



PROGRAMME OF ACTIVITIES (PoA) REQUEST FOR ISSUANCE AND POST REGISTRATION CHANGES: INFORMATION AND REPORTING CHECK CHECKLIST

PS: Clean development mechanism project standard (version 09.0), EB 82, annex 13, 20 February 2015.

VVS: Clean development mechanism validation and verification standard (version 09.0), EB 82, annex 14, 20 February 2015.

PCP: Clean development mechanism project cycle procedure (version 09.0), EB 82, annex 15, 20 February 2015.

SS: Sampling and surveys for CDM project activities and programme of activities (version 04.1), EB 74, annex 6, 28 November 2013.

Item	Description of the Item	References
INFORMATION AND REPORTING CHECK CHECKLIST - POST-REGISTRATION CHANGES (only types of changes described in Appendix 1 to the Project standard)		
1. TEMPORARY DEVIATIONS FROM THE REGISTERED MONITORING PLAN OR APPLIED METHODOLOGY (only types of temporary deviations described in Appendix 1 to the Project standard)		
1.1 Monitoring reports		
1.1.1 Temporary deviations from the registered monitoring plan, applied methodology or standardized baseline	Does the monitoring report contain a description of the nature, extent and duration of the non-conforming monitoring and the proposed alternative monitoring of the PoA?	PS para 272
1.2 Validation report		
1.2.1 Temporary deviations from the registered monitoring plan, applied methodology or standardized baseline	Does the DOE confirm that the temporary deviations from the registered monitoring plan, applied methodology or standardized baseline do not require prior approval of the Board, and the provisions of Appendix 1 of Project standard apply to those deviations?	VVS para 289, 298, 300-302
2. CORRECTIONS (only type of corrections described in Appendix 1 to the Project standard)		
2.1 Revised PoA-DD, CPA-DD		
2.1.1 Description of corrections	Does the revised PoA-DD and/or CPA-DD clearly detail the type of corrections to project information and specify how it is in accordance with Appendix 1 of the Project standard?	PS para 275



2.2 Validation report		
2.2.1 Corrections to project information - Appendix 1	Does the DOE confirm that the changes do not require prior approval of the Board and the provisions of Appendix 1 of Project Standard apply to those corrections?	VVS para 289, 303
2.2.2 Corrections to project information and parameters	Does the DOE confirm that the corrected information is accurate reflection of actual programme information and the corrected parameters reflect application of the applied methodology, the registered monitoring plan and/or applied standardized baseline?	VVS para 304
3. INCLUSION OF MONITORING PLAN TO THE REGISTERED POA-DD AND/OR CPA-DD		
3.1 Revised PoA-DD, CPA-DD		
3.1.1 Data and parameters monitored	Does the PoA-DD (including its generic CPA-DD(s)) and/or the CPA-DD(s) list all data and parameters to be monitored, as required by the applied methodology(ies) and/or the selected standardized baseline(s), including the details such as the unit, source, measurement methods, and QA/QC procedures?	PS para 64
3.1.2 Monitoring plan	Does the PoA-DD (including its generic CPA-DD(s)) and/or the CPA-DD(s) contain monitoring plan(s) that describes the operational and management structure, responsibilities and institutional arrangement for data collection and archiving, and QA/QC procedures, and sampling plan where applicable?	PS para 65, 218, 219 SS section 4 and 5
3.2 Validation report		
3.2.1 Compliance with the Monitoring methodology	Does the validation report describe how the DOE has assessed the compliance of the monitoring plan with the applied methodology(ies), tools and/or standardized baseline(s): whether it contains all necessary parameters, how each parameter is monitored and if any proposed sampling plan is in line with the “Standard for sampling and surveys for CDM project activities”?	VVS para 149 (a) and (c), 150 (a) SS section 6
3.2.2 Implementation of the monitoring plan	Does the validation report describe how the DOE has assessed the monitoring plan, whether the monitoring arrangements, including the QA/QC procedures, are feasible within the programme design and the CME has the ability to implement it?	VVS para 149 (b), 150 (b) and (c)



4. PERMANENT CHANGES FROM THE REGISTERED MONITORING PLAN, MONITORING METHODOLOGY AND/OR STANDARDIZED BASELINE (only types of changes described in Appendix 1 to the Project standard)

4.1 Revised PoA-DD, CPA-DD

4.1.1 Description of the proposed changes	Does the revised PoA-DD and/or CPA-DD provide a description of the nature and extent of the non-conforming monitoring and the proposed alternative monitoring of the project activity?	PS para 284
4.1.2 Conservativeness	Does the revised PoA-DD and/or CPA-DD detail that assumptions or discount factors used for GHG emission reductions calculations do not lead to over-estimation of emission reductions?	PS para 287

4.2 Validation report

4.2.1 Confirmation that changes are listed in Appendix 1	Does the DOE confirm that the changes do not require prior approval of the Board and the provisions of Appendix 1 of Project Standard apply to those changes?	VVS para 289, 312
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5. CHANGES TO THE PROGRAMME DESIGN OF A REGISTERED PROGRAMME OF ACTIVITIES (only types of changes described in Appendix 1 to the Project standard)

5.1 Revised PoA-DD, CPA-DD

5.1.1 Description of changes	Does the revised PoA-DD and/or CPA-DD contain a description of the nature and extent of the proposed or actual changes to the design of the registered PoA and/or CPA?	PS para 288, 289 (a)-(e)
5.1.2 Impact	Does the revised PoA-DD and/or CPA-DD provide a summary of impacts of the proposed or actual changes to the registered PoA and/or CPA regarding: a) the applicability and application of the applied methodology and, where applicable, the applied standardized baseline under which the programme of activity has been registered; b) compliance of the monitoring plan with the applied methodology and, where applicable, the applied standardized baseline; c) the level of accuracy and completeness in the monitoring of the programme of activity; d) the additionality of the PoA and/or CPA; e) the scale of the PoA and/or CPA.	PS para 292
5.1.3 Additionality	Does the revised PoA-DD and/or CPA-DD provide details on the effect of the changes on the programme additionality or the additionality criteria identified in the applied standardized baseline?	PS para 294, 295

5.2 Validation report

5.2.1 Confirmation that changes are listed in Appendix 1	Does the DOE confirm that the changes do not require prior approval of the Board and the provisions of Appendix 1 of Project Standard apply to those changes?	VVS para 289, 317
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5.2.2 Description of the changes	Does the validation report describe the nature and extent of the actual changes, determine whether this description accurately reflects the implementation, operation and monitoring of the modified project activity?	VVS para 318, 326 (a)
5.2.3 Reasons for the changes	Does the validation report contain an assessment on when the changes occurred, reasons for those changes taking place, whether the changes would have been known prior to registration of the PoA and/or CPA, and how the changes would impact the overall operation/ability of the programme activity to deliver emission reductions as stated in the PoA-DD and/or CPA-DD?	VVS para 326 (b)
5.2.4 On-site visit	Has the DOE conducted an on-site visit and assessed the impacts of the actual changes on the compliance of the monitoring plan, the level of accuracy of the monitoring activity, the monitoring methodology and tools and/or, where applicable, the applied standardized baseline?	VVS para 319
5.2.5 Additionality, scale, applicability and application	Does the validation report contain an assessment on whether the changes do not adversely impact the conclusion of the validation report in respect of (i) additionality of the PoA and/or CPA (ii) scale of the PoA and/or CPA (iii) applicability and application of approved baseline methodology and, where applicable, the applied standardized baseline under which the programme has been registered; (iv) the compliance of the monitoring plan with the applied monitoring methodology and, where applicable, the applied standardized baseline; or (v) the level of accuracy of the monitoring compared with the requirements contained in the reported monitoring plan?	VVS para 320, 326 (c)
INFORMATION AND REPORTING CHECK CHECKLIST - ISSUANCE		
6. Monitoring Report		
6.1 Implementation status	Does the monitoring report contain a description of the implementation status of the PoA and the CPAs considered for the request for issuance (including brief description of installed technology, technical processes and equipments, key dates of the project implementation e.g. date of construction, commissioning, continued operation periods), during the monitoring period under consideration?	PS para 244
6.2 Prior approval of post-registration changes	Does the monitoring report indicate whether any request for prior approval by the Board of changes to the registered PoA and/or CPA has been submitted and if applicable, the date of approval?	PS para 245



6.3 Monitoring systems/procedures	Does the monitoring report contain description of the monitoring systems, quality assurance and quality control system employed by each CPA, data collection procedures (information flow including data generation, aggregation, recording, calculation and reporting), organizational structure, roles and responsibilities of personnel, emergency procedures for the monitoring system and line diagrams showing all relevant monitoring points?	PS para 246
6.4 Data and parameters	Does the monitoring report contain the values of all parameters used to calculate baseline, project and leakage emissions as well as other parameters required by the applied methodology and the registered PoA-DD and the respective generic CPA-DD? Does the monitoring report contain information on how data and parameters have been monitored?	PS para 247, 248 (a)(c)(d)(e)(f)
6.5 Equipment used to monitor	Does the monitoring report describe the equipment used to monitor each parameter including details on accuracy class and calibration information (frequency, dates of calibration and validity) as specified by the monitoring methodology and the monitoring plan?	PS para 248 (b)
6.6 Factors and default values	Does the monitoring report contain information about appropriate emission factors, IPCC default values, and any other reference values used in the calculation of emission reductions?	PS para 248 (g)
6.7 Sampling	If data and parameters monitored have been determined by sampling approach, does the monitoring report describe how the sampling has been conducted in accordance with the sampling plan in the registered PoA-DD and/or CPA-DD?	PS para 249
6.8 Temporary deviations or permanent changes from the registered monitoring plan or applied methodology	Does the monitoring report contain reference whether any request for temporary deviations or permanent changes from the registered monitoring plan, applied methodology or applied standardized baseline has been submitted, and if applicable, the date of approval?	PS para 250
6.9 Standardized baseline	For PoA and CPA(s) using an approved standardized baseline that standardizes baseline emissions, does the monitoring report apply the most conservative value(s) of the parameter(s) in accordance with provisions of the Project standard?	PS para 251, 252
6.10 Calculations	Does the monitoring report contain calculations of baseline emissions, project emissions, leakage (if any), and emission reductions, including reference to formulae and methods used?	PS para 253



6.11 Monitoring period starting before 21/12/2012	If the monitoring period starts before 31/12/2012, does the monitoring report calculate emission reductions or removals base on a pro-rate approach in accordance with the provisions of the Project standard?	PS para 254
6.12 Monitoring report covering first date of renewed crediting period	If the monitoring report covers the first date of the renewed crediting period and the notification of the intention to renew the crediting period has been delayed, does the monitoring report determine the first day in which CER are claimed in accordance with the Project cycle procedure?	PS para 255
6.13 Comparison of CERs	Does the monitoring report contain a comparison of the actual CERs claimed in the monitoring period with the estimate in the CPA-DD, and explanation on any significant increase, including the details (i.e. data or parameters) that are different from those stated in the included CPA-PDD?	PS para 256, 257
7. Spreadsheet		
7.1 Parameters	Does the spreadsheet contain all parameters required to be monitored and reported at the intervals required by the monitoring plan and the applied methodology?	
7.2 Formulae	Does the spreadsheet contain the formulae of calculation that are shown in the spreadsheet cells whenever possible?	
7.3 Explanation	Does the spreadsheet contain any other explanation with regard to application of formulae in the spreadsheet?	
8. Verification and certification report		
8.1 Implementation status and phased-implementation delay	Does the verification and certification report describe the implementation status for each site and/or phase of each CPA, where applicable, and whether the CPAs are implemented in accordance with the registered PoA and included CPA? In case of any delay in the implementation, the report shall describe the reasons and present the expected implementation dates.	VVS para 385 (a)
8.2 Actual operation	Does the verification and certification report describe the actual operation of the CPAs and its consistency with the registered PoA?	VVS para 385 (b)



8.3 Different data and variables compared to registered POA and CPA	Does the verification and certification report provide information on data and variables presented in the monitoring report that is different from the included CPA-DD which has caused an increase in estimates of the emission reductions in the current monitoring period or is highly likely to increase the estimates of emission reductions in the future monitoring periods?	VVS para 385 (c)
8.4 Increase in actual GHG emission reductions	Does the verification and certification report provide an opinion on the cause of any increase of the actual GHG emission reductions in the current monitoring period?	VVS para 385 (d)
8.5 Monitoring Plan	Does the verification and certification report state that the monitoring plan is in accordance with the approved methodology, registered PoA-DD and the respective generic CPA-DD?	VVS para 388
8.6 Monitoring activities	Does the verification and certification report state whether monitoring has been carried out in accordance with the monitoring plan contained in the CPA-DD, including the sampling where applicable?	VVS para 392
8.7 Parameters and conclusion	Does the verification and certification report list each parameter required by the monitoring plan and state how the DOE verified the information flow (from data generation, aggregation, to recording, calculation and reporting) for these parameters including the values in the monitoring reports for all CPAs included in the PoA as of the end of the monitoring period?	VVS para 393, 409 (e)
8.8 Record keeping	Does the verification and certification report describe how the DOE has verified and certify the correct implementation and operation of the record keeping system of the CPAs?	VVS para 427 (d)
8.9 Calibration	Does the verification and certification report contain information whether the calibration of measuring equipment is conducted is conducted at a frequency specified by the methodology, monitoring plan of the registered PoA-DD or the approved revised monitoring plan?	VVS para 400
8.10 Missing data	Does the verification and certification report indicate whether there were any missing data or parameters that had not been monitored in accordance with the registered PoA-DD? In such cases, does the verification report detail the actions taken by the DOE to ensure that the most conservative assumption theoretically possible has been made?	VVS para 403 (a)
8.11 Cross-checking data	Does the verification and certification report provide a description of how the DOE cross-checked the reported data?	VVS para 403 (b)



8.12 Calculation of emission reductions	Does the verification and certification report confirm that appropriate methods and formulae for calculating baseline emissions, project emissions and leakage have been followed?	VVS para 403 (c), 409(j)
3.13 Justification of assumptions	Does the verification and certification report provide an opinion as to whether assumptions, emission factors and default values that were applied in the calculations have been justified?	VVS para 403 (d)
8.14 Pro-rata approach	Does the verification and certification report confirm that the pro-rata approach was correctly applied to the calculations of the emission reductions, if the monitoring period starts before 31 December 2012 and ends anytime thereafter?	VVS para 403 (e)
8.15 First day of renewed crediting period	Does the verification and certification report confirm that the first day in which CERs are being claimed has been correctly specified, if the current monitoring period covers the first day of the renewed crediting period?	VVS para 403 (f)
8.16 Process, scope and conclusion	Does the verification and certification report provide a summary of the verification process, the scope of verification and the conclusion?	VVS para 409 (a)
8.17 Verification team	Does the verification and certification report provide details of the verification team, technical experts, internal reviewers (e.g. name, function)? Does the verification report provide information on quality control within the team and in the verification process?	VVS para 409 (b), (i)
8.18 Findings of desk review and on-site visit	Does the verification and certification report provide the findings of the desk review and site visit, including a description/justification of the on-site inspection(s) undertaken?	VVS para 409 (c),
8.19 Sampling approach	Where the DOE applied a sampling approach to on-site inspection, does the verification and certification report describe how the sample size was determined and field check carried out? Does the verification report describe how possible existence of included CPAs complying with different versions of the PoA-DD was taken into consideration for its sampling approach?	VVS 427 (b), 428



8.20 Findings and conclusion	Does the verification and certification report contain information on the applied approaches, findings and conclusions as to the requirements related to: (i) Compliance of the monitoring report with the monitoring report form (ii) Compliance of CPA implementation with the registered PoA-DD; (iii) Compliance of the registered monitoring plan with the monitoring methodology including applicable tool(s) and the standardized baseline (iv) Compliance of monitoring activities with the registered monitoring plan (v) compliance with the calibration frequency requirements for measuring instruments (vi) assessment of data and calculation of emission reductions or net removals	VVS para 409 (d)
8.21 Post Registration Changes	Does the verification and certification report provide a statement on whether post-registration changes to the registered PoA-DD and/or CPA-DD have been approved by the Board or will be submitted together with the request for issuance?	VVS para 409 (f)
8.22 CARs / FARs	Does the verification and certification report provide an assessment and close-out of any CARs, CLs or FARs issued to the project participants? If applicable, does the verification report provide an assessment of remaining issues from the previous verification period?	VVS para 409(g), (h)
8.23 Amount of emission reductions	Does the verification and certification report provide a conclusion on the verified amount of emission reductions achieved?	VVS para 409 (j)
8.24 Monitoring period	Does the verification and certification report indicate the monitoring period under verification, all CPAs included in the PoA during the specific monitoring period and the corresponding number of CERs requested by the DOE? In the case of a single monitoring report, does the verification report indicate that the request for issuance corresponds to all CPAs included in the PoA, or in the case of multiple monitoring reports, the request corresponds to one of the batches of CPAs included in the PoA? Does the verification report further confirm that monitoring periods have been consecutive and that CPAs have been included in requests for issuance in a consecutive manner?	VVS para 412, 429, 430
8.25 Negative emission reductions	If the registered CDM PoA applies any of the methodologies listed in the PCP as potentially accruing negative emission reductions in a monitoring period, does the verification and certification report confirm that the CERs, tCERs or ICERs have been issued for all CPAs included in the PoA for the previous monitoring period?	VVS para 431



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

The table below lists “issues of an editorial nature” for which the secretariat may request the DOE to submit the missing or revised documents and/or information in accordance with paragraph 231 of the PCP.

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

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



Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
02.0	27 March 2015	Revision to: <ul style="list-style-type: none">• Incorporate the new provisions in CDM project standard (CDM-EB65-A05-STAN), CDM validation and verification standard (CDM-EB65-A04-STAN) and CDM project cycle procedure (CDM-EB65-A32-PROC) adopted at EB 82;• Editorial improvements.
01.0	3 May 2012	Initial publication.

Decision Class: Regulatory
Document Type: Information note
Business Function: Issuance
Keywords: certification, completeness check, post-registration change, programme of activities
