. For project activities with a start date before 2 August 2008, for which the PDD has not been published for global stakeholder consultation or the start date is prior to the date of publication of the PDD for global stakeholder consultation in accordance with paragraph 16 below, the project participants shall provide information to demonstrate that the CDM was seriously considered in the decision to implement the project activity in accordance with the “Clean development mechanism project standard” to the DOE that performs validation of the proposed CDM project activity.
11. Provisions in paragraphs 7–10 above shall not apply to PoAs. However, the coordinating/managing entity may notify to the DNA(s) of the host Party(ies) of the PoA and the secretariat in writing of the intention to seek the CDM status for the PoA, using the “CDM programme of activities prior consideration” form (CDM-PoAP-FORM) for the purpose of determining the start date of the PoA.

## **4.2. Publication of project design document**

### **4.2.1. Submission of project design document**

12. The project participants of a proposed CDM project activity shall complete a PDD, or the coordinating/managing entity of a proposed CDM PoA shall complete a PoA-DD and the PoA-specific component project activity design document (CPA-DD), in accordance with the “Clean development mechanism project standard”, and submit it/them together with supporting documentation, to the designated operational entity (DOE) contracted by the project participants or the coordinating/managing entity to perform validation of the project activity or PoA.
13. The DOE shall make the PDD or PoA-DD publicly available through a dedicated interface on the UNFCCC CDM website for global stakeholder consultation. The duration of the period for submission of comments for the global stakeholder consultation shall be 30 days except with respect to large-scale afforestation and reforestation (A/R) project activities or large-scale A/R PoAs, for which the duration shall be 45 days.
14. When submitting the PDD or PoA-DD, the DOE shall, through a dedicated interface on the UNFCCC CDM website, also submit the following information to be made publicly available:
  - (a) The name of the proposed CDM project activity or PoA;
  - (b) The host Party(ies) of the proposed CDM project activity or PoA;
  - (c) The names of the project participants listed in the PDD or PoA-DD with which the DOE has a contractual relationship for validation of the proposed CDM project activity or PoA, as well as the name of the coordinating/managing entity in the case of PoA;
  - (d) The estimated annual greenhouse gas (GHG) emission reductions or removal enhancements indicated in the PDD or, in the case of a PoA, the estimated total annual GHG emission reductions or removal enhancements of all component project activities (CPAs) expected to be included in the PoA;
  - (e) The approved baseline and monitoring methodology(ies) being applied to the proposed CDM project activity or PoA;
  - (f) Reference to any previous publication of the PDD or PoA-DD for public comments on the UNFCCC CDM website;
  - (g) The proposed start date and length of the first crediting period.
  - (h) In the case of a PoA, in addition to (a)–(g) above:
    - (i) The generic CPA-DDs, which specify the generic information relevant to all CPAs that may be included in the PoA. Where more than one technology/measure or more than one methodology is applied, a generic CPA-DD shall be completed for each technology/measure, each methodology and each combination thereof.
    - (ii) In case where all specific case CPA-DDs to cover all generic CPA-DDs cannot be provided at the time of publication of the PoA-DD for global

stakeholder consultation, at least one specific case CPA-DD corresponding to any of the generic CPA-DDs shall be provided at the time of publication of the PoA-DD for global stakeholder consultation. In this case, for each of the remaining generic CPA-DDs, one specific case CPA-DD shall be provided at the time of request for registration of the PoA or after the registration of the PoA. In the latter case, the specific case CPA-DD shall be provided for approval by the Board in accordance with the post-registration change process as defined in section 6.2 below.

15. When submitting a request for registration of the proposed CDM project activity or PoA, all project participants with a contractual relationship with the DOE for validation of the proposed CDM project activity or PoA shall be listed in the PDD or PoA-DD, unless they have provided a letter of voluntary withdrawal from the project activity or PoA. The DOE may remove project participants that are listed in the PDD or PoA-DD published for global stakeholder consultation but do not have a contractual relationship with the DOE for validation from the PDD or PoA-DD at the time of the request for registration.
16. The DOE may recommence the validation activity through a new or revised contract with a different set of project participants or a different coordinating/managing entity by:
  - (a) Indicating that the first validation contract has been terminated in accordance with paragraph 22(a) below; and
  - (b) Republishing the PDD or PoA-DD or a revised version thereof for global stakeholder consultation in accordance with paragraphs 13 and 14 above.
17. If the DOE is accredited for the validation function in all sectoral scope(s)<sup>1</sup> to which the proposed CDM project activity or PoA is linked through the application of baseline and monitoring methodology(ies), the secretariat, through the CDM information system, shall make the PDD or PoA-DD publicly available on the UNFCCC CDM website. The period for submission of comments for global stakeholder consultation on the PDD or PoA-DD shall commence at midnight GMT subsequent to the publication of the PDD or PoA-DD. The CDM information system shall inform the DOE of the location of the PDD or PoA-DD on the UNFCCC CDM website and the opening and closing dates of the period for submission of comments.
18. If the PDD or PoA-DD applies the previous version of an approved baseline and monitoring methodology, and a request for registration of the proposed CDM project activity or PoA has not been submitted within the grace period for the use of the previous version as defined in the “Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for large scale CDM project activities” or the “Procedures for the revision of an approved small scale methodology by the Executive Board”, the project participants shall revise the PDD, or the coordinating/managing entity shall revise the PoA-DD, applying the revised version of the methodology in its entirety or elements of it as required (e.g. in the case of an approved deviation). In this case, the DOE shall not publish the revised PDD or PoA-DD for global stakeholder consultation, but shall submit it when it submits a request for

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<sup>1</sup> There are 15 sectoral scopes in the CDM and these are used in the accreditation of DOEs. The list of sectoral scopes, the DOEs accredited in each scope as well as the approved baseline and monitoring methodologies linked with these sectoral scopes are given on the UNFCCC CDM website.

registration in accordance with paragraph 56 below, unless otherwise decided by the Board when it approves the revised methodology.

19. If the project participants or the coordinating/managing entity wish to change the approved baseline and monitoring methodology applied in the PDD or PoA-DD that has already been published for global stakeholder consultation, they shall revise the PDD or PoA-DD, and the DOE shall subsequently publish the revised PDD or PoA-DD for global stakeholder consultation in accordance with paragraphs 13–14 above.

#### **4.2.2. Submission and treatment of public comments**

20. Parties, stakeholders<sup>2</sup> and UNFCCC accredited observers<sup>2</sup> may submit comments, in English, on the validation requirements for the proposed CDM project activity or PoA to the DOE through the secretariat via a dedicated interface on the UNFCCC CDM website. The submitters of the comments shall provide the name and contact details of the individual or organization on whose behalf the comments are submitted. The DOE shall check the authenticity of this information in case of doubt.
21. The secretariat shall make the comments publicly available on the UNFCCC CDM website where the PDD or PoA-DD is displayed, and shall remove those that the DOE has determined to be unauthentic in accordance with paragraph 20 above.

#### **4.3. Reporting of validation status**

22. At 180 days subsequent to the end of the period for submission of comments on the PDD or PoA-DD, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update on the status of its validation activity, unless it has submitted a request for registration of the proposed CDM project activity or PoA in accordance with paragraph 56 below. The DOE shall include one of the following statuses in the update:
  - (a) The validation contract has been terminated. In this case the DOE shall also provide a reason for the termination to the Board through the secretariat on a confidential basis;
  - (b) The DOE has issued a negative validation opinion;
  - (c) The DOE has raised one or more corrective action requests or clarification requests, to which no response has been received from the project participants or the coordinating/managing entity, or the DOE is seeking further clarification to the responses received from the project participants or the coordinating/managing entity. In this case the DOE shall also provide a summary of the issues raised and update or reconfirm the status of the validation activities at 90-day intervals thereafter;
  - (d) The DOE has finalized a positive validation opinion with the exception of the receipt of a valid letter of approval from one or more Party(ies) involved. In this case the DOE shall also indicate from which Party(ies) involved a valid letter of approval has not been received;
  - (e) The DOE is performing validation activities and it has not yet sent any corrective action or clarification requests to the project participants or the

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<sup>2</sup> For the purpose of this procedure all members of the public are considered to be stakeholders.

coordinating/managing entity. In this case the DOE shall also provide an explanation on the length of time taken and update or reconfirm the status of the validation activities at 90-day intervals thereafter.

#### **4.4. Modalities of communication**

23. The project participants of a CDM project activity or PoA shall designate one or more focal point entities (hereinafter referred to as focal points) to communicate on their behalf with the Board and the secretariat within the defined scopes of authority referred to in paragraph 26 below and include this information in a modalities of communication (MoC) statement.
24. After the submission of a request for registration of a proposed CDM project activity or PoA in accordance with paragraph 56 below, all official communication between the project participants and the Board or the secretariat for the specific project activity or PoA shall be conducted in accordance with the MoC statement with the exception of communications undertaken in accordance with paragraph 158 and 167(b) below.
25. The project participants or the coordinating/managing entity shall submit to the DOE at the time of validation of the proposed CDM project activity or PoA an MoC statement using the latest version of the form for the "Modalities of communication statement" (F-CDM-MOC), including its annex 1. The contact details of the focal points shall be included in the F-CDM-MOC and the contact details of the project participants in its annex 1.
26. The project participants shall grant the focal points the authority to:
  - (a) Communicate in relation to requests for forwarding of CERs to individual accounts of project participants (scope (a)); and/or
  - (b) Communicate in relation to requests for addition and/or voluntary withdrawal of project participants and focal points, as well as changes to company names, legal status, contact details and specimen signatures (scope (b)); and/or
  - (c) Communicate on all other project or programme-related matters not covered by (a) or (b) above (scope (c)).
27. The project participants may designate separate entities for each scope of authority either in a sole, shared or joint focal point role and shall designate two or more focal points for a shared or joint focal point role.
28. The project participants and the focal points may designate one primary authorized signatory and one alternate authorized signatory. The signature of either the primary or alternate authorized signatory shall suffice for authenticating the project participant's or the focal point's consent or instruction(s).
29. A project participant that is also a focal point for the same CDM project activity or PoA may designate different authorized signatories for the project participant status and for the focal point status.
30. For CDM PoAs, the coordinating/managing entity shall be either the sole or a joint focal point for each scope of authority. The number of joint focal points for a PoA shall be limited to five (5), or equal to the number of host Parties if greater than five (5).

31. The project participants shall not include or refer to private contractual arrangements in an MoC statement such as the establishment of conditions for the designation or change of focal points or the purchase and/or sale of CERs. The project participants and focal points shall be solely responsible for honouring such arrangements.
32. The secretariat shall, when conducting the completeness check of the request for registration submission in accordance with paragraph 61 below, consider the contact details included in annex 1 of the F-CDM-MOC to be the valid contact details of the project participants whenever such details differ from the details of the project participants and their representatives included in annex 1 of the PDD or PoA-DD for the CDM project activity or PoA.
33. The secretariat shall publish the F-CDM-MOC together with its annex 1 on the respective CDM project activity or PoA webpage on the UNFCCC CDM website following the registration of the project activity or PoA.
34. The secretariat shall not make available specimen signatures, contact details and other personal information to anyone other than members of the Board, the project participants, the focal points and the DOE involved in the CDM project activity or PoA.

#### **4.5. Request for deviation from approved methodology**

##### **4.5.1. Submission of request for deviation**

35. If the DOE, when performing validation for a proposed CDM project activity or PoA, or upon request from the project participants or coordinating/managing entity before the publication of the PDD or PoA-DD, finds that the project participants or the coordinating/managing entity deviated from an approved baseline and monitoring methodology when applying it to the proposed project activity or PoA, and the DOE considers that the deviation was due to a project- or programme-specific issue implying that a revision of the methodology would not be required to address the issue, it may seek guidance from the Board on the acceptability of the deviation prior to submission of a request for registration or publication of the PDD or PoA-DD of the proposed CDM project activity or PoA.
36. Alternatively, if the DOE considers that a revision of the methodology would be required to address the project or programme situation, it shall follow the "Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for large scale CDM project activities", the "Procedures for the revision of an approved small scale methodology by the Executive Board" or the "Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for A/R CDM project activities" depending on the project or programme type and scale.
37. If the DOE cannot determine the applicability of the selected methodology to the proposed CDM project activity or PoA, the DOE shall request clarification on the applicability in accordance with the "Procedure for the submission and consideration of queries regarding the application of approved methodologies and methodological tools by designated operational entities to the Meth Panel" or the "Procedure for the submission and consideration of request for clarification on the application of approved small scale methodologies", depending on the project or programme type and scale.

38. To seek guidance from the Board on the acceptability of the deviation, the DOE shall submit the “Deviation from approved methodology request form” (F-CDM-DEV) through a dedicated interface on the UNFCCC CDM website. In the submission the DOE shall provide:
- (a) Clear and precise assessment of the case including demonstration that the deviation does not imply revision of an approved methodology;
  - (b) A description of the impact of the deviation on the GHG emission reductions or removal enhancements from the project activity or PoA for the Board to evaluate.

#### **4.5.2. Processing request for deviation**

39. The secretariat shall maintain a publicly available list of all submitted requests for deviation on the UNFCCC CDM website, excluding supporting documentation provided by the DOE as confidential. The secretariat shall make publicly available the schedule of processing the requests for deviation, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for deviation in accordance with the secretariat’s operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.
40. The secretariat shall commence the processing of the request for deviation in accordance with the schedule. Upon commencement of the processing of the request for deviation the secretariat shall conduct within seven (7) days a completeness check to determine whether the request submission is complete in accordance with paragraph 38 above.
41. If the secretariat, during the completeness check, identifies issues of an editorial nature, it shall request the DOE by e-mail to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
42. Upon conclusion of the completeness check, the secretariat shall notify the DOE of the conclusion of the completeness check. If the request submission is found incomplete, the secretariat shall also communicate the underlying reasons to the DOE and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit a request for deviation with revised documentation. Upon submission of the revised documentation the request shall be treated as a new submission of a request for deviation.
43. Upon determination by the secretariat that the request submission is complete, the secretariat shall, within 14 days, prepare and send to the Board a summary note on the request including a recommendation on the course of action, or with a notification that the case will be placed on the agenda of the next Board meeting.
44. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE, it shall request the DOE to submit revised documents and/or information to clarify the issues within 14 days of receipt of the request. In this case, the secretariat shall, notwithstanding the provision in paragraph 43 above, finalize the summary note and send it to the Board within 14 days of receipt of the requested documents and/or information from the DOE. If the DOE does not submit

the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.

45. If the request submission is removed from processing in accordance with paragraph 44 above, the DOE may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call to the DOE to provide clarifications on the issues identified if they are not sufficiently clear to it. Only one such request shall be allowed per request for deviation. In this case, the DOE shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of receipt of the request. The secretariat shall record the call.
46. If the secretariat, during the preparation of the summary note, identifies issues that require inputs from a relevant panel or working group, it shall place the case on the agenda of the next meeting of the panel or working group. In this case, the secretariat shall, notwithstanding the provisions in paragraphs 43 and 44 above, finalize the summary note and send it to the Board within 14 days of receipt of the inputs from the panel or working group.
47. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 43 above within 20 days of receipt of the summary note, the recommended course of action shall be deemed to be the decision adopted by the Board.
48. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
49. If a member of the Board objects to the secretariat's recommendation on the course of action more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
50. If the Board considers the case at its meeting in accordance with paragraph 43 or 49 above, it shall decide on the course of action at the meeting.
51. The course of action referred to in paragraph 43 above shall be:
  - (a) Approve the deviation and allow submission of a request for registration with the deviation; or
  - (b) Decide that the deviation requires a revision of an approved baseline and monitoring methodology before submitting a request for registration.
52. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision and any guidance provided by the Board as applicable, and make the decision and guidance publicly available on the UNFCCC CDM website.

#### **4.6. Application of multiple methodologies in programme of activities**

53. If the proposed CDM PoA applies more than one approved baseline and monitoring methodology and/or technology or measure in the PoA, the DOE that performs its validation and the coordinating/managing entity shall follow the process in paragraph 54 or 55 below as applicable.

54. If the PoA applies only small-scale methodologies, and if “cross effects” as defined in the “Standard for demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities” exist between the technologies or measures applied, the coordinating/managing entity shall propose methods to account for such cross effects and request approval by the Board using the process in section 4.5 above *mutatis mutandis*. Before submitting such request, the coordinating/managing entity may seek clarification from the Board on cross effects in the proposed combination of technologies or measures, using the “Procedure for the submission and consideration of request for clarification on the application of approved small scale methodologies” by submitting the PoA-DD and generic CPA-DD with completed sections for detailed technical descriptions. Where possible, such clarification requests shall be treated under the “fast track” of the procedure and the clarification shall be provided within 28 days.
55. If the PoA applies only large-scale methodologies, or both large-scale and small-scale methodologies, and if the combination is explicitly permitted in the methodologies, the DOE may proceed with the publication of the PoA-DD or the request for registration without pre-approval by the Board of the application of the multiple methodologies. If the combination is not explicitly permitted in the methodologies, the coordinating/managing entity shall seek clarification from the Board on the eligibility of the proposed combination, using the “Procedure for the submission and consideration of queries regarding the application of approved methodologies and methodological tools by designated operational entities to the Meth Panel”.

## **5. Registration of project activity or programme of activities**

### **5.1. Request for registration**

#### **5.1.1. Submission of request for registration**

56. The DOE, after determining that a proposed CDM project activity or PoA meets all relevant requirements in the “Clean development mechanism project standard” by following the relevant provisions of the “Clean development mechanism validation and verification standard” and other CDM requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for registration of the proposed CDM project activity or PoA by using the “CDM project activity registration request form” (F-CDM-REG) or the “CDM programme of activities registration request form” (F-CDM-PoA-REG), respectively, and all the required documents listed in the completeness checklist for requests for registration.
57. The secretariat shall issue a unique reference number for the submission of the request for registration and a statement of the registration fee due, or confirmation that no registration fee is due, determined in accordance with the provisions on the registration fee, as contained in appendix 1, and shall communicate these to the DOE.
58. The DOE shall communicate to the project participants or the coordinating/managing entity the unique reference number, and the registration fee due or a confirmation that no registration fee is due.

59. The project participants or the coordinating/managing entity shall pay the registration fee by bank transfer, quoting the unique reference number. The DOE shall submit proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC CDM website. If the proposed project activity or PoA applies a methodology that has been revised, withdrawn, or suspended by the Board, either proof of payment must be uploaded within 20 days or payment must be received within 40 days of the end of the grace period for revision or the date of withdrawal or suspension, as defined in the “Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for large scale CDM project activities”, “Procedures for the revision of an approved small scale methodology by the Executive Board” or “Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for A/R CDM project activities”, depending on the project or programme type and scale.

#### **5.1.2. Processing request for registration**

60. The secretariat shall maintain a publicly available list of all submitted requests for registration for which the applicable registration fee has been received on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for registration, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for registration in accordance with the secretariat’s operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.
61. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within seven (7) days a completeness check to determine whether the request for registration submission is complete in accordance with the completeness checklist for requests for registration.
62. If, during the completeness check, the secretariat identifies issues of an editorial nature, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
63. Upon conclusion of the completeness check stage, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for registration with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.
64. Upon conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting checklist for requests for registration.

65. If, during the information and reporting check, the secretariat identifies issues of an editorial nature, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
66. Upon conclusion of the information and reporting check stage, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the information and reporting check stage. If the request submission for which the secretariat conducted an information and reporting check does not meet the requirements of the information and reporting check, the secretariat shall conclude that the request submission is incomplete and communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for registration with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.
67. Upon positive conclusion of the information and reporting check stage, the secretariat shall publish the request for registration on the UNFCCC CDM website, and the request for registration shall be deemed received by the Board for consideration.
68. If the request submission is found incomplete as a result of the information and reporting check, the DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per request for registration. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of receipt of the request. The secretariat shall record the call.
69. If the secretariat notifies the project participants or the coordinating/managing entity, and the DOE, that the request for registration is incomplete, in accordance with paragraph 63 or 66 above, more than 45 days after the submission of the request for registration, and the request for registration was submitted more than 45 days prior to the expiry of the grace period of the previous version of a baseline and monitoring methodology, then for re-submission purposes, the DOE shall be granted an extension of the validity of the methodology by the number of days in excess of the 45 days elapsed before the notification on incompleteness is made.
70. The secretariat shall notify the project participants or the coordinating/managing entity, the DNA(s) of the Party(ies) involved, and the DOE: that the Board has received the request for registration for consideration of registration; that the secretariat has published the request for registration on the UNFCCC CDM website; and the last day by which members of the Board or a Party involved may request a review of the request for registration, as referred to in paragraph 72 below.

71. The secretariat shall, subject to the guidance of the Board, prepare and send to the Board a summary note on the request for registration within 14 days of the date of publication of the request for registration.

#### **5.1.3. Requesting review of request for registration**

72. A Party involved in the proposed CDM project activity or PoA and/or any member of the Board may request a review of the request for registration within 28 days after the date of publication of the request for registration. If a Party involved wishes to request a review, the relevant DNA shall send the request to the Board, through the secretariat, using the “CDM project activity/programme of activities registration request review form” (F-CDM-RR) by official means of communication (such as a letter with recognized official letterhead and signature or an e-mail sent from an official dedicated e-mail account). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the “CDM project activity/programme of activities registration request review form” (F-CDM-RR) and in accordance with appendix 2.
73. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.
74. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the 28-day period following the publication of the request for registration.
75. A request for review shall provide, inter alia, the reasons for the request for review based on the “Clean development mechanism project standard”, “Clean development mechanism validation and verification standard” or any other applicable CDM requirements.

#### **5.1.4. Finalizing request for registration if no request for review**

76. The Board shall register the proposed project activity or PoA as a CDM project activity or PoA if the secretariat does not receive a request for review from a Party involved or at least three members of the Board in accordance with paragraphs 72–75 above.
77. For requests for registration, for which the initial submission was made on or after 11 December 2010, the effective date of registration in the case referred to in paragraph 76 above shall be the date on which the DOE submitted a complete request for registration.
78. For requests for registration, for which the initial submission was made before 11 December 2010, the effective date of registration in the case referred to in paragraph 76 above shall be the next day after the 28-day review request period referred to in paragraph 72 above.

## 5.2. Review of request for registration

### 5.2.1. Commencement of review

79. If a Party involved in a proposed CDM project activity or PoA, or at least three members of the Board request a review of the request for registration, the secretariat shall:
- (a) Notify the project participants or the coordinating/managing entity, and the DOE, that validated the proposed CDM project activity or PoA, that a Party involved in a proposed CDM project activity or PoA, or at least three members of the Board have requested a review of the request for registration;
  - (b) Mark the request for registration as “under review” on the UNFCCC CDM website and make publicly available an anonymous version of each “CDM project activity/programme of activities registration request review form” (F-CDM-RR);
  - (c) Establish a team comprising two experts selected from the Registration and Issuance Team (RIT Team) to conduct an assessment of the request for review. The secretariat shall appoint one of the RIT Team members to serve as the lead, who shall be responsible for all communications with the secretariat.
80. The DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for registration. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of receipt of the request. The secretariat shall record the call.
81. The project participants or the coordinating/managing entity, and the DOE, shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for review.
82. For each issue (or sub-issue) raised in the request for review, the project participants or the coordinating/managing entity, and the DOE, shall either:
- (a) Respond by making any revisions to the PDD or PoA-DD and/or validation report, that they deem necessary to ensure, inter alia, that all facts are clearly stated and sufficiently validated; or
  - (b) Respond in writing by addressing why no revisions to the PDD and/or validation report are necessary.
83. The secretariat shall schedule the commencement of the review of the request for registration in accordance with its operational plans and any relevant instructions by the Board. The secretariat shall make the schedule of reviews publicly available on the UNFCCC CDM website. Upon scheduling the commencement date, or altering it as applicable, the secretariat shall inform the project participants or the coordinating/managing entity, and the DOE, of the scheduled or altered commencement date, respectively.

84. The date of commencement of the review shall be defined as the date on which the secretariat notifies the project participants or the coordinating/managing entity, and the DOE, that the review has commenced.

### **5.2.2. Assessment**

85. The secretariat shall conduct an assessment of the request for registration in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities registration request review form” (F-CDM-RR) and the CDM requirements, taking into account the responses from the project participants or the coordinating/managing entity, and the DOE.
86. Concurrently and independently from the secretariat’s assessment referred to in paragraph 85 above, the RIT Team established in accordance with paragraph 79(c) above shall conduct an assessment of the request for registration in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities registration request review form” (F-CDM-RR) and the CDM requirements, taking into account the responses of the project participants or the coordinating/managing entity, and the DOE.
87. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.
88. Both the secretariat and the RIT Team shall, in each of their assessments, include a proposed decision taking into account appendix 2. Each proposed decision shall suggest either to:
- (a) Register the proposed project activity or PoA; or
  - (b) Reject the request for registration.
89. If a proposed decision is to reject the request for registration, then the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
  - (b) The CDM requirements applied to the facts;
  - (c) The interpretation of the CDM requirements as applied to the facts.
90. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significant importance related to the policies and goals of the CDM arising from the assessment. The secretariat, in consultation with the Chair of the Board, shall bring these issues to the attention of the Board by preparing background notes and policy options and presenting them to the Board at its meetings.
91. The RIT Team shall submit its assessment report to the Board through the secretariat.
92. The secretariat shall inform the Board of the availability of each assessment report, and make each assessment report available to the Board, together with any responses from the project participants or the coordinating/managing entity, and the DOE and any revision to the PDD and/or validation report and other relevant documentation.

### **5.2.3. Consideration by the Board**

93. If the respective assessment reports of the secretariat and the RIT Team contain the same proposed decision (i.e. both are to register the proposed CDM project activity or PoA, or both are to reject the request for registration), then the proposed decision shall become the final decision of the Board 20 days after the date when the availability of the assessment reports of the secretariat and the RIT Team was communicated to the Board, unless a member of the Board objects to the proposed decision.
94. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
95. If a member of the Board objects to the proposed decision more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
96. If the assessment reports of the secretariat and the RIT Team contain different proposed decisions (i.e. one is to register the proposed CDM project activity or PoA, and the other is to reject the request for registration) and the Board receives both proposed decisions more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise, it shall be placed on the agenda of the subsequent Board meeting.
97. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, decide to either:
  - (a) Register the proposed CDM project activity or PoA; or
  - (b) Reject the request for registration.

### **5.2.4. Finalization and implementation of the ruling**

98. If a Board's final decision made in accordance with paragraph 93 or 97 above is to register the proposed CDM project activity or PoA, the secretariat shall register it as a CDM project activity or PoA on the first working day subsequent to the finalization of the decision. The effective date of registration in such cases shall be the day on which the latest revisions to the validation report and/or supporting documentation were submitted.
99. If a Board's final decision made in accordance with paragraph 93 or 97 above is to reject the request for registration, the secretariat shall update the information accordingly on the UNFCCC CDM website on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the secretariat shall provide the Chair of the Board with an information note containing a proposed ruling incorporating the final decision.
100. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision, including, but not limited to:
  - (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The CDM requirements applied to the facts;

- (c) The interpretation of the CDM requirements as applied to the facts.
101. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.
102. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
103. If a member of the Board objects to the proposed ruling more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
104. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, finalize the ruling.
105. The secretariat shall make the final ruling publicly available on the UNFCCC CDM website.

### **5.3. Withdrawal of request for registration**

#### **5.3.1. Submission of request for withdrawal**

106. For the following cases, the DOE shall submit a request for withdrawal of a request for registration by using the “Registration request withdrawal form” (F-CDM-RW) and uploading it through a dedicated interface on the UNFCCC CDM website:
- (a) The project participants or the coordinating/managing entity voluntarily wish to withdraw a proposed CDM project activity or PoA, of which the DOE is requesting for registration<sup>3</sup>;
- (b) The DOE has revised its validation opinion based on new insights or information and has determined that the proposed project activity or PoA does not meet all relevant requirements for a CDM project activity or PoA.

#### **5.3.2. Processing request for withdrawal**

107. Upon receipt of the request for withdrawal, the secretariat shall as soon as possible check the documents submitted.
108. Type 1: If the DOE requests the withdrawal prior to the publication of the request for registration in accordance with paragraph 67 above, the registration fee shall be reimbursed in full to the project participants or the coordinating/managing entity. In this case, the project activity or PoA shall not be marked as “withdrawn”, but the unique reference number assigned to the withdrawn project activity or PoA shall be blocked from further use.

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<sup>3</sup> In such cases the DOE shall process the request expeditiously.

109. Type 2: If the DOE requests the withdrawal during the 28-day period for requesting a review of the request for registration in accordance with paragraph 72 above, any registration fee paid above USD 30,000 shall be reimbursed to the project participants or the coordinating/managing entity, and the proposed CDM project activity or PoA shall be marked as “withdrawn” on the UNFCCC CDM website.
110. Type 3: If the DOE requests the withdrawal subsequent to being notified a request for review of the request for registration in accordance with paragraph 79(a) above, any registration fee paid above USD 30,000 shall be reimbursed to the project participants or the coordinating/managing entity, and the proposed CDM project activity or PoA shall be marked as “withdrawn” on the UNFCCC CDM website.
111. Submissions of requests for withdrawal shall feed into the framework for performance monitoring of DOEs.

## **6. Post-registration activities**

### **6.1. Inclusion of component project activities in programme of activities**

#### **6.1.1. Submission of component project activity design documents**

112. To include a CPA in a registered CDM PoA, the coordinating/managing entity shall forward the completed specific case CPA-DD to any DOE, after having ensured that the CPA and the specific case CPA-DD meet the eligibility criteria for inclusion in the PoA defined in the PoA-DD and its generic CPA-DD. The coordinating/managing entity may forward more than one specific case CPA-DD at one time. Only upon the approval of the first specific case CPA-DD corresponding to a generic CPA-DD by the Board, CPAs corresponding to that generic CPA-DD may be included in the registered CDM PoA.
113. If the DOE confirms that the CPA meets the eligibility criteria for inclusion in the PoA, it shall include the CPA in the PoA by submitting the specific CPA-DD to the Board via uploading it through a dedicated interface on the UNFCCC CDM website. Such uploads shall be grouped and not occur more frequently than once per month.
114. The CPA identified in the specific CPA-DD uploaded by the DOE will be automatically included in the registered CDM PoA and displayed on the view page of that PoA. The secretariat shall automatically notify the DOE, the coordinating/managing entity and the DNA of the change in the status of the PoA.
115. If an approved baseline and monitoring methodology that is applied to the PoA is put on hold or withdrawn for any reason other than for the purpose of inclusion in a consolidated methodology, no new CPAs shall be included in the PoA, in accordance with the timelines indicated in the “Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for large scale CDM project activities”, “Procedures for the revision of an approved small scale methodology by the Executive Board” or “Procedure for the submission and consideration of requests for revision of approved baseline and monitoring methodologies and tools for A/R CDM project activities”, as applicable.
116. If the methodology, subsequent to being placed on hold, is revised, the coordinating/managing entity shall revise the PoA-DD including updating the eligibility criteria for inclusion of CPAs in the PoA to be in line with the revised methodology, and

the generic CPA-DD applying the updated eligibility criteria following the process described in paragraph 133 below . Such revisions to the PoA-DD and the generic CPA-DD are not required in cases where the methodology is revised or withdrawn to be included in a consolidated methodology without being placed on hold, unless otherwise indicated in the report of the Board meeting at which the Board approved the revised or consolidated methodology.

117. Once the revised PoA-DD and generic CPA-DD have been approved by the Board, the inclusion of all new CPAs shall be based on the new version of the generic CPA-DD.
118. The CPAs that were included before the methodology was put on hold shall apply the latest version of the generic CPA-DD at the time of the renewal of the crediting period.

#### **6.1.2. Review of erroneous inclusion or renewal of crediting period of component project activities**

119. If a DNA involved in the PoA or a Board member identifies information that may disqualify the CPA from inclusion in the PoA or renewal of its crediting period, it/he/she shall request a review of the inclusion of the CPA by notifying the Secretary of the Board within one (1) year after the inclusion of the CPA into the PoA or renewal of the crediting period of the CPA, or within 180 days after the first issuance of CERs for that CPA, by submitting a completed "Component project activity inclusion review form" (F-CDM-CPAR). Such a request for review shall be related to issues associated with the compliance of the CPA with the eligibility criteria specified in the PoA-DD.
120. If the request is received from a Board member, the Chair of the Board, in consultation with the secretariat, shall assess the information referred to in paragraph 119 above and decide, within 14 days, whether to add the request for review to the agenda of the next Board meeting.
121. If the Chair of the Board decides not to add the request to the agenda of the next Board meeting, the secretariat shall inform the relevant Board member of the reasons for this decision.
122. If the Chair of the Board decides to add the request to the agenda of the next Board meeting, or if the request has been received from a Party involved, the secretariat shall accordingly notify the coordinating/managing entity, the DOE that included the CPA in the PoA (hereinafter referred to as including DOE) and the DNAs of all Parties involved. The coordinating/managing entity and the including DOE shall provide initial comments on the request for review no later than 28 days from the date of notification of the review.
123. If the request for review is added to the agenda of the next Board meeting in accordance with paragraph 120 or 122 above, the Board shall, at that meeting, taking into account any comments received from the coordinating/managing entity and the including DOE:
  - (a) Exclude the CPA from the PoA with immediate effect if it determines that the CPA was erroneously included in the PoA; and
  - (b) Initiate a full review if it determines that the consideration of the request for review raises concerns regarding the processes used to include CPAs in the PoA.

124. If the Board initiates the full review referred to in paragraph 123(b) above, it shall request the secretariat to contract a DOE, that has not performed validation, registration, CPA inclusion or verification functions with regard to this PoA, to review the CPAs that have been included in the PoA in the one (1) year period or have had their first issuance in the 180-day period preceding the request for review. The DOE shall submit a review report to the secretariat within 30 days.
125. The Board shall establish an assessment team to analyse the DOE's review report referred to in paragraph 124 above and provide findings and recommendations to the Board within 14 days. The assessment team may discuss the findings of the DOE's review report and seek comments from the coordinating/managing entity and including DOE, as appropriate. Based on this assessment, the assessment team shall make a finding as to:
- (a) Whether any CPAs have been erroneously included in the PoA; and
  - (b) Whether the compliance of each of the CPAs reviewed with the eligibility criteria for inclusion in the PoA was adequately assessed by the including DOE in accordance with the validation requirements established by the Board and applicable at the time of the inclusion and, if any, validation requirements established in the CDM-PoA-DD.
126. The Board shall consider the DOE's review report and the assessment team's finding at the next Board meeting for which the report and the finding have been made available by the 14-day document deadline.
127. The Board shall decide to exclude any of the CPAs from the PoA if it concludes that they have been erroneously included.
128. Any CPA that has been excluded shall not be re-included in that or any other PoA, or qualify as a CDM project activity.
129. Where, for any of the CPAs excluded in accordance with paragraph 123(a) or 127 above, the Board determines that the including DOE failed to adequately assess their compliance with the eligibility criteria in accordance with the "Clean development mechanism validation and verification standard", the DOE shall acquire and transfer, within 30 days of the exclusion of the CPAs, an amount of reduced tonnes of carbon dioxide equivalent to the amount of CERs issued for the CPAs as a result of the CPAs having been included, to a cancellation account in the CDM registry maintained by the Board.

## **6.2. Changes to registered CDM project activity or programme of activities**

### **6.2.1. Submission of request for approval of changes**

130. A request for approval of changes may be submitted in respect of the following changes that have occurred or are expected to occur to a registered CDM project activity or PoA:
- (a) Temporary deviation from the monitoring plan as described in the registered PDD or the monitoring methodology;
  - (b) Permanent changes:
    - (i) Corrections;

- (ii) Changes to the start date of the crediting period of the project activity or CPA;
  - (iii) Permanent changes to the monitoring plan as described in the registered PDD or the monitoring methodology;
  - (iv) Changes to the project or programme design in the registered CDM project activity or PoA.
- 131. For CDM PoAs, with regard to the changes referred in paragraph 130 (b) (iv) above, only the following changes shall be allowed:
  - (a) Changes to programme boundary to expand geographical coverage or to include additional host Parties;
  - (b) Changes to the eligibility criteria under the circumstances indicated in the “Standard for demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities” (e.g. to implement changes decided by the Board if an issue related to environment integrity is identified);
  - (c) If a PoA includes more than one generic CPA-DD, addition of specific case CPA-DDs corresponding to generic CPA-DDs for which a specific case CPA-DD has not been submitted at the time of request for registration of the PoA;
  - (d) Changes to apply the provisions of the most recent versions of the “Standard for sampling and surveys for CDM project activities and programme of activities”.
- 132. In the cases described in paragraph 131 above, the coordinating/managing entity shall update the eligibility criteria for inclusion of CPAs in the PoA to reflect the change, and include them in new versions of PoA-DD and generic CPA-DD, to be validated by the DOE and approved by the Board in accordance with paragraph 133 below.
- 133. In the following circumstances, the DOE shall submit a request for approval by the Board prior to the submission of the request for issuance in accordance with paragraph 138 below:
  - (a) The DOE, when performing a verification for a registered CDM project activity or PoA, determines that one or more of the changes referred to in paragraph 130 above have occurred or are expected to occur to the project activity or PoA after its registration, and the changes require “prior approval” by the Board in accordance with the “Clean development mechanism project standard”;
  - (b) The project participants or the coordinating/managing entity have requested a DOE at any time prior to the commencement of a verification, to conduct a validation of one or more of the changes referred to in paragraph 130 above that have occurred or are expected to occur to the project activity or PoA after its registration.
- 134. In the cases referred to in paragraph 133 above, where more than one of the changes referred to in paragraph 130 above have occurred or are expected to occur to the project activity or PoA after its registration, the DOE shall, wherever possible, combine such changes into one request for approval.

135. In all other cases, the DOE that performs a verification of a registered CDM project activity or PoA shall submit the changes for acceptance by the Board as part of the request for issuance in accordance with section 8 below.
136. In both cases referred to in paragraphs 133 and 135 above, the DOE shall be accredited for the validation function in the sectoral scope(s) of the project activity or PoA in question.
137. For the change referred to in paragraph 130 (b) (ii), the request for approval of change may be made only once for each registered CDM project activity or CPA.
138. To obtain approval from the Board for the changes, the DOE shall submit a request for approval of changes to the secretariat through a dedicated interface on the UNFCCC CDM website.
139. The request for approval of changes shall contain:
- (a) A duly completed "Post-registration changes request form" (F-CDM-PRC);
  - (b) An assessment opinion on the changes by the DOE prepared in accordance with the "Clean development mechanism validation and verification standard";
  - (c) Revised PDD, or revised PoA-DD and revised generic CPA-DD (in both clean and track-change versions), as applicable;
  - (d) Letters of approval by the DNAs of the additionally included host Parties in the CDM PoA, as applicable;
  - (e) Supplemental documentation, as appropriate.

#### **6.2.2. Processing request for approval of changes**

140. The secretariat shall maintain a publicly available list of all submitted requests for approval of changes on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for approval of changes, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for approval of changes in accordance with the secretariat's operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.
141. The secretariat shall commence the processing of the request for approval of changes in accordance with the schedule. Upon commencement of the processing of the request for approval of changes, the secretariat shall conduct within seven (7) days the completeness check to determine whether the request submission is complete in accordance with paragraph 139 above.
142. If the secretariat, during the completeness check, identifies issues of an editorial nature, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days of the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

143. Upon conclusion of the completeness check, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the completeness check. If the request submission is found incomplete, the secretariat shall also communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit a request for approval of changes with revised documentation. Upon submission of the revised documentation the request shall be treated as a new submission of a request for approval of changes.
144. Upon determination by the secretariat that the request submission is complete, the secretariat shall, within 14 days, prepare and send to the Board a summary note on the request including a recommendation on the course of action, or with a notification that the case will be placed on the agenda of the next Board meeting.
145. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE, or project participants or the coordinating/managing entity, it shall request the DOE to submit revised documents and/or information to clarify the issues within 14 days of the receipt of the request. In this case, the secretariat shall, notwithstanding the provision in paragraph 144 above, finalize the summary note and send it to the Board within 14 days of receipt of the requested documents and/or information from the DOE. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.
146. If the request submission is removed from processing in accordance with paragraph 145 above, the DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per request for approval of changes. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of receipt of the request. The secretariat shall record the call.
147. If the secretariat, during the preparation of the summary note, identifies issues that require inputs from a relevant panel or working group, it shall place the case on the agenda of the next meeting of the panel or working group. In this case, the secretariat shall, notwithstanding the provisions in paragraphs 144 and 145 above, finalize the summary note and send it to the Board within 14 days of receipt of the inputs from the panel or working group.
148. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 144 above within 20 days of receipt of the summary note, the recommended course action shall be deemed to be the decision adopted by the Board.
149. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Board.

150. If a member of the Board objects to the secretariat's recommendation on the course of action more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
151. If the Board considers the case at its meeting in accordance with paragraph 144 or 150 above, it shall decide on the course of action at the meeting.
152. For the changes referred to in paragraph 130 (b) (iv), the course of action shall be:
- (a) Approve the changes and allow subsequent requests for issuance for the project activity or PoA;
  - (b) Approve the changes and allow subsequent requests for issuance for the project activity or PoA, but, for the case of a project activity, limit the CERs up to the level estimated in the originally registered PDD;
  - (c) Reject the proposed changes but allow subsequent requests for issuance for the project activity or PoA only if it is implemented as described in the registered PDD or PoA-DD.
153. For the changes referred to in paragraphs 130 (a) and (b) (i)-(iii) above, the course of action shall be:
- (a) Approve the changes;
  - (b) Reject the changes.
154. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision and any guidance provided by the Board as applicable, and make the decision and guidance publicly available on the UNFCCC CDM website.
155. The secretariat shall make the revised PDD, or revised PoA-DD and revised generic CPA-DD, and the validation or assessment opinion by the DOE, as applicable, publicly available on the UNFCCC CDM website. This version of the PDD, or PoA-DD and generic CPA-DD, shall be applied for future requests for issuance or for inclusion of new CPAs in the PoA.
156. The CPAs that were included before the change to the programme boundary shall apply the latest version of the generic CPA-DD only at the time of the renewal of its crediting period.

### **6.3. Changes to modalities of communication**

#### **6.3.1. General requirements**

157. The focal point(s) for scope (b) of the CDM project activity or PoA referred to in paragraph 26 above shall request changes to any modalities of the MoC statement to the secretariat as soon as possible after the changes become effective.
158. The authorized signatories or the legal representatives of the project participants may directly notify the secretariat on any issues regarding the F-CDM-MOC or its annexes through a dedicated e-mail account made available on the CDM Registry section of the

- UNFCCC CDM website. In this case, the secretariat may request additional clarifications and shall advise on further actions to the notifying party.
159. The secretariat shall request a new submission of an F-CDM-MOC and its annex 1 through the validating DOE whenever the secretariat identifies inconsistencies or inaccuracies in an initial MoC statement. The secretariat may provide specific guidance for the re-submission.
  160. The secretariat may seek agreement from the project participants to submit a new F-CDM-MOC in cases where the existing MoC statement was submitted prior to the introduction of the F-CDM-MOC and does not clearly define the role(s) of focal point(s) and their respective scopes of authority.
  161. Focal point(s) shall use the latest version of the form for the F-CDM-MOC and its annexes to request changes to MoC statements and shall submit them to the secretariat through a dedicated interface on the UNFCCC CDM website. Project participants shall use the same interface to submit F-CDM-MOCs in accordance with paragraph 167(b) below.
  162. Focal point(s) for scope (b) or project participants who submit F-CDM-MOCs in accordance with paragraph 167(b) below shall ensure that:
    - (a) Supporting documentation, including powers of attorney, or extracts from board meeting minutes or company association documentation, or extracts/certificates from national company registries that cannot be verified online, is dated or notarized within two (2) years from the time of submission of a request for change to established modalities of communication. This time limitation does not apply to letters of approval issued by DNAs nor to copies of national personal identity documents;
    - (b) To the extent possible, changes applicable to more than one CDM project activity or PoA or multiple changes affecting the same CDM project activity or PoA, are consolidated in a single form in accordance with the instructions provided in the CDM Registry section of the UNFCCC CDM website.
  163. Legal representatives signing on behalf of entities shall provide written evidence that they are authorized to sign on behalf of the respective entities.
  164. The secretariat may request additional clarification and/or documentation if submissions do not clearly provide evidence in support of a specific request.
  165. The secretariat shall make detailed guidance available on the CDM Registry section of the UNFCCC CDM website on how to request changes to project participants and focal points.
  166. The secretariat shall display the effective dates of updated F-CDM-MOCs on the corresponding CDM project activity and PoA view pages.

### **6.3.2. Specific requirements on changes to focal points**

167. The project participants for a registered CDM project activity may change the designation of any of the focal points for any reason and at any time by submitting a new F-CDM-MOC duly signed by all project participants, either through:
- (a) The focal point(s) for scope of authority (b); or
  - (b) Any of the project participants directly.
168. The project participants for a registered CDM PoA may change the designation of any of the focal points for any reason and at any time by submitting a new F-CDM-MOC duly signed by and through the coordinating/managing entity. When the coordinating/managing entity is changing, the incoming coordinating/managing entity shall sign and submit the F-CDM-MOC.
169. The focal point(s) for scope of authority (b) shall submit:
- (a) A new F-CDM-MOC for changes related to designation of focal points with the exception of changes affecting only contact details and specimen signatures;
  - (b) Annex 2 of the F-CDM-MOC, for changes related only to contact details and specimen signatures.
170. When a focal point that is not a project participant is added to represent the project participants for any or for all scopes of authority in accordance with paragraph 169(a) above, the focal point(s) for scope of authority (b) or the project participant that makes the submission in accordance with paragraph 167(b) above shall provide written evidence of:
- (a) The new focal point's corporate identity, and
  - (b) The personal identity and employment status of the new focal point's authorized signatory(ies), including their specimen signature(s).
171. The legal representative of a project participant may sign an F-CDM-MOC submitted in accordance with paragraph 169(b) above.
172. The legal representative of a focal point for scope of authority (b) may submit annex 2 of the F-CDM-MOC in accordance with paragraph 167(b) above if the authorized signatory(ies) of the focal point concerned is(are) no longer available.

### **6.3.3. Specific requirements on changes of coordinating/managing entity for programme of activities**

173. In addition to the requirements as referred to in paragraphs 157–172 above, if the coordinating/managing entity for a registered CDM PoA has changed after the registration of the PoA, the DOE undertaking the next inclusion of a CPA shall submit:
- (a) New letter(s) of authorization from each respective host Party stating the change of coordinating/managing entity;
  - (b) A confirmation from the new coordinating/managing entity that the PoA will be developed and implemented with the same set framework as originally described in the PoA-DD; and

- (c) A validation opinion from a DOE regarding the compliance of the new coordinating/managing entity with the relevant requirements in the “Clean development mechanism project standard”.

#### **6.3.4. Specific requirements on changes to project participants**

174. If the project participants of a registered CDM project activity or PoA have changed after the registration of the project activity or PoA, the focal point(s) for scope of authority (b) shall submit annex 2 of the F-CDM-MOC for each of the following changes:
- (a) Addition of a project participant. The submission shall be accompanied by a new letter of approval from the DNA authorizing participation;
  - (b) Changes related to entity names/legal status. The submission shall be accompanied by a letter of approval or validating letter that includes reference to both the old and the new name/legal status of the project participant from the DNA authorizing participation;
  - (c) Withdrawal of a project participant. If a project participant has ceased operations due to bankruptcy or other reasons and is unable to sign annex 2 of the F-CDM-MOC, the submission shall be accompanied by documented evidence of the cessation;
  - (d) Changes related only to contact details and specimen signatures.
175. A project participant added to a registered CDM project activity or PoA shall accept the existing MoC statement unless a new MoC statement is submitted simultaneously.

## **7. Pre-issuance activities**

### **7.1. Publication of monitoring report**

176. The project participants of a registered CDM project activity or the coordinating/managing entity of a registered CDM PoA shall prepare (a) monitoring report(s) in accordance with the “Clean development mechanism project standard”, and submit it/them together with supporting documentation to the DOE contracted by the project participants or the coordinating/managing entity to perform verification of the monitored GHG emission reductions or removal enhancements.
177. The DOE shall make the monitoring report publicly available through a dedicated interface on the UNFCCC CDM website no later than 14 days before undertaking the site-visit for the verification.
178. When submitting the monitoring report, the DOE shall, through a dedicated interface of the UNFCCC CDM website:
- (a) Select the CDM project activity or PoA that the monitoring report concerns from a list of registered CDM project activities or PoAs;
  - (b) Specify the start and end dates of the monitoring period covered by the monitoring report.

179. If the DOE is accredited for the verification function in all sectoral scopes to which the CDM project activity or PoA is linked through the application of baseline and monitoring methodology(ies), the secretariat, through the CDM information system, shall make the monitoring report publicly available on the UNFCCC website.
180. UNFCCC CDM web page where the monitoring report is made available shall contain the following information:
- (a) The name and reference number of the CDM project activity or PoA;
  - (b) A link to the monitoring report;
  - (c) The name of the DOE contracted by the project participants or the coordinating/managing entity for the verification;
  - (d) The name of the DOE that performed the validation of the CDM project activity or PoA.

## **7.2. Reporting of status of registered project activity or programme**

181. At two (2) years subsequent to the registration of a CDM project activity or PoA, the project participants or the coordinating/managing entity shall provide, through a dedicated interface on the UNFCCC CDM website, an update of the status of its implementation of the project activity or PoA, unless a DOE contracted by the project participants or the coordinating/managing entity to perform a verification has made a monitoring report for the project activity or PoA publicly available in accordance with paragraph 177 above. The project participants or the coordinating/managing entity shall include one of the following statuses in the update:
- (a) The project activity or PoA is under implementation, but has not reached the stage of monitoring of GHG emission reductions or removal enhancements. In this case the project participants or the coordinating/managing entity shall also provide an update of the status at 180-day intervals thereafter;
  - (b) The project activity or PoA has not yet been implemented, but is still planned to be implemented. In this case the project participants or the coordinating/managing entity shall also provide an update of the status at 180-day intervals thereafter;
  - (c) The project activity or PoA has been implemented, but the project participants or the coordinating/managing entity have not yet decided to proceed with the request for issuance stage;
  - (d) The implementation of the project activity or PoA has been cancelled;
  - (e) Any other reason for not having submitted a monitoring report for the project activity or PoA.

182. At 180 days subsequent to the publication of the monitoring report, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update of the status of its verification activity, unless it has submitted a request for issuance of CERs for the registered CDM project activity or PoA in accordance with paragraph 183 below. The DOE shall include one of the following statuses in the update:
- (a) The verification contract has been terminated. In this case the DOE shall also provide a reason for the termination to the Board through the secretariat on a confidential basis;
  - (b) The DOE has issued a negative verification opinion;
  - (c) The DOE has raised one or more corrective action requests or clarification requests, for which no response has been received from the project participants or the coordinating/managing entity. In this case the DOE shall also provide a summary of the issues raised and update or reconfirm the status of the verification activities at 90-day intervals thereafter;
  - (d) The DOE is performing verification activities and it has not yet sent any corrective action or clarification requests to the project participants or the coordinating/managing entity. In this case the DOE shall also provide an explanation on the length of time taken and update or reconfirm the status of the verification activities at 90-day intervals thereafter.

## **8. Issuance of certified emission reductions**

### **8.1. Request for issuance**

#### **8.1.1. Submission request for issuance**

183. The DOE shall submit a request for issuance of CERs by using the “CDM project activity issuance request form” (F-CDM-ISS) or “CDM programme of activities issuance request form” (F-CDM-PoA-ISS), as applicable, only after it verifies that the monitored GHG emission reductions or removal enhancements meet the relevant requirements in the “Clean development mechanism project standard” and certifies the quantity of CERs claimed in the monitoring report, by following the relevant provisions of the “Clean development mechanism validation and verification standard” and other CDM requirements.
184. The DOE shall submit the required documents listed in the completeness checklist for requests for issuance. The DOE shall submit the required documents through a dedicated interface on the UNFCCC CDM website.
185. For a PoA, the request for issuance shall relate to all CPAs included in the PoA during the specified monitoring period and shall not be submitted within 90 days of the previous request for issuance. The monitoring periods shall be consecutive. A request for issuance shall relate to the CERs verified as per above.
186. For a PoA, the coordinating/managing entity shall submit a request for forwarding of CERs issued in accordance with the modalities of communication as agreed between project participants.

187. If the DOE submits the changes to a registered CDM project activity or PoA for the acceptance of the Board in accordance with paragraph 135 above, it shall also submit the documentation and information listed in paragraph 139 above, in addition to those referred to in paragraph 184 above.

#### **8.1.2. Processing request for issuance**

188. The secretariat shall maintain a publicly available list of all submitted requests for issuance on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for issuance, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for issuance in accordance with the secretariat's operational plans, i.e. monthly quotas, which shall also incorporate any relevant instructions from the Board.
189. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within seven (7) days a completeness check to determine whether the request for issuance submission is complete in accordance with the completeness checklist for requests for issuance.
190. If the secretariat, during the completeness check, identifies issues of an editorial nature, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
191. Upon conclusion of the completeness check stage, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for issuance with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.
192. Upon conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting checklist for requests for issuance.
193. If the secretariat, during the information and reporting check, identifies issues of an editorial nature, it shall request the DOE by e-mail, copying the project participants or the coordinating/managing entity, to submit the missing or revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two (2) days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

194. Upon conclusion of the information and reporting check stage, the secretariat shall notify the project participants or the coordinating/managing entity, and the DOE, of the conclusion of the information and reporting check stage. If the request submission for which the secretariat conducted an information and reporting check does not meet the requirements of the information and reporting check, the secretariat shall conclude that the request submission is incomplete and communicate the underlying reasons to the project participants or the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for issuance with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.
195. Upon positive conclusion of the information and reporting check stage, the secretariat shall publish the request for issuance on the UNFCCC CDM website, and the request for issuance shall be deemed received by the Board for consideration.
196. If the request submission is found incomplete as a result of the information and reporting check, the DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per request for issuance. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of receipt of the request. The secretariat shall record the call.
197. The secretariat shall notify the project participants or the coordinating/managing entity, the DNA(s) of the Party(ies) involved, and the DOE that: the Board has received the request for issuance for consideration of issuance; the secretariat has published the request for issuance on the UNFCCC CDM website; and the last day by which members of the Board or a Party involved may request a review of request for issuance, as referred to in paragraph 199 below.
198. The secretariat shall, subject to the guidance of the Board, prepare and send to the Board a summary note on the request for issuance within 14 days of the date of publication of the request for issuance.

### **8.1.3. Requesting review of request for issuance**

199. A Party involved in the CDM project activity or PoA and/or any member of the Board may request a review of the request for issuance within 28 days after the date of publication of the request for issuance for the project activity or 42 days of receipt of request for issuance for the PoA, respectively. If a Party involved wishes to request a review, the relevant DNA shall send the request to the Board, through the secretariat, using the "CDM project activity/programme of activities issuance request review form" (F-CDM-IR) by official means of communication (such as a letter with recognized official letterhead and signature or an e-mail sent from official dedicated e-mail account). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the "CDM project activity/programme of activities issuance request review form" (F-CDM-IR) and in accordance with appendix 2.

200. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.
201. A request for review shall be considered to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the request for review period referred to in paragraph 199 above following the publication of the request for issuance.
202. A request for review shall provide, inter alia, the reasons for the request for review based on the “Clean development mechanism project standard”, “Clean development mechanism validation and verification standard” or any other applicable CDM requirements.

#### **8.1.4. Finalizing request for issuance if no request for review**

203. If the secretariat does not receive a request for review from a Party involved or at least three members of the Board in accordance with the modalities described in paragraphs 199–202 above, the Board shall instruct the CDM registry administrator to issue a quantity of CERs claimed in the request for issuance into the pending account of the Board in the CDM registry, in accordance with decision 3/CMP.1, annex, paragraph 66.
204. The secretariat shall inform the project participants or the coordinating/managing entity of the Board’s instruction to the CDM registry administrator and of any share of proceeds payable by the project participants or the coordinating/managing entity to cover administrative expenses of the CDM in accordance with the provisions contained in appendix 1. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.
205. The project participants or the coordinating/managing entity shall pay the share of proceeds and instruct the CDM registry administrator on the distribution of the CERs using the “Certified emission reductions forwarding request form” (F-CDM-FWD). After receiving the share of proceeds and the instruction from the project participants, the secretariat shall forward the CERs to the project participants or the coordinating/managing entity accordingly.

## **8.2. Review of request for issuance**

### **8.2.1. Commencement of review**

206. If a Party involved in a registered CDM project activity or PoA, or at least three members of the Board request a review of the request for issuance, the secretariat shall:
  - (a) Notify the project participants or the coordinating/managing entity, and the DOE, that verified and certified the claimed CERs, that a Party involved in a proposed CDM project activity or PoA, or at least three members of the Board have requested a review of the request for issuance;
  - (b) Mark the request for issuance as “under review” on the UNFCCC CDM website and make publicly available an anonymous version of each “CDM project activity/programme of activities issuance request review form” (F-CDM-IR);
  - (c) Establish a team comprising two experts selected from the Registration and Issuance Team (RIT Team) to conduct an assessment of the request for review.

The secretariat shall appoint one of the RIT Team members to serve as the lead, who shall be responsible for all communications with the secretariat.

207. The DOE, or the project participants or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call to them to provide clarifications on the issues identified if they are not sufficiently clear to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for issuance. In this case, the DOE, or the project participants or the coordinating/managing entity, shall provide the contact details of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of receipt of the request. The secretariat shall record the call.
208. The project participants or the coordinating/managing entity, and the DOE, shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for review.
209. For each issue (or sub-issue) raised in the request for review, the project participants or the coordinating/managing entity, and the DOE, shall either:
- (a) Respond by making any revisions that they deem necessary to the monitoring report and attached spreadsheets, verification report, and/or certification report, and where there is a change in the number of CERs requested, a new request for issuance form, to ensure, inter alia, that all facts are clearly stated and sufficiently verified; or
  - (b) Respond in writing by addressing why no revisions to the monitoring report, verification report, and/or certification report are necessary.
210. The secretariat shall schedule the commencement of the review of the request for issuance in accordance with its operational plans and any relevant instructions from the Board. The secretariat shall make the schedule of review publicly available on the UNFCCC CDM website. Upon scheduling the commencement date, or altering it as applicable, the secretariat shall inform the project participants or the coordinating/managing entity, and the DOE, of the scheduled or altered commencement date, respectively;
211. The date of commencement of the review shall be defined as the date on which the secretariat notifies the project participants or the coordinating/managing entity, and the DOE, that the review has commenced.

### **8.2.2. Assessment**

212. The secretariat shall conduct an assessment of the request for issuance in the context of the reasons for the request for review provided in the "CDM project activity/programme of activities issuance request review form" (F-CDM-IR) and the CDM requirements, taking into account the responses from the project participants or the coordinating/managing entity, and the DOE.
213. Concurrently and independently from the secretariat's assessment referred to in paragraph 212 above, the RIT Team established in accordance with paragraph 206(c) above shall conduct an assessment of the request for issuance in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the "CDM project activity/programme of activities issuance request review

form” (F-CDM-IR), taking into account the responses of the project participants or the coordinating/managing entity, and the DOE.

214. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.
215. Both the secretariat and the RIT Team shall, in their assessment reports, include a proposed decision taking into account appendix 2. Each proposed decision shall suggest either to:
  - (a) Issue the CERs; or
  - (b) Reject the request for issuance.
216. If a proposed decision is to reject the request for issuance, then the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:
  - (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
  - (b) The CDM requirements applied to the facts;
  - (c) The interpretation of the CDM requirements as applied to the facts.
217. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significant importance related to the policies and goals of the CDM arising from the assessment. The secretariat, in consultation with the Chair of the Board, shall bring these issues to the attention of the Board by preparing background notes and policy options and presenting them to the Board at its meetings.
218. The RIT Team shall submit its assessment report to the Board through the secretariat.
219. The secretariat shall inform the Board of the availability of each assessment report, and make each assessment report available to the Board, together with any responses from the project participants or the coordinating/managing entity, and the DOE, and any revision to the monitoring report and/or verification report.

### **8.2.3. Consideration by the Board**

220. If the assessment reports of the secretariat and the RIT Team contain the same proposed decision (i.e. both are to issue the CERs, or both are to reject the request), then the proposed decision shall become the final decision of the Board 20 days after the date when the availability of the assessment report of the secretariat or the RIT Team, whichever the later, was communicated to the Board, unless a member of the Board objects to the proposed decision.
221. An objection by a member of the Board shall be made by notifying the Chair of the Board, through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.

222. If a member of the Board objects to the proposed decision more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
223. If the assessment reports of the secretariat and the RIT Team contain different proposed decisions (i.e. one is to issue the claimed CERs and the other is to reject the request for issuance) and the Board receives both proposed decisions more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise, the case shall be placed on the agenda of the subsequent Board meeting.
224. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, decide either to:
- (a) Issue the CERs; or
  - (b) Reject the request for issuance.

#### **8.2.4. Finalization and implementation of the ruling**

225. If the Board's final decision made in accordance with paragraph 220 or 224 above is to issue the CERs, the Board shall instruct the CDM registry administrator to issue a specified quantity of CERs into the pending account of the Board in the CDM registry, in accordance with decision 3/CMP.1, annex, paragraph 66.
226. The secretariat shall inform the project participants or the coordinating/managing entity of the Board's instruction to the CDM registry administrator and of any share of proceeds payable by the project participants or the coordinating/managing entity to cover administrative expenses of the CDM. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.
227. The project participants or the coordinating/managing entity shall pay the share of proceeds and instruct the CDM registry administrator on the distribution of the CERs using the "Certified emission reductions forwarding request form" (F-CDM-FWD). After receiving the share of proceeds and the instruction from the project participants or the coordinating/managing entity, the secretariat shall forward the CERs to the project participants or the coordinating/managing entity accordingly.
228. If the Board's final decision made in accordance with paragraph 220 or 224 above is to reject the request for issuance, the secretariat shall update the information on the UNFCCC CDM website accordingly on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the secretariat shall provide the Chair of the Board with an information note containing a proposed ruling incorporating the final decision.
229. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The CDM requirements applied to the facts;
  - (c) The interpretation of the CDM requirements as applied to the facts.

230. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.
231. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
232. If a member of the Board objects to the proposed ruling more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
233. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, finalize the ruling.
234. The secretariat shall make the final ruling publicly available on the UNFCCC CDM website.
235. If the request for issuance is rejected in accordance with paragraph 220 or 224 above, the DOE may re-submit the request for issuance with revised documentation if the reasons for the rejection can be addressed by means of a revised verification report, based on a revised monitoring report as appropriate. In this case, the DOE shall submit a request for re-submission of the request for issuance, justifying that the re-submission falls under such case. The Board shall consider such request at its subsequent meeting following receipt of the request and decide whether to allow the re-submission on a case-by-case basis. The Board may provide further guidance, as appropriate. In cases where the re-submitted request for issuance is also rejected by the Board, further re-submission of a request for issuance for the same monitoring period shall not be allowed.

### **8.3. Withdrawal of request for issuance**

#### **8.3.1. Submission of request for withdrawal**

236. For the following cases, the DOE shall submit a request for withdrawal of a request for issuance by using the "Issuance request withdrawal form" (F-CDM-IW) and uploading it through a dedicated interface on the UNFCCC CDM website:
- (a) The project participants or the coordinating/managing entity voluntarily wish to withdraw a request for issuance for the specified monitoring period<sup>4</sup>;
  - (b) The DOE has revised its verification report and/or certification report based on new insights or information.

#### **8.3.2. Processing request for withdrawal**

237. Upon receipt of the request for withdrawal, the secretariat shall as soon as possible check the documents submitted.

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<sup>4</sup> In such cases the DOE shall process the request expeditiously.

238. Type 1: If the DOE requests the withdrawal prior to the publication of the request for issuance in accordance with paragraph 195 above, the request for issuance for the specified monitoring period will not be marked as “withdrawn”. If the DOE re-submits the request for issuance for the same monitoring period after such withdrawal, the request for issuance shall be treated as a new submission.
239. Type 2: If the DOE requests the withdrawal during the 28-day period for requesting a review of the request for issuance in accordance with paragraph 199 above, the request for issuance for the specified monitoring period will be marked as “withdrawn”. The DOE may re-submit the request for issuance without requesting permission from the Board.
240. Type 3: If the DOE requests the withdrawal subsequent to being notified a request for review of the request for issuance in accordance with paragraph 206(a) above, the request for issuance for the specified monitoring period shall be marked as “withdrawn”. The DOE may re-submit the request for issuance for the same monitoring period after such withdrawal. In this case, the DOE shall request permission from the Board to re-submit such request.
241. Submissions of requests for withdrawal shall feed into the framework for monitoring performance of DOEs.

## **9. Renewal of crediting period**

### **9.1. Preparation of revised project or programme design document**

242. Project participants or the coordinating/managing entity wishing to renew the crediting period of a registered CDM project activity or PoA (hereinafter in section 9 “renew/renewal of crediting period of PoA” shall be read as “renew/renewal of PoA” in the context of PoAs) shall update the PDD, or prepare a new PoA-DD and new generic CPA-DD, in accordance with the “Clean development mechanism project standard”.

### **9.2. Request for renewal of crediting period**

#### **9.2.1. Submission of request for renewal of crediting period**

243. The project participants or the coordinating/managing entity shall notify the secretariat, by e-mail or through a dedicated interface on the UNFCCC CDM website, of their intention to request a renewal of crediting period of the registered CDM project activity or PoA by submitting an updated PDD, or new PoA-DD and new generic CPA-DDs, and informing the secretariat of their selection of a DOE to request the renewal of crediting period and to perform related tasks referred to in paragraph 248 below, within 270 to 180 days prior to the date of expiration of the current crediting period. For this purpose, the project participants or the coordinating/managing entity may select any DOE.
244. No fee is due for requests of a renewal of crediting period.
245. When submitting the request for renewal of crediting period, the project participants or the coordinating/managing entity shall ensure that any changes to the list of project participants in the PDD or PoA-DD have been notified to the secretariat in accordance with section 6.3 above.

246. For the purpose of renewal of crediting period it is not necessary to obtain a new letter of approval from Parties involved.
247. The secretariat shall make every effort to inform project participants or the coordinating/managing entity in advance of the period for requesting renewal of crediting period in accordance with the registered modalities of communication. It remains the responsibility of project participants or the coordinating/managing entity to ensure that all actions are taken in accordance with the current section of this procedure in a timely manner. If the notification of the intention to request a renewal of crediting period is not received by the secretariat 180 days prior to the date of expiration of the current crediting period, the project participants or the coordinating/managing entity shall not be entitled to claim the issuance of CERs for the period from the expiration date of the current crediting period until the last date before the crediting period is deemed renewed.
248. The DOE shall submit a request for renewal of crediting period of a registered CDM project activity or PoA using the “Renewal of crediting period request form” (F-CDM-REN) along with the updated PDD, or new PoA-DD and new generic CPA-DD, and updated validation report.
249. For renewal of crediting period of a registered CDM PoA, the coordinating/managing entity shall update the eligibility criteria for inclusion of CPAs in the PoA in accordance with the “Clean development mechanism project standard”, and include them in new versions of the PoA-DD and generic CPA-DD, to be validated by the DOE and approved by the Board in accordance with paragraphs 252–259 below.
250. For renewal of crediting period of CPAs in a registered CDM PoA, if the DOE confirms that the information in the CPA-DD of a CPA included in the PoA complies with the latest version of the PoA and applicable requirements, it shall renew the crediting period of the CPA by submitting the CPA-DD to the Board by uploading it through a dedicated interface on the UNFCCC CDM website. Such uploads shall be grouped and shall not occur more frequently than once per month.
251. The CPA-DDs uploaded by the DOE will automatically have their crediting periods renewed and displayed on the view page of that PoA. The DOE, the coordinating/managing entity and the DNA are automatically notified of the change in the status of the PoA.

### **9.2.2. Processing of request for renewal of crediting period**

252. For processing of the request for renewal of crediting period, the provisions in section 5.1.2 above shall apply mutatis mutandis.

### **9.2.3. Requesting review of request for renewal of crediting period**

253. A Party involved in the CDM project activity or PoA and/or any member of the Board may request a review of the request for renewal of crediting period within 28 days after the date of publication of the request for renewal of crediting period. If a Party involved wishes to request a review, the relevant DNA shall send the request to the Board, through the secretariat, using the “Renewal of crediting period request review form” (F-CDM-RENr) by official means of communication (such as a letter with recognized official letterhead and signature or an e-mail sent from an official dedicated e-mail account). If a member of the Board wishes to request a review, he/she shall

communicate the request to the Board through the secretariat, using the “Renewal of crediting period request review form” (F-CDM-RENR) and in accordance with appendix 2.

254. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.
255. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the 28-day period following the publication of the request for registration.
256. A request for review shall provide, inter alia, the reasons for the request for review based on the “Clean development mechanism project standard”, “Clean development mechanism validation and verification standard” or any other applicable CDM requirements.

#### **9.2.4. Finalizing request for renewal of crediting period if no request for review**

257. The crediting period of the registered CDM project activity or PoA shall be deemed renewed 28 days after the publication of the request for renewal on the UNFCCC CDM website, unless a Party involved or at least three members of the Board request a review of the request for renewal.

#### **9.3. Review of request for renewal of crediting period**

258. For reviews of the request for renewal of crediting period, the provisions in section 5.2 above shall apply mutatis mutandis.
259. The start date of the renewed crediting period shall be the first day after the end date of the previous crediting period, provided that the project participants or the coordinating/managing entity have complied with the notification step referred to in paragraph 243 above.

## Appendix 1. Registration fee schedule

### 1. Background

1. The registration fee schedule set forth in this appendix is adopted in accordance with decisions 4/CMP.1, annex II, paragraph 21; 6/CMP.1, annex, paragraph 13; 7/CMP.1, paragraph 37; 2/CMP.3, paragraph 31; and 2/CMP.5, paragraph 47.
2. This appendix supersedes the “Guidelines on the registration fee schedule for proposed project activities under the clean development mechanism” (EB 54 report, annex 29).

### 2. Registration fee schedule

3. The registration fee schedule applies to submissions of request for registration of proposed project activities and PoAs under the CDM.
4. The share of proceeds to cover administrative expenses is:
  - (a) USD 0.10 per CER issued for the first 15,000 tonnes of CO<sub>2</sub> equivalent for which issuance is requested in a given year;
  - (b) USD 0.20 per CER issued for any amount in excess of 15,000 tonnes of CO<sub>2</sub> equivalent for which issuance is requested in a given year;
  - (c) No share of proceeds shall be due for project activities and PoAs hosted in least developed countries. The application of this exemption shall be based on the status of the country on the date of the publication of the request for issuance of CERs.
5. The registration fee for a project activity shall be the share of proceeds applied to the expected average annual CERs for the proposed project activity over its crediting period, as identified in the PDD and as validated by the DOE.
6. The registration fee for a PoA shall be the share of proceeds applied to the expected average annual CERs of the “actual case” CPA submitted together with the request for registration of the PoA over its crediting period, as identified in the CPA-DD and as validated by the DOE. If more than one specific case CPA-DDs corresponding to different generic CPA-DDs in the PoA are submitted, the registration fee shall be based on the sum of expected average annual CERs of actual case CPAs.
7. Upon re-submission of a request for registration directly following a determination by the secretariat that the submission is incomplete, no registration fee shall be payable unless the re-submission results in an increase in the expected average annual CERs for the proposed project activity, or for the “actual case” CPA submitted together with the request for registration of the PoA, over its crediting period. If the re-submission results in an increase in the expected average annual CERs, then the registration fee due shall be re-calculated upon re-submission. The registration fee due upon re-submission shall be the difference between the re-calculated registration fee and the registration fee previously paid.

8. For the purpose of calculating the registration fee for proposed A/R project activities or A/R PoAs, CERs shall mean the net GHG removals by sinks.
9. The maximum registration fee payable based on this calculation shall be USD 350,000.
10. No registration fee shall be payable for proposed project activities, or proposed PoAs with the “actual case” CPA submitted together with the request for registration of the PoA, with expected average annual CERs over its crediting period, below 15,000 tonnes of CO<sub>2</sub> equivalent.
11. No registration fee shall be payable for proposed project activities or PoAs hosted in least developed countries. The application of this exemption shall be based on the status of the country on the date of the publication of the request for registration.
12. No registration fee shall be payable until after the date of the first issuance of CERs in countries with fewer than 10 registered CDM project activities. The application of this exemption shall be based on the number of registered CDM project activities in the country on the date of the submission of the request for registration.
13. The registration fee shall be reimbursed in full if the DOE withdraws the request for registration of the proposed project activity or PoA prior to the date on which the secretariat publishes the request for registration on the UNFCCC CDM website.
14. Any portion in excess of USD 30,000 of the registration fee shall be reimbursed if the DOE withdraws the request for registration of the proposed project activity or PoA subsequent to the date on which the secretariat publishes the request for registration on the UNFCCC CDM website, or if the Board rejects the request for registration of the proposed project activity or PoA. Should the registration fee be USD 30,000 or less, no reimbursement shall be made in these cases.
15. The registration fee shall be deducted from the share of proceeds due for the issuance of CERs. In effect, the registration fee is an advance payment of the share of proceeds due for the issuance of CERs likely to be achieved during the first year.

## **Appendix 2. Requesting a review and making decisions and objections regarding review assessments**

### **1. Background**

1. The purpose of this appendix is to provide the Board with a framework to maintain the consistency and objectivity of its decisions and rulings and to provide greater transparency to CDM stakeholders regarding the criteria applied by the Board in deciding upon case specific matters related to registration and issuance.
2. This appendix also serves to provide direction to the secretariat and members of the RIT in performing assessments and making recommendations as required by the relevant provisions in this procedure.
3. This appendix replaces the “Guidelines for requesting a review and making decisions and objections regarding review assessments” (EB 59 report, annex 14).

### **2. Authorization of alternate member**

4. In cases where a member of the Board is unable to carry out his or her functions for a period of time, he/she may decide to delegate the authority to request reviews, object to assessments and object to proposed rulings to his/her alternate member. This delegation of authority shall be for a defined period of time to be notified by the member to the Secretary to the Board. All Board members shall be informed of this delegation of authority via the Board listserv. To simplify the text in the following sections of this appendix, “member(s) of the Board” includes alternate members duly authorized in this manner, unless “alternate members of the Board” is explicitly mentioned.

### **3. Requesting a review**

#### **3.1. General**

5. In accordance with paragraphs 72, 199 and 253 of this procedure, any members of the Board may request a review of any request for registration, issuance or renewal of crediting period.
6. In accordance with paragraphs 71, 198 and 252 of this procedure, the Board may be provided by the secretariat with a summary note on the request for registration, issuance or renewal of crediting period for its consideration of the request. It remains the responsibility of individual members of the Board to determine whether a request for review is appropriate.

#### **3.2. Grounds for requesting a review**

7. It is expected that members of the Board will request a review when the request for registration, issuance or renewal of crediting period would raise the concern of a reasonable reader regarding whether the proposed project activity or PoA, or registered CDM project activity or PoA for the new crediting period, complies with the applicable CDM rules and requirements.

8. A request for review would imply that the information contained in the request for registration, issuance or renewal of crediting period does not demonstrate that the project activity or PoA meets the applicable CDM rules and requirements for registration, issuance or for the new crediting period, respectively. It is therefore expected that members of the Board would be specific regarding the nature of the concern and, where appropriate, include references to the source of the concern within the submitted documentation.

#### **4. Matters to be considered in taking decisions regarding a review**

##### **4.1. General**

9. In considering a request for review of request for registration, issuance or renewal of crediting period, the Board will only consider the information contained in the request for registration, issuance or renewal of crediting period, including any responses by the DOE or the project participants, a summary note prepared by the secretariat, assessment reports prepared by the secretariat and RIT Team, and the applicable CDM rules and requirements.

##### **4.2. Requests for registration**

10. In accordance with paragraph 97 of this procedure, the Board shall, at its meeting where the case of request for registration is placed on the agenda, decide on the registration.
11. The Board shall reject the request for registration of the proposed project activity or PoA in situations where the request for registration does not contain sufficient information to demonstrate to a reasonable reader that the proposed project activity or PoA complies with the applicable CDM rules and requirements for the registration of proposed project activities or PoAs.
12. The Board shall reject the request for registration if it:
- (a) Contains information which indicates that the proposed project activity or PoA does not comply with the applicable requirements;
  - (b) Contains information which indicates that the validation activity has not been conducted in a manner that complies with the relevant requirements of either the “CDM accreditation standard for operational entities” or the “Clean development mechanism validation and verification standard”;
  - (c) Contains contradictory facts regarding the compliance of the proposed project activity or PoA with the applicable CDM rules and requirements;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the PDD, but without evidence regarding whether or how such facts have been validated.
13. The reason for rejection of a request for registration should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for registration when the response(s) by the DOE or the project

participants to the request for review raise(s) new critical concern(s) of the Board regarding whether the request for registration complies with other applicable CDM rules and requirements to register the proposed project activity or PoA. Prior to rejecting a request for registration based on exceptional circumstances, the Board may, at its prerogative, have a teleconference with the DOE and/or project participant(s) during the Board meeting at which it considers the request for registration, in an attempt to clarify the concern(s).

#### **4.3. Requests for issuance**

14. In accordance with paragraph 224 of this procedure, the Board shall, at its meeting where the case of request for issuance is placed on the agenda, decide on the issuance.
15. The Board shall reject the request for issuance in situations where the request for issuance does not contain sufficient information to demonstrate to a reasonable reader that the request for issuance complies with the applicable CDM rules and requirements for the issuance of CERs.
16. The Board shall reject the request for issuance if it:
  - (a) Contains information which indicates that the project activity or PoA has not complied with the applicable requirements for operating and monitoring registered CDM project activities or PoAs;
  - (b) Contains information which indicates that the verification activity has not been conducted in a manner that complies with the relevant requirements of either the “CDM accreditation standard for operational entities” or the “Clean development mechanism validation and verification standard”;
  - (c) Contains contradictory facts regarding the compliance of the monitoring or operation of the CDM project activity or PoA with the applicable CDM rules and requirements;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the monitoring report, but without evidence regarding whether or how such facts have been verified.
17. The reason for rejection of a request for issuance should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for issuance when the response(s) by the DOE or the project participants to the request for review raises new critical concern(s) of the Board regarding whether the request for issuance complies with other applicable CDM rules and requirements for the issuance of CERs. Prior to rejecting a request for issuance based on exceptional circumstances, the Board may, at its prerogative, have a teleconference with the DOE and/or project participant(s) during the Board meeting at which it considers the request for issuance, in an attempt to clarify the concern(s).

#### **4.4. Requests for renewal of crediting period**

18. In accordance with paragraph 97 effected by paragraph 258 of this procedure, the Board shall, at its meeting where the case of request for renewal of crediting period is placed on the agenda, decide on the renewal of crediting period.
19. The Board shall reject the request for renewal of crediting period in situations where the request for renewal of crediting period does not contain sufficient information to demonstrate to a reasonable reader that the registered CDM project activity or PoA complies with the applicable CDM rules and requirements for the registration of project activities or PoAs for the new crediting period.
20. The Board shall reject the request for renewal of crediting period if it:
  - (a) Contains information which indicates that the registered CDM project activity or PoA does not comply with the applicable requirements for the new crediting period;
  - (b) Contains information which indicates that the validation activity has not been conducted in a manner that complies with the relevant requirements of either the “CDM accreditation standard for operational entities” or the “Clean development mechanism validation and verification standard”;
  - (c) Contains contradictory facts regarding the compliance of the registered CDM project activity or PoA with the applicable CDM rules and requirements in the new crediting period;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the updated PDD, or new PoA-DD and the new generic CPA-DD, but without evidence regarding whether or how such facts have been validated.
21. The reason for rejection of a request for registration should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for renewal of crediting period when the response(s) by the DOE or the project participants to the request for review raise(s) new critical concern(s) of the Board regarding whether the request for renewal of crediting period complies with other applicable CDM rules and requirements to renew the crediting period of registered CDM project activities or PoAs. Prior to rejecting a request for renewal of crediting period based on exceptional circumstances, the Board may, at its prerogative, conduct a teleconference with the DOE and/or project participant(s) during the Board meeting at which it considers the request for renewal of crediting period, in an attempt to clarify the concern(s).

#### **5. Objections to proposed decisions in assessments**

22. In accordance with paragraphs 94 and 221 of this procedure, any members of the Board may object to a proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team regarding the request for registration or issuance under review.

23. It is expected that members of the Board will only object to a proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team in situations where both assessments:
- (a) Did not consider a fact (or set of facts) that, if considered, would result in different proposed decision;
  - (b) Contain an erroneous finding of fact (or set of facts) that, if corrected, would result in a different proposed decision;
  - (c) Contain an unreasonable interpretation of an applicable CDM rule or requirement that, if corrected, would result in a different proposed decision; or
  - (d) Contain an unreasonable application of an applicable CDM rule or requirement to the facts that, if corrected, would result in a different proposed decision.

## **6. Objections to proposed rulings**

24. In accordance with paragraphs 102 and 231 of this procedure, any members of the Board may object to a proposed ruling prepared by the secretariat subsequent to a decision by the Board to reject a request for registration or issuance.
25. It is expected that members of the Board will only object to the proposed ruling prepared by the secretariat in the following situations:
- (a) The proposed ruling does not contain a sufficient basis or explanation for the decision contained in the ruling; and
  - (b) The ruling differs from the assessment that formed the basis of the decision. These differences include the following:
    - (i) The findings of fact;
    - (ii) The interpretation of an applicable CDM rule or requirement;
    - (iii) The application of a CDM rule or requirement as applied to the facts.

## **7. Consideration of review cases at Board meetings**

### **7.1. Consideration of reviews placed on the agenda without objection**

26. In accordance with paragraphs 96 and 223 of this procedure, if the proposed decisions contained in the assessment reports prepared by the secretariat and the RIT Team differ, the case shall be considered at a Board meeting.
27. The Board should apply the following process to its consideration of the case:
- (a) First, the secretariat will present whichever assessment has recommended the rejection of the proposed project activity or PoA, outlining the requirement being questioned and the facts considered in the assessment;
  - (b) Members and alternate members of the Board may seek clarifications regarding the facts and evidence contained in the relevant request for registration or issuance, including the response by the DOE or the project participants to the request for review; and the applicable requirements;

- (c) Once members of the Board have received the necessary clarifications the Chair of the Board should invite its members and alternate members to express their opinions regarding the recommendation;
- (d) On the basis of the opinions expressed the Chair of the Board shall propose to the Board either to accept the recommendation or not;
- (e) If consensus with the Chair's proposal is not achieved, the Chair of the Board may proceed to seek adoption of a decision via a vote in accordance with the "Rules of procedure of the Executive Board of the clean development mechanism".

## **8. Consideration of reviews placed on the agenda due to an objection**

- 28. In accordance with paragraphs 95 and 222 of this procedure, if a member of the Board objects to the proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team, the case shall be considered at a Board meeting.
- 29. The Board should apply the following process to its consideration of the case:
  - (a) First, the member(s) of the Board who made an objection should present the reasons for the objection, making reference to the additional facts or interpretations relied on beyond the assessments;
  - (b) Members and alternate members of the Board may seek clarifications regarding the presentation;
  - (c) The secretariat may provide any clarifications of the facts and evidence contained in the relevant request for registration or issuance, including the response by the DOE or the project participants to the request for review; and the applicable requirements;
  - (d) Once members have received the necessary clarifications the Chair of the Board should invite its members and alternate members to express their opinion regarding the objection;
  - (e) After this discussion, the Chair of the Board shall determine and propose to the Board whether the objection should be further considered;
  - (f) If consensus with the Chair's proposal is not achieved, the Chair of the Board may proceed to seek adoption of a decision via a vote in accordance with the "Rules of procedure of the Executive Board of the clean development mechanism".

## **9. Consideration of objections to proposed rulings at Board meetings**

- 30. In accordance with paragraphs 104 and 233 of this procedure, the Board shall, at its meeting where the case of a proposed ruling is placed on the agenda, finalize the ruling.
- 31. The Board should apply the following process to its consideration of the case:
  - (a) First, the member(s) of the Board who made an objection should present the reasons for the objection, making reference to the precise areas of concern within the draft and proposing an alternative;

- (b) Members and alternate members may seek clarifications regarding the presentation;
- (c) The secretariat may provide any clarifications of a factual nature;
- (d) Once members have received the necessary clarifications the Chair of the Board should invite its members and alternate members to express their opinion regarding the objection;
- (e) After this discussion, the Chair of the Board shall determine and propose to the Board whether the objection should be accounted for in the final revision;
- (f) If the objection is upheld by the Board, the Chair of the Board shall request the secretariat to revise the ruling for adoption at the same meeting of the Board.

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### Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
03.1	3 December 2012	Editorial changes at paragraphs 12, 14(b) and 137.
03.0	23 November 2012	EB 70, Annex 4 Revision to reflect revised requirements for PoAs.
02.0	2 March 2012	EB 66, Annex 64 Revision to: <ul style="list-style-type: none"> <li>• Add a clarification on the necessity of publishing a revised PDD or PoA-DD for global stakeholder consultation if the project participants wish to change an approved baseline and monitoring methodology applied in the PDD or PoA-DD published already</li> <li>• Add a provision on the extension of the validity period of the methodology applied in a request for registration for the re-submission of a request for registration, based on the related provision in the “Guidelines on completeness check of requests for registration”, which has been withdrawn</li> <li>• Correct or modify the titles of referred documents</li> </ul>
01.0	25 November 2011	EB 65, Annex 32 Initial adoption. This document, along with the “Clean development mechanism project standard” and the “Clean development mechanism validation and verification standard”, supersedes and replaces the following documents on the date when these three document above enter into force: <ul style="list-style-type: none"> <li>• Clean development mechanism validation and verification manual (version 01.2)</li> <li>• Procedures for requesting post-registration changes to the start date of the crediting period (version 02.0)</li> <li>• Procedures for modalities of communication between project participants and the Executive Board (version 01.0)</li> <li>• Procedures for registration of a programme of activities as a single CDM project activity and issuance of certified emission reductions for a programme of activities (version 04.1)</li> <li>• Procedures for processing and reporting on validation of CDM project activities (version 03.0)</li> <li>• Procedures for requests to the Executive Board for deviation from an approved methodology (version 01.0)</li> <li>• Procedures for approval of the application of multiple methodologies to a programme of activities (version 01.0)</li> <li>• Procedure for requests for registration of proposed CDM project activities (version 2.0)</li> <li>• Procedures for review of erroneous inclusion of a CPA (version 03.0)</li> <li>• Procedures for withdrawal of a request for registration</li> </ul>

<i>Version</i>	<i>Date</i>	<i>Description</i>
		<p>(version 01.0)</p> <ul style="list-style-type: none"> <li>• Procedure for review of requests for registration (version 01.2)</li> <li>• Procedures for renewal of the crediting period of a registered CDM project activity (version 06.0)</li> <li>• Making the monitoring report available to the public in accordance with § 62 of the modalities and procedures for the CDM (version 01.0)</li> <li>• Procedure for requests for issuance of CERs (version 01.2)</li> <li>• Procedures for withdrawal of a request for issuance of certified emission reductions (version 01.0)</li> <li>• Procedure for review of requests for issuance of CERs (version 01.3)</li> <li>• Procedures for notifying and requesting approval of changes from the project activity as described in the registered PDD (version 01.0)</li> <li>• Procedures for revising monitoring plans in accordance with paragraph 57 of the modalities and procedures for the CDM (version 02.0)</li> <li>• Procedures for requests for deviation prior to submitting request for issuance (version 01.0)</li> <li>• Guidelines on the demonstration and assessment of prior consideration of the CDM (version 04.0)</li> <li>• Guidelines on the registration fee schedule for proposed project activities under the clean development mechanism (02.0)</li> <li>• Guidelines for requesting a review and making decisions and objections regarding review assessments (version 02.0)</li> <li>• Clarification regarding the “Procedures for registration of a programme of activities as a single CDM project activity and issuance of certified emission reductions for a programme of activities (version 01.0)</li> <li>• Form to submit request for revision of monitoring plan (F-CDM-REVMP) (version 01.0)</li> <li>• Form for submission of requests for deviation prior to submitting request for issuance (F-CDM-DEV-ISS) (version 01.0)</li> </ul>

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