



Annex [X]

DRAFT CLEAN DEVELOPMENT MECHANISM PROJECT CYCLE PROCEDURE

(Version 01)

Table of contents

I. BACKGROUND	3
II. PRE-REGISTRATION ACTIVITIES	4
A. PRIOR CONSIDERATION OF SEEKING CLEAN DEVELOPMENT MECHANISM STATUS	4
B. PUBLICATION OF PROJECT DESIGN DOCUMENT	5
1. Submission of project design document	5
2. Submission and treatment of public comments	6
C. REPORTING OF VALIDATION STATUS	6
D. MODALITIES OF COMMUNICATION	7
E. REQUEST FOR APPROVAL OF APPLICATION OF MULTIPLE METHODOLOGIES IN PROGRAMME OF ACTIVITIES	8
F. REQUEST FOR DEVIATION FROM APPROVED METHODOLOGY	9
1. Submission of request for deviation	9
2. Processing request for deviation	9
III. REGISTRATION OF PROJECT ACTIVITY OR PROGRAMME OF ACTIVITIES	11
A. REQUEST FOR REGISTRATION	11
1. Submission of request for registration	11
2. Processing request for registration	11
3. Requesting review of request for registration	13
4. Finalizing request for registration if no request for review	13
B. REVIEW OF REQUEST FOR REGISTRATION	14
1. Commencement of review	14
2. Assessment	14
3. Consideration by the Board	15
4. Finalization and implementation of the ruling	16
C. INCLUSION OF COMPONENT PROJECT ACTIVITIES IN PROGRAMME OF ACTIVITIES	17
1. Submission of component project activity design documents	17
2. Review of erroneous inclusion or renewal of crediting period of component project activities	18
D. WITHDRAWAL OF REQUEST FOR REGISTRATION	19
1. Submission of request for withdrawal	19
2. Processing request for withdrawal	19
IV. POST-REGISTRATION MODIFICATIONS	20
A. CHANGES TO REGISTERED CDM PROJECT ACTIVITY	20
1. Submission of request for approval of changes	20
2. Processing request for approval of changes	21
B. CHANGES TO MODALITIES OF COMMUNICATION	22
V. PRE-ISSUANCE ACTIVITIES	25
A. PUBLICATION OF MONITORING REPORT	25
1. Implementation of monitoring plan	25
2. Submission of monitoring report	25
B. REPORTING OF STATUS OF REGISTERED PROJECT ACTIVITY OR PROGRAMME	25
VI. ISSUANCE OF CERTIFIED EMISSION REDUCTIONS	26



DRAFT

A. REQUEST FOR ISSUANCE.....	26
1. Submission request for issuance.....	26
2. Processing request for issuance.....	27
3. Requesting review of request for issuance.....	28
4. Finalizing request for issuance if no request for review.....	29
B. REVIEW OF REQUEST FOR ISSUANCE.....	29
1. Commencement of review.....	29
2. Assessment.....	30
3. Consideration by the Board.....	31
4. Finalization and implementation of the ruling.....	31
C. WITHDRAWAL OF REQUEST FOR ISSUANCE.....	32
1. Submission of request for withdrawal.....	32
2. Processing request for withdrawal.....	32
VII. RENEWAL OF CREDITING PERIOD.....	33
A. PREPARATION OF REVISED PROJECT OR PROGRAMME DESIGN DOCUMENT.....	33
B. APPLICATION FOR RENEWAL OF CREDITING PERIOD.....	34
C. PROCESSING OF REQUEST FOR RENEWAL OF CREDITING PERIOD.....	35
VIII. ADDRESSING SIGNIFICANT DEFICIENCIES IN PAST VALIDATION, VERIFICATION OR CERTIFICATION REPORT [To be developed].....	35



DRAFT

I. 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 with a view to improving the CDM process.

2. This document consolidates all procedural provisions relating to the project cycle under the CDM: from the publication of project design document (PDD) regarding a CDM project activity or programme of activities (PoA) up to the issuance of certified emission reductions (CERs) for the CDM project activity or PoA. This document replaces the following documents formerly adopted by the Board:

- (a) Procedures for processing and reporting on validation of CDM project activities (ver. 3.0);
- (b) Guidelines on the demonstration and assessment of prior consideration of the CDM (ver. 3.0);
- (c) Procedures for modalities of communications between project participants and the executive board (ver. 1.0);
- (d) Procedures for requests to the Executive Board for deviation from an approved methodology (ver. 1.0);
- (e) Procedures for approval of the application of multiple methodologies to a programme of activities (ver. 1.0);
- (f) Procedure for requests for registration of proposed CDM project activities (ver. 2.0);
- (g) Registration of a programme of activities as a single CDM project activity and issuance of CERs for a PoA (ver. 4.1);
- (h) Guidelines on the registration fee schedule for proposed project activities under the clean development mechanism (ver. 2.0);
- (i) Guidelines for requesting a review and making decisions and objections regarding review assessments (ver. 2.0);
- (j) Guidance for the development, revision and consolidation of standards and procedures related to the CDM project cycle (ver. 1.0);
- (k) Procedures for review of erroneous inclusion of a CPA (ver. 3.0);
- (l) Procedures for withdrawal of a request for registration (ver. 1.0);
- (m) Procedure for review of requests for registration (ver. 1.2);
- (n) Procedures for renewal of the crediting period of a registered CDM project activity (ver. 5.0);

**DRAFT**

- (o) Making the monitoring report available to the public in accordance with § 62 of the modalities and procedures for the CDM (ver. 1.0);
- (p) Procedure for requests for issuance of CERs (ver. 1.2);
- (q) Procedures for withdrawal of a request for issuance of certified emission reductions (ver. 1.0);
- (r) Procedure for review of requests for issuance of CERs (ver. 1.3);
- (s) EB 31 report, paragraph 86;
- (t) Procedures for notifying and requesting approval of changes from the project activity as described in the registered PDD (ver. 1.0);
- (u) Procedures for revising monitoring plans in accordance with paragraph 57 of the modalities and procedures for the CDM (ver. 2.0);
- (v) EB 59 report, paragraph 66;
- (w) Procedures for requesting post-registration changes to the start date of the crediting period (ver. 2.0);
- (x) Procedures for requests for deviation prior to submitting request for issuance (ver. 1.0).

3. This document further provides provisions to address significant deficiencies in validation, verification and certification reports based on the guidance by the CMP through decision 3/CMP.6, paragraphs 25-26.

II. PRE-REGISTRATION ACTIVITIES**A. Prior consideration of seeking clean development mechanism status**

4. For project activities with a start date on or after 2 August 2008, the project participants shall notify designated national authority(ies) (DNAs) of 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 “CDM glossary of terms”], by using the “Prior consideration of the CDM form” (F-CDM-Prior consideration). Such notification is not necessary if:

- (a) A PDD regarding the project activity has been published for global stakeholder consultation in accordance with paragraph 12 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.

5. The secretariat shall maintain a publicly available list of such notifications on the UNFCCC CDM website.

6. For project activities referred to in paragraph 4 above, until they meet a condition in paragraph 4 (a) or 4 (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-Prior consideration).



DRAFT

7. 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 12 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 requirements in [the “Clean development mechanism project standard”] to the DOE that performs validation of the proposed CDM project activity.
8. Provisions in paragraphs 4-7 above shall not apply to PoAs.

B. Publication of project design document1. Submission of project design document

9. The designated operational entity (DOE) contracted by the project participants of a proposed CDM project activity or PoA to perform a validation of the project activity or PoA shall make the PDD or PoA design document (PoA-DD), respectively, 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 for those of large-scale afforestation and reforestation (A/R) project activities or large-scale A/R PoAs, for which the duration shall be 45 days.
10. 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 that the DOE has a contractual relationship for validation of the proposed CDM project activity or PoA;
 - (d) The estimated annual emission reductions or removal enhancements indicated in the PDD or, in the case of PoA, the estimated total annual 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 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 PoA, in addition to (a)-(g) above,:
 - (i) A PoA generic CPA design document (CPA-DD), which specifies the generic information relevant to all CPAs that may be included in the PoA;
 - (ii) A CPA-DD that is based on the application of the PoA to one real case.
11. 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 who



DRAFT

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.

12. If the DOE is accredited for the validation function in all sectoral scope(s) 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 00.00 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.

13. 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 “Procedures for the revision of an approved baseline or monitoring methodology by the Executive Board” or the “Procedures for the revision of an approved small-scale methodology by the CDM Executive Board”, the project participants shall revise the PDD or PoA-DD applying the revised version of the methodology of its entirety or its elements as required (e.g. in the case of 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 registration in accordance with paragraph 53 below, unless otherwise decided by the Board when it approves the revised methodology.

2. Submission and treatment of public comments

14. Parties, stakeholders¹ and UNFCCC accredited observers 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.

15. 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 14 above.

C. Reporting of validation status

16. 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 53 below. The DOE shall include one of the following status 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, for which no response has been received from the project participants. In this case the DOE

¹ For the purpose of this procedure all members of the public are considered to be stakeholders.

**DRAFT**

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. 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.

D. Modalities of communication

17. 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 20 below and include this information in a modalities of communication (MoC) statement.

18. After the submission of a request for registration of a proposed CDM project activity or PoA in accordance with paragraph 53 below, all official communication between the project participants and the Board or the secretariat shall be conducted in accordance with the MoC statement.

19. The project participants shall submit to the DOE at the time of validation of the proposed CDM project activity or PoA an initial MoC statement using the latest version of the form for the “Modalities of communication statement” (F-CDM-MOC), including its annex 1. The project participants shall include the contact details of the focal points in the F-CDM-MOC and their contact details in the annex 1.

20. 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)).

21. 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 shared or joint focal point role.

22. The project participants and the focal points may designate one primary authorized signatory and one alternate authorized signatory. Either signature of primary or alternate authorized signatory shall suffice for authenticating the project participant’s or the focal point’s consent or instruction(s).

23. A project participant who 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.



DRAFT

24. For CDM PoAs, the coordinating/managing entity shall be either sole or 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).

25. 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 have the sole responsibility for honouring such arrangements.

26. The focal point(s) for scope (b) should defer changes to the initial F-CDM-MOC and/or its annex 1 that arise in the period between the submission of a request for registration and the registration of a proposed CDM project activity or PoA, to after the registration of the CDM project activity or PoA with the exception of changes relating to:

- (a) Focal points for scope (c);
- (b) Addition and or withdrawal of project participants.

27. The DOE shall notify the secretariat of the changes referred to paragraph 26 above by re-submitting a revised F-CDM-MOC and/or its annex 1 through a dedicated interface on the UNFCCC CDM website.

28. For the change relates to the withdrawal of a project participant, the DOE shall submit:

- (a) A written confirmation for voluntary withdrawal by the project participant who wishes to withdraw themselves from participation before a proposed CDM project activity or PoA is registered; and/or
- (b) A written proof of cessation if the project participant has ceased its operations due to bankruptcy or other reasons. The secretariat may request clarification in such circumstances.

29. The secretariat shall, when conducting the completeness check in accordance with paragraph 58 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.

30. The secretariat shall not make available specimen signatures, contact details and other personal information to anybody other than members of the Board as well as the project participants, the focal points and the DOE involved in the CDM project activity or PoA.

E. Request for approval of application of multiple methodologies in programme of activities

31. If a proposed CDM PoA applies more than one approved baseline and monitoring methodology for each CPA included in the PoA, the DOE shall submit a request for approval of the application of multiple methodologies to PoA to the secretariat together with the latest version of the PoA-DD and CPA-DD.

32. The secretariat shall evaluate the request for approval and place it on the agenda of the next meeting of a relevant panel or working group, if the request has been received and considered complete 28 days prior to the start of the meeting of the relevant panel or working group.



DRAFT

33. The panel or working group shall evaluate the request to determine whether the applied combination of methodologies is sufficient to address all project emissions and leakages that may occur as a result of the implementation of the CPA.
34. If the panel or working group considers the combination to be sufficient, it shall recommend the Board to approve the request.
35. If the panel or working group does not consider the combination to be sufficient, it shall recommend the Board to reject the request and request the coordinating/managing entity to submit a request for new methodology or a revision to an existing methodology to ensure such issues are addressed.
36. The secretariat shall make the recommendation of the panel or working group publicly available, and forward it to the Board for final decision.

F. Request for deviation from approved methodology**1. Submission of request for deviation**

37. If the DOE, when conducting validation activity for the proposed CDM project activity or PoA, finds that the project participants 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 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 of the proposed CDM project activity or PoA. Alternatively, if the DOE considers that a revision of the methodology would be required to address the project 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.
38. To seek guidance from the Board on the acceptability of the deviation, the DOE shall submit the “CDM: Request for deviation form” (F-CDM-DEV-METH) through a dedicated internet 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 emission reductions or removal enhancements from the project activity or PoA for the Board to evaluate.

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. 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.



DRAFT

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] [completeness check list].

41. If the secretariat, during the completeness check, identifies issues of editorial nature, it shall request the DOE by email 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 request submission shall be rejected.

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 a 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 the 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 the 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 request submission shall be rejected.

45. If the request submission is rejected in accordance with paragraph 44 above, the DOE may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), 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 shall be allowed per each request for deviation. In this case, the DOE shall provide contact detail of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of the 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 the 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 the receipt of the summary note, the recommended course action shall be deemed as the decision 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 the receipt of the objection and make it available to the Board.

**DRAFT**

49. If a member of the Board objects to the secretariat's recommendation on the course of action more than two (2) weeks 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.

III. REGISTRATION OF PROJECT ACTIVITY OR PROGRAMME OF ACTIVITIES**A. Request for registration****1. Submission of request for registration**

53. The DOE shall, 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, 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 form" (F-CDM-REG) or the "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.
54. 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 annex 1, and inform these to the DOE.
55. The DOE shall communicate to the project participants the unique reference number; and the registration fee due or a confirmation that no registration fee is due.
56. The project participants shall pay the registration fee by bank transfer, citing the unique reference number. The DOE shall submit a 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 "Procedures for the revision of an approved baseline or monitoring methodology by the Board".²

2. Processing request for registration

² As of the date of adoption of this document, EB 35 report, annex 13 is the latest version of the "Procedures for the Revision of an Approved Baseline or Monitoring Methodology by the Board".



DRAFT

57. 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.

58. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat may, in accordance with the [criteria for selection of the requests for registration for completeness check, information and reporting check and/or summary note preparation], 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.

59. If the secretariat, during the completeness check, identifies issues of editorial nature, it shall request the DOE by email, copying the project participants, 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 from the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the request submission shall be rejected.

60. Upon conclusion of the completeness check stage, the secretariat shall notify the project participants 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 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 a revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.

61. Upon conclusion of the completeness check stage, the secretariat may, in accordance with the [criteria for selection of the requests for registration for completeness check, information and reporting check and/or summary note preparation], conduct within 23 days an information and reporting check in accordance with the information and reporting checklist for requests for registration.

62. If the secretariat, during the information and reporting check, identifies issues of editorial nature, it shall request the DOE by email, copying the project participants, 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 from the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the request submission shall be rejected.

63. Upon conclusion of the information and reporting check stage, the secretariat shall notify the project participants 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 reject the request submission and communicate the underlying reasons to the project participants 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 a revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.

64. 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.



DRAFT

65. If the request submission is rejected as a result of the information and reporting check, the DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), 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 each request for registration. In this case, the DOE or the project participants shall provide contact detail of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days from the receipt of the request. The secretariat shall record the call.

66. The secretariat shall notify the project participants, the DNA(s) of the Party(ies) involved, and the DOE that: the Board has received the request for registration for consideration of registration; the secretariat has published the request for registration on the UNFCCC 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 68 below.

67. The secretariat may, in accordance with the [criteria for selection of the requests for registration for completeness check, information and reporting check and/or summary note preparation], 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.

3. Requesting review of request for registration

68. A Party involved in the proposed CDM project activity or PoA and 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 registration 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 notify the request to the Board through the secretariat, using the “CDM project activity registration review form” (F-CDM-RR) and following the guidelines contained in annex 2.

69. The secretariat shall acknowledge the receipt of a request for review and promptly make it available to the Board.

70. 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 17:00 GMT of the last day of the 28-day period following the publication of the request for registration.

71. A request for review shall provide, inter alia, 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.

4. Finalizing request for registration if no request for review

72. 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 the modalities described in paragraphs 68-71 above. The effective date of registration in such cases shall be the day on which the DOE had submitted a complete request for registration.



DRAFT

B. Review of request for registration1. Commencement of review

73. 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 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 registration review form” (F-CDM-RR);
- (c) Establish a team comprised of 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.

74. The DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), 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 each review of the request for registration. In this case, the DOE or the project participants shall provide contact detail of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days from the receipt of the request. The secretariat shall record the call.

75. The project participants 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.

76. For each issue (or sub-issue) raised in the request for review, the project participants 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, inter alia, ensure 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.

77. 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 and the DOE of the scheduled or altered commencement date, respectively.

78. The date of commencement of the review shall be defined as the date on which the secretariat notifies the project participants and the DOE that the review has commenced.

2. Assessment

79. 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 registration review form” (F-



DRAFT

CDM-RR) and the CDM requirements, taking into account the responses from the project participants and the DOE.

80. Concurrently and independently from the secretariat's assessment referred to in paragraph 79 above, the RIT Team established in accordance with paragraph 73 (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 registration review form" (F-CDM-RR) and the CDM requirements, taking into account the responses of the project participants and the DOE.

81. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.

82. Both the secretariat and the RIT Team shall, in each of their assessments, include a proposed decision, following the guidelines contained in annex 2. Each proposed decision shall suggest either to:

- (a) Register the proposed project activity or PoA; or
- (b) Reject the request for registration.

83. 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; and
- (c) The interpretation of the CDM requirements as applied to the facts.

84. 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.

85. The RIT Team shall submit its assessment report to the Board through the secretariat.

86. 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 and the DOE and any revision to the PDD and/or validation report and other relevant documentation.

3. Consideration by the Board

87. 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 informed to the Board, unless a member of the Board objects to the proposed decision.

88. 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 following the guidelines contained in annex 2. The secretariat shall acknowledge the receipt of the objection and make it available to the Board.



DRAFT

89. If a member of the Board objects to the proposed decision more than two (2) weeks 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.

90. 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 two (2) weeks 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 subsequent Board meeting.

91. At the Board meeting for which the case is placed on the agenda, the Board shall, following the guidelines contained in annex 2, decide to either:

- (a) Register the proposed CDM project activity or PoA; or
- (b) Reject the request for registration;

4. Finalization and implementation of the ruling

92. If a Board's final decision made in accordance with paragraph 87 or 91 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.

93. If a Board's final decision made in accordance with paragraph 87 or 91 above is to reject the request for registration, 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.

94. 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; and
- (c) The interpretation of the CDM requirements as applied to the facts.

95. Once approved by the Chair of the Board, the secretariat shall 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.

96. 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 following the guidelines contained in annex 2. The secretariat shall acknowledge the receipt of the objection and make it available to the Board.

97. If a member of the Board objects to the proposed ruling more than two (2) weeks 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.



DRAFT

98. At the Board meeting for which the case is placed on the agenda, the Board shall, following the guidelines contained in annex 2, finalize the ruling.

99. The secretariat shall make the final ruling publicly available on the UNFCCC CDM website.

C. Inclusion of component project activities in programme of activities**1. Submission of component project activity design documents**

100. A CPA may be included in a registered CDM PoA at any time during the duration of the PoA.

101. To include a CPA in a registered PoA, the coordinating/managing entity shall forward the completed specific CPA-DD to any DOE, after having ensured that the CPA and the specific CPA-DD meet the eligibility requirements 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 CPA-DD at one time.

102. If the DOE confirms that the CPA meets the eligibility requirements of a registered CDM PoA, it shall include the CPA in the CDM 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.

103. 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.

104. If the 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".

105. If the methodology, subsequent to being placed on hold or withdrawn, is revised or replaced by inclusion in a consolidated methodology, the PoA-DD shall be revised accordingly. The changes shall be subsequently documented in a new version of PoA-DD (e.g Version 1.1), validated by a DOE and approved by the Board. The Board's approval defines a new version of the PoA-DD and the generic CPA-DD. Such revisions to the PoA-DD are not required in the cases where the methodology is revised without being placed on hold or withdrawn.

106. Once changes have been approved by the Board, the inclusion of all new CPAs shall follow the latest version of the generic CPA-DD.

107. The CPAs that were included before the methodology was put on hold or withdrawn, shall apply the latest version of the PoA generic CPA-DD at the time of the renewal of the crediting period.



DRAFT

2. Review of erroneous inclusion or renewal of crediting period of component project activities

108. 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 notify 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 180 days after the first issuance of CERs for that CPA, whichever is the later, by submitting “[name of the form]” (F-CDM-XXXX). Such request for review shall be related to issues associated with the compliance of the CPA with the eligibility criteria specified in the PoA-DD.

109. 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 108 above and decide, within 14 days, whether to add the request for review to the agenda of the next Board meeting.

110. 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.

111. 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 to the request for review no later than 28 days from the date of notification of the review.

112. If the request for review is added to the agenda of the next Board meeting in accordance with paragraph 109 or 111 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.

113. If the Board initiates the review referred to in paragraph 112 (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 12 month 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 [X] days.

114. The Board shall establish an assessment team to analyse the DOE’s review report referred to in paragraph 113 above and make 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.

**DRAFT**

115. 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 two-week document deadline.

116. The Board shall decide to exclude any of the CPAs from the POA if it concludes that they have been erroneously included.

117. Any CPA that has been excluded shall not be re-included in that or any other PoA, or qualify as a CDM project activity.

118. Where, for any of the CPAs excluded in accordance with paragraph 112 (a) or 116 above, the Board determines that the including DOE failed to adequately assess, in accordance with relevant validation requirements, their compliance with the eligibility criteria, 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.

D. Withdrawal of request for registration**1. Submission of request for withdrawal**

119. For the following cases, the DOE shall submit a request for withdrawal of a request for registration by using the "CDM: Form for withdrawal of request for registration" (F-CDM-WR) and uploading it through a dedicated interface on the UNFCCC CDM website:

- (a) The project participants voluntarily wish to withdraw a proposed CDM project activity or PoA, of which the DOE is requesting for registration³;
- (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.

2. Processing request for withdrawal

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

121. If the DOE requests for the withdrawal prior to the publication of the request for registration in accordance with paragraph 64 above, the registration fee shall be reimbursed in full to the project participants. In this case, the project activity or PoA shall not be marked as "withdrawn", however the unique reference number assigned to the withdrawn project activity or PoA shall be blocked from further use.

122. If the DOE requests for the withdrawal during the 28-day period for requesting a review of the request for registration in accordance with paragraph 68 above, any registration fee paid above USD 30 000 shall be reimbursed to the project participants and the proposed CDM project activity or PoA shall be marked as "withdrawn" on the UNFCCC CDM website.

123. If the DOE requests for the withdrawal subsequent to being notified a request for review of the request for registration in accordance with paragraph 73 (a) above, any registration fee paid above USD 30 000 shall be reimbursed to the project participants and the proposed CDM project activity or PoA shall be marked as "withdrawn" on the UNFCCC CDM website.

³ In such cases the DOE shall process the request expeditiously.



DRAFT

124. Submissions of requests for withdrawal shall feed into the framework for performance monitoring of DOEs.

IV. POST-REGISTRATION MODIFICATIONS

A. Changes to registered CDM project activity

1. Submission of request for approval of changes

125. The following changes occurred or planned to occur to a registered CDM project activity shall be processed in accordance with paragraph 126 or 127 below. For CDM PoAs, only the changes referred to in (b)-(d) below shall apply:

- (a) Change to the project design provided in the registered PDD of the project activity except for the case referred to in (b) below;
- (b) Revision of the monitoring plan;
- (c) Deviation from the provisions of the registered monitoring plan;
- (d) Change to the start date of the crediting period.

126. If a DOE, when performing verification for a registered CDM project activity or PoA, or upon the request from the project participants after the registration, determines that one or more of the changes referred to in paragraph 125 above occurred or planned to occur to the project activity after its registration, the DOE shall request for approval of the changes to the Board prior to the submission of the next request for issuance. The DOE may combine such changes in one request for approval of changes. The request shall be processed in accordance with paragraphs 129-146 below.

127. If the changes does not require “prior approval” by the Board in accordance with the [section title of the] “Clean development mechanism project standard”, notwithstanding the provision in paragraph 126 above, the DOE that performs the next verification for the project activity or PoA may opt for notifying the changes to the Board at the same time when it submits the next request for issuance for the project activity or PoA in accordance with paragraph 171 below.

128. For the change referred to in paragraph 125 (d) above, the notification or request for approval of change may be made only once for each registered CDM project activity or PoA.

129. To obtain an approval by the Board of the changes, the DOE shall submit a request for approval of changes to the secretariat through a dedicated interface on the UNFCCC CDM website.

130. The request for approval of changes shall contain:

- (a) Duly completed [“Request for approval of post-registration changes form” (F-CDM-PRCG)];
- (b) A validation or assessment opinion on the changes by the DOE prepared in accordance with the [section title of the] “Clean development mechanism validation and verification standard”;
- (c) Revised PDD or monitoring plan (in both clean and track-change versions), as applicable;
- (d) Supplemental documentation, as appropriate.



DRAFT

2. Processing request for approval of changes

131. 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.

132. 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 130 above] [completeness check list].

133. If the secretariat, during the completeness check, identifies issues of editorial nature, it shall request the DOE by email, copying the project participants, 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 request submission shall be rejected.

134. Upon conclusion of the completeness check, the secretariat shall notify the project participants 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 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 a revised documentation. Upon submission of the revised documentation the request shall be treated as a new submission of a request for approval of changes.

135. 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.

136. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE or project participants, 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 135 above, finalize the summary note and send it to the Board within 14 days of the 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 request submission shall be rejected.

137. If the request submission is rejected in accordance with paragraph 136 above, the DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), 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 each request for approval of changes. In this case, the DOE or the project participants shall provide contact detail of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days of the receipt of the request. The secretariat shall record the call.

138. 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

**DRAFT**

135 and 136 above, finalize the summary note and send it to the Board within 14 days of the receipt of the inputs from the panel or working group.

139. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 135 above within 20 days of the receipt of the summary note, the recommended course of action shall be deemed as the decision by the Board.

140. 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 the receipt of the objection and make it available to the Board.

141. If a member of the Board objects to the secretariat's recommendation on the course of action more than two (2) weeks 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.

142. If the Board considers the case at its meeting in accordance with paragraph 135 or 141 above, it shall decide on the course of action at the meeting.

143. For the changes referred to in paragraph 125 (a) above, the course of action shall be:

- (a) Approve the changes and allow subsequent requests for issuance for the project activity;
- (b) Approve the changes and allow subsequent requests for issuance for the project activity, but limit the CERs up to the level estimated in the original PDD;
- (c) Reject the changes and not allow subsequent requests for issuance for the project activity.

144. For the changes referred to in paragraphs 125 (b) -(d) above, the course of action shall be:

- (a) Approve the changes;
- (b) Reject the changes.

145. 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.

146. The secretariat shall make the revised PDD or revised monitoring plan, and the validation or assessment opinion by the DOE, as applicable, publicly available on the UNFCCC CDM website. This version of PDD or monitoring plan shall be applied for future requests for issuance.

B. Changes to modalities of communication

147. After the registration of a CDM project activity or PoA, the focal point(s) of the project activity or PoA for scope (b) referred to in paragraph 20 above shall request changes to any of the modalities of an MoC statement to the secretariat as soon as possible but not later than 90 days from the changes coming into effect.

148. 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.

149. The secretariat may request an updated MoC statement 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.



DRAFT

Changes to focal points

150. The project participants for a registered CDM project activity or 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 all project participants either:

- (a) Through the focal point(s) for scope of authority (b); or
- (b) Directly to the secretariat. In this case, the secretariat may request clarifications.

151. 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.

152. The legal representative of a project participant may sign an F-CDM-MOC submitted in accordance with paragraph 150 (b) above.

153. 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 150 (b) above if the authorized signatory(ies) of the focal point concerned is(are) no longer available.

154. A legal representative signing on behalf of an entity shall provide written evidence that he/she is authorized to sign on behalf of the entity.

Changes of coordinating/managing entity for PoAs

155. In addition to the requirements for changes to focal points as referred in paragraphs 147-154 above, the DOE who is 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 CDM-POA-DD; and
- (c) A validation opinion from a DOE regarding the compliance of the new coordinating/managing entity with the requirements of [reference to PS or VVS].

Changes to project participants

156. 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 confirming the change of name/legal status from the DNA authorizing participation;



DRAFT

- (c) Withdrawal of a project participant. If a project participant has ceased operations due to bankruptcy or other reasons, the submission shall be accompanied by a written proof of the cessation;
- (d) Changes related only to contact details and specimen signatures.

157. 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.

Specific requirements for post-registration stage submission

158. Focal point(s) shall use the latest version of the form of 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 150 (b) above.

159. Focal point(s) for scope (b) or project participants who submit F-CDM-MOCs in accordance with paragraph 150 (b) above shall ensure that:

- (a) Supporting documentation, including letters of approval issued by DNAs, powers of attorney, extracts from board meeting minutes or company association documentation, extracts/certificates from national company registries, is dated or notarized within 24 months from the time of submission of a request for change to established modalities of communication;
- (b) Supporting documentation which can not be verified online is notarized;
- (c) A change requested with regard to both a focal point and a project participant at the same time is related to one and the same legal entity;
- (d) 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.

160. The secretariat may request additional clarification and/or documentation if submissions do not clearly provide evidence in support of a specific request.

161. 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.

162. The secretariat shall display the effective dates of updated F-CDM-MOCs on the corresponding CDM project activity and PoA view pages.



DRAFT

V. PRE-ISSUANCE ACTIVITIES**A. Publication of monitoring report**1. Implementation of monitoring plan

163. The project participants shall implement the monitoring plan contained in the PDD of the registered CDM project activity or in the PoA-DD of the registered CDM PoA and prepare a monitoring report.

164. Revisions to the monitoring plan, if any, shall be notified to or approved by the Board in accordance with paragraphs 125-146 above.

2. Submission of monitoring report

165. The DOE contracted by the project participants of a registered CDM project activity or PoA to perform a verification of monitored emission reductions or removal enhancements of greenhouse gases (GHGs) and a certification of claimed CERs shall make the monitoring report publicly available through a dedicated interface on the UNFCCC CDM website at the latest 14 days before undertaking the site-visit for the verification.

166. When submitting the monitoring report, the DOE shall, on 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.

167. 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.

168. The 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 for the verification;
- (d) The name of the DOE that performed the validation of the CDM project activity or PoA.

B. Reporting of status of registered project activity or programme

169. At two (2) years subsequent to the registration of a CDM project activity or PoA, the project participants 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 to perform a verification has made a monitoring report for the project activity or PoA publicly available in accordance with paragraph 165 above. The project participants shall include one of the following status in the update:

**DRAFT**

- (a) The project activity or PoA is under implementation, but has not reached the stage of monitoring of emission reductions or removal enhancements. In this case the project participants 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 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 decided not to proceed with the request for issuance stage;
- (d) The implementation of the project activity or PoA has been cancelled.

170. 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 171 below. The DOE shall include one of the following status 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. 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. 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.

VI. ISSUANCE OF CERTIFIED EMISSION REDUCTIONS**A. Request for issuance****1. Submission request for issuance**

171. The DOE shall submit a request for issuance of CERs by using the “CDM form to submit verification and certification reports and request issuance” (F-CDM-REQCERS) or “CDM form to submit verification and certification reports and to request issuance for a PoA”(F-CDM-POA-REQCERS) only after it verifies that the monitored emission reductions or removal enhancements of GHGs meet 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.

172. 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.

173. 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



DRAFT

issuance. The monitoring periods shall be consecutive. A request for issuance shall relate to the certified emission reductions verified as per above.

174. 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.

175. If the DOE notifies the Board of the changes to the project design described in the registered PDD, the revision of the monitoring plan, the deviation from the provisions of the registered monitoring plan or the change to the start date of the crediting period in accordance with paragraph 127 above, it shall also submit the documentation and information listed in paragraph 130 above, in addition to those referred to in paragraph 172 above.

2. Processing request for issuance

176. 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.

177. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat may, in accordance with the [criteria for selection of the requests for registration for completeness check, information and reporting check and/or summary note preparation], 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.

178. If the secretariat, during the completeness check, identifies issues of editorial nature, it shall request the DOE by email, copying the project participants, 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 from the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the request submission shall be rejected.

179. Upon conclusion of the completeness check stage, the secretariat shall notify the project participants 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 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 a revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.

180. Upon conclusion of the completeness check stage, the secretariat may, in accordance with the [criteria for selection of the requests for registration for completeness check, information and reporting check and/or summary note preparation], conduct within 23 days an information and reporting check in accordance with the information and reporting checklist for requests for issuance.

181. If the secretariat, during the information and reporting check, identifies issues of editorial nature, it shall request the DOE by email, copying the project participants, 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 from the receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the request for issuance submission shall be rejected.



DRAFT

182. Upon conclusion of the information and reporting check stage, the secretariat shall notify the project participants 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 reject the request submission and communicate the underlying reasons to the project participants 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 a revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.

183. 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.

184. If the request submission is rejected as a result of the information and reporting check, the DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), 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 each request for issuance. In this case, the DOE or the project participants shall provide contact detail of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days from the receipt of the request. The secretariat shall record the call.

185. The secretariat shall notify the project participants, 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 187 below.

186. The secretariat may, in accordance with the [criteria for selection of the requests for registration for completeness check, information and reporting check and/or summary note preparation], 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.

3. Requesting review of request for issuance

187. A Party involved in the CDM project activity or PoA and 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 from the 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 issuance 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 notify the request to the Board through the secretariat, using the “CDM project activity issuance review form” (F-CDM-IR) and following the guidelines contained in annex 2.

188. The secretariat shall acknowledge the receipt of a request for review and promptly make it available to the Board.

189. 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 17:00 GMT of the last day of the request for review period referred to in paragraph 187 above following the publication of the request for issuance.



DRAFT

190. A request for review shall provide, inter alia, 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:

4. Finalizing request for issuance if no request for review

191. 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, 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 187-190 above.

192. The secretariat shall communicate the Board’s instruction to the CDM registry administrator, to the project participants. The secretariat shall make the instruction publicly available on the UNFCCC CDM website.

B. Review of request for issuance

1. Commencement of review

193. If 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 issuance, the secretariat shall:

- (a) Notify the project participants 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 registration review form” (F-CDM-RR);
- (c) Establish a team comprised of 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.

194. The DOE or the project participants may request the secretariat, by email through a dedicated email address ([xxxx@unfccc.int]), 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 each review of the request for issuance. In this case, the DOE or the project participants shall provide contact detail of the person to be called with preferred time slots. The secretariat shall fix a call appointment within three (3) days from the receipt of the request. The secretariat shall record the call.

195. The project participants 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.

196. For each issue (or sub-issue) raised in the request for review, the project participants and the DOE shall either:

- (a) Respond by making any revisions to the monitoring report and attached spreadsheets, verification report, and/or certification report that they deem necessary to, inter alia, ensure that all facts are clearly stated and sufficiently verified; or



DRAFT

- (b) Respond in writing by addressing why no revisions to the monitoring report, verification report, and/or certification report are necessary.

197. 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 and the DOE of the scheduled or altered commencement date, respectively;

198. The date of commencement of the review shall be defined as the date on which the secretariat notifies the project participants and the DOE that the review has commenced.

2. Assessment

199. 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 issuance review form" (F-CDM-IR) and the CDM requirements, taking into account the responses from the project participants and the DOE.

200. Concurrently and independently from the secretariat's assessment referred to in paragraph 199 above, the RIT Team established in accordance with paragraph 193 (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 issuance review form" (F-CDM-IR), taking into account the responses of the project participants and the DOE.

201. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.

202. Both the secretariat and the RIT Team shall, in their assessment reports, include a proposed decision, following the guidelines contained in annex 2. Each proposed decision shall suggest either to:

- (a) Issue the CERs; or
(b) Reject the request for issuance.

203. 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; and
(c) The interpretation of the CDM requirements as applied to the facts.

204. 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.

205. The RIT Team shall submit its assessment report to the Board through the secretariat.

**DRAFT**

206. 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 and the DOE and any revision to the monitoring report and/or verification report.

3. Consideration by the Board

207. 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 informed to the Board, unless a member of the Board objects to the proposed decision.

208. 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 following the guidelines contained in annex 2. The secretariat shall acknowledge the receipt of the objection and make it available to the Board.

209. If a member of the Board objects to the proposed decision more than two (2) weeks 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.

210. 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 two (2) weeks 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 subsequent Board meeting.

211. At the Board meeting for which the case is placed on the agenda, the Board shall, following the guidelines contained in annex 2, decide either to:

- (a) Issue the CERs; or
- (b) Reject the request for issuance.

4. Finalization and implementation of the ruling

212. If a Board's final decision made in accordance with paragraph 207 or 211 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.

213. The Board's instruction to the CDM registry administrator shall be communicated to the project participants. The secretariat shall make the instructions publicly available on the UNFCCC CDM website.

214. If a Board's final decision made in accordance with paragraph 207 or 211 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.

215. 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;



DRAFT

- (b) The CDM requirements applied to the facts; and
- (c) The interpretation of the CDM requirements as applied to the facts.

216. Once approved by the Chair of the Board, the secretariat shall 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.

217. 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 following the guidelines contained in annex 2. The secretariat shall acknowledge the receipt of the objection and make it available to the Board.

218. If a member of the Board objects to the proposed ruling more than two (2) weeks 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.

219. The secretariat shall make the final ruling publicly available on the UNFCCC CDM website.

220. If the request for issuance is rejected in accordance with paragraph 207 or 211 above, it may be re-submitted with revised documentation. In this case, the DOE shall submit the request in accordance with paragraph 171 above.

C. Withdrawal of request for issuance

1. Submission of request for withdrawal

221. For the following cases, the DOE shall submit a request for withdrawal of a request for issuance by using the “CDM: Form for submission of requests for withdrawal of request for issuance” (F-CDM-WI) and uploading it through a dedicated interface on the UNFCCC CDM website:

- (a) The project participants voluntarily wish to withdraw a request for issuance for the specified monitoring period⁴;
- (b) The DOE has revised its verification report and/or certification report based on new insights or information.

2. Processing request for withdrawal

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

223. Type 1: If the DOE requests for the withdrawal prior to the publication of the request for issuance in accordance with paragraph 183 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.

224. Type 2: If the DOE requests for the withdrawal during the 28-day period for requesting a review of the request for issuance in accordance with paragraph 187 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.

⁴ In such cases the DOE shall process the request expeditiously.



DRAFT

225. Type 3: If the DOE requests for the withdrawal subsequent to being notified a request for review of the request for issuance in accordance with paragraph 193 (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 a permission from the Board to re-submit such request.

226. Submissions of requests for withdrawal shall feed into the framework for monitoring performance of DOEs.

VII. Renewal of crediting period

A. Preparation of revised project or programme design document

227. Project participants, if they wish to renew the crediting period of a registered CDM project activity, shall update the sections of the PDD relating to the baseline, estimated emission reductions and the monitoring plan using an approved baseline and monitoring methodology as follows:

- (a) The latest approved version of (a) baseline and monitoring methodology(ies), applied in the original PDD of the registered CDM project activity, shall be used whenever applicable;
- (b) If a baseline and monitoring methodology, applied in the original PDD, was withdrawn after the registration of the CDM project activity and replaced by a consolidated methodology, the latest approved version of the respective consolidated methodology shall be used;
- (c) If the registered CDM project activity does not meet the applicability criteria of the latest approved version of methodology or consolidated methodology referred to in (a) or (b) above respectively, due to their revision or due to the update of the baseline, the project participants shall either:
 - (i) Select another applicable approved methodology; or
 - (ii) Request, through the DOE, a deviation from an approved methodology for the purpose of renewal of the crediting period.

228. For CDM PoAs, instead of preparing a revised version of the CDM-PoA-DD, the coordinating/managing entity shall prepare:

- (a) A new completed CDM-PoA-DD
- (b) A new version of the generic CDM-CPA-DD.

229. If the version of the PoA has been revised in accordance with the renewal shall occur seven years (or 20 years for A/R project activities) after the approval of the revised version.

230. The result of this process defines a new version of the PoA and the generic CDM-CPA-DD.

231. To demonstrate the validity of the original baseline or its update, the project participants are not required to re-assess the baseline scenario. The project participants nevertheless, shall assess the emission reductions or removal enhancements that would have resulted from that scenario.



DRAFT

B. Application for renewal of crediting period

232. The project participants 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-DD, and informing of their selection of a DOE to request for renewal of crediting period and perform related tasks referred to in paragraph 237 below, within 270 to 180 days prior to the date of expiration of the current crediting period. For this purpose, the project participants may select any DOE. However, for large-scale CDM project activities or PoA, the DOE that submitted a request for renewal of crediting period shall not perform the verification function for the same CDM project activity or PoA for the renewed crediting period.

233. No fee is due for requests of a renewal of crediting period.

234. When submitting the request for renewal of crediting period, the project participants 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 paragraphs 27-28 above.

235. For the purpose of renewal of crediting period it is not necessary to obtain a new letter of approval from Parties involved.

236. The secretariat shall make the best effort to inform project participants 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 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 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.

237. The DOE shall assess the validity of the original baseline or its update through an assessment of the following issues:

- (a) An impact of new relevant national and/or sectoral policies and circumstances on the baseline taking into account any relevant guidance of the Board with regard to renewal of crediting period at the time of requesting a renewal of crediting period;⁵ and
- (b) The correctness of the application of an approved baseline and monitoring methodology for the determination of the continued validity of the baseline or its update, and the estimation of emission reductions or removal enhancements for the applicable crediting period.

238. The DOE shall submit a request for renewal of crediting period of a registered CDM project activity or PoA using the form “Renewal of the crediting period of a registered CDM project activity” (F-CDM-REN) along with the updated PDD, or new PoA-DD and new generic CPA-DD, and updated validation report.

239. For renewal of crediting period of CPAs in a registered CDM PoA, if the DOE confirms that the information in the CDM-CPA-DD of a CPA included in the PoA complies with the latest version of the PoA and documentation requirements, it shall renew the crediting period of the CPA by submitting the

⁵ Please refer to CDM Catalogue of Decisions <<http://cdm.unfccc.int/Reference/catalogue/search>>

**DRAFT**

CDM-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.

240. The CDM-CPA-DDs uploaded by the DOE will automatically have its crediting period 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.

C. Processing of request for renewal of crediting period

241. Upon receipt of a request for renewal of crediting period, the secretariat shall determine whether all information and documentation requested in the form “Renewal of the crediting period of a registered CDM project activity” (F-CDM-REN) has been provided by the DOE.

242. Upon determination by the secretariat that the request is complete, the secretariat shall make it publicly available on the UNFCCC CDM website for a period of 28 days. The secretariat shall notify the requesting DOE, the project participants and the DNAs of the Parties involved in the CDM project activity or PoA in question.

243. 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.

244. For reviews of the request for renewal of crediting period, provisions in section III. B. above shall apply *mutatis mutandis*.

245. The start date of the renewed crediting period shall be the first day after the ending date of the previous crediting period, provided that the project participants have complied with the notification step referred to in paragraph 232 above.

VIII. ADDRESSING SIGNIFICANT DEFICIENCIES IN PAST VALIDATION, VERIFICATION OR CERTIFICATION REPORT

[To be inserted at a later point. For the workshop the current draft is contained in a separate document]



DRAFT

Annex 1: Registration fee schedule

Annex 2: Guidelines for requesting a review and making decisions and objections regarding review assessments
