



CDM PROJECT ACTIVITY REQUEST FOR REGISTRATION: INFORMATION AND REPORTING CHECK CHECKLIST

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

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.

SS : Standard for 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
1. RE-SUBMISSION COMPLETENESS		
1.1 Applied methodology and/or standardized baseline	Is the version of applied methodology(ies) and/or standardized baseline(s) valid at the time of re-submission considering the extension granted until the end of the 28th-day period after the notification that the submission cannot be processed any further?	PCP para 83, 87
2. PROJECT DESIGN DOCUMENT		
2.1 Project description		
2.1.1 General description	Are all sections of the PDD for the description of the project activity completed, including the purpose of the project activity, its contribution to sustainable development, applied technologies and/or measures, involved Party(ies) and project participants, estimated amount of reductions, whether it receives public funding and the confirmation that it was not a CPA erroneously included in and excluded from a registered PoA?	PS para 31-35
2.1.2 Small scale project activity	For project activities requesting registration as a small scale project activity, does the PDD explain how it qualifies as a small scale project type, that it is not a de-bundled component of a large scale project activity, and contain separate information on type, technology measure and application of the methodology for each component in case of a bundled project activity?	PS para 99-104
2.2 Baseline		
2.2.1 Reference of methodology and standardized baseline	Does the PDD contain the reference (number, title and version) of the selected methodology(ies) and/or the selected standardize baseline(s), including any tools, standards and/ or guidelines as required by the methodology(ies), valid at the time of submission?	PS para 36-38



2.2.2 Applicability of methodology and standardized baseline	Does the PDD describe how applicability conditions of the methodology(ies) and/or the selected standardize baseline(s) are met?	PS para 39
2.2.3 Application of the selected methodology and standardized baseline for small scale project activities	Does the PDD explain how the specific requirements for the application of the selected methodology(ies) and/or standardized baseline(s) in case of small scale project activities are met?	PS para 105-110
2.2.4 Project boundary and sources of GHG	Does the PDD clearly define the boundary of the proposed project activity and the GHG sources included in the project boundary, in accordance with the selected methodology(ies) and/or the selected standardize baseline(s)?	PS para 40, 41
2.2.5 Establishment and description of baseline scenario	Does the PDD describe the baseline scenario and how it was established in accordance with the selected methodology(ies) or standardize baseline(s) ?	PS para 42-48
2.3 Additionality		
2.3.1 Prior consideration	Where project starting date is before the publication of the PDD for the global stakeholder consultation, does the PDD describe how the CDM benefits were considered in the decision to undertake the project?	PS para 27-29
2.3.2 Demonstration of additionality	Does the PDD describe how additionality of the project activity was demonstrated in accordance with the applied methodology(ies), tool(s) and/or guidelines, or with the applied standardized baseline(s)?	PS para 49-52 and 111
2.3.3 Investment analysis	Where investment analysis is used to demonstrate additionality of the project activity, does the PDD list all relevant assumptions such as the financial indicator, input values, benchmark and the results of the investment analysis, including sensitivity analysis?	PS para 50 (a)
2.3.4 Barrier analysis	Where barrier analysis is used to demonstrate additionality of the project activity, does the PDD describe each of the barriers presented?	PS para 50 (b), 51 (a)



2.3.5 Common practice analysis	For large scale project activities, does the PDD contain common practice analysis?	PS para 51 (b)
2.4 Emission reductions		
2.4.1 Methodological choices	Does the PDD explain the methodological choices for the calculation of the baseline and project emissions, leakage and emission reductions?	PS para 53, 54
2.4.2 Data and parameters fixed at validation	Does the PDD list data and parameters used to calculate the emission reductions? For parameters that are not monitored but remain fixed throughout the crediting period, are the details such as the values applied accompanied by appropriate units, source, and justification provided?	PS para 55-60 SS section 4
2.4.3 Ex-ante calculation of emission reductions	Does the PDD present step-wise calculation of the ex-ante emission reduction calculations, including how the selected values are applied in each equations, in accordance with the selected methodology(ies) and/or the selected standardized baseline(s)?	PS para 53
2.5 Monitoring methodology		
2.5.1 Delayed inclusion	Where the project participants choose to make a delayed submission of the monitoring plan, does the PDD contain the statement that the submission of the monitoring plan is delayed?	PS para 63
2.5.2 Data and parameters monitored	Does the PDD 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
2.5.3 Monitoring plan	Does the PDD contain a monitoring plan that explains the operational and management structure, responsibilities and institutional arrangement for data collection/ archiving, QA/QC procedures, and sampling plan where applicable?	PS para 65, 112, 113 SS section 4



2.6 Duration of the project activity		
2.6.1 Project starting date	Does the PDD indicate the project starting date and how it has been determined, and the expected operational lifetime?	PS para 66, 67
2.6.2 Crediting period	Does the PDD indicate the type, the duration and starting dates of the crediting period?	PS para 68-71
2.7 Environmental impact		
2.7.1 Environmental impact	Does the PDD include a summary of an analysis of the environmental impacts of the proposed CDM project activity, and if required by the host Party, an environmental impact assessment in accordance with the host Party's procedures?	PS para 72, 73, 114 and 115
2.8 Local stakeholder consultation		
2.8.1 Local stakeholder consultation	Does the PDD include description of how the stakeholders were invited to provide comments on the project activity prior to the start date of the project activity and submission of the PDD for validation, summary of the comments received and how the comments were considered?	PS para 74-80
3. VALIDATION REPORT		
3.1 Validation methods		
3.1.1 Standard auditing techniques	Does the validation report describe how the DOE has applied the standard auditing techniques as appropriate, including desk review, follow-up actions, referencing, review of the calculations, sampling approach?	VVS para 22-24 SS section 6
3.2 Global stakeholder consultation		
3.2.1 Global stakeholder consultation	Does the validation report contain information on the global stakeholder consultation, including dates, duration, how comments received have been taken in due account by the DOE, and whether the publication of a revised PDD for global stakeholder consultation is necessary?	VVS para 31-42



3.3 Letter of Approval/ Authorization		
3.3.1 Letter of Approval	Is the receipt of the valid letter reported in the validation report, including whether the LoA was received from the project participants or directly from the DNA?	VVS para 47, 48, 49 (a) (b)
3.3.2 Statements	Does the validation report indicate if the LoA(s) includes clear statements on: i) the ratification of Kyoto Protocol; ii) and voluntary participation; and iii) contribution to the sustainable development of the host country for the host Party LoA?	VVS para 44 (a)(b)(c), 45, 49 (d)
3.3.3 Authorization	Does the validation report indicate how it has confirmed that the participation for each project participant has been authorized by a Party to the Kyoto Protocol?	VVS para 51, 53-56
3.4 Project design document -PDD		
3.4.1 Form	Does the validation report indicate if the PDD was completed correctly using the latest PDD form and instructions therein?	VVS para 69, 70
3.5 Project description		
3.5.1 Validation method and opinion	Does the validation report describe the steps taken and the validation opinion on the accuracy and completeness of the project description in the PDD, and confirm that the CDM project activity is not a CPA that has been excluded from a registered PoA?	VVS para 71-76, 77 (a) (b)
3.5.2 Small scale project activity	For a project activity requesting for registration as a small scale project activity, does the validation report explain how the project activity fulfills the eligibility criteria for small scale project and confirm that it is not a de-bundled component of a large scale project?	VVS para -184, 192
3.5.3 Site visit	In case no site visit was conducted, is the justification provided in the validation report?	VVS para, 77 (c)



3.6 Methodology and standardized baseline		
3.6.1 Applicability conditions	Does the validation report describe how each applicability condition of the selected methodology(ies) and/or the standardized baseline(s) is fulfilled by the project activity?	VVS para 85, 86
3.6.2 Deviation and/or clarification on the methodology	Does the validation report indicate if the project participant deviated from the approved methodology, hence requires a clarification on the applicability of an approved methodology and/or standardized baseline or requested for deviation from an approved methodology?	VVS para 87-90
3.6.3 Boundary and sources of GHG	Does the validation report describe how the DOE has validated the project boundary and sources of GHG, and if it has identified emission sources that are not addressed by the applied methodology(ies) and/or standardized baseline(s) which are expected to contribute more than 1 % of the annual emission reduction?	VVS para 95, 96
3.7 Baseline scenario		
3.7.1 Baseline scenario identification	Does the validation report describe the steps taken to assess the baseline scenario identified and a validation opinion on the assumptions and data used, the documentation and the relevant national and/or sectoral policies and circumstances, and the method applied to crosscheck the information contained in the PDD?	VVS para 101-103, 105, 106
3.7.2 Alternative scenario(s)	Does the validation report indicate if procedures in the methodology(ies) has been correctly applied in to identifying the baseline scenario, and confirm that no alternative scenario has been excluded where the methodology requires several alternative scenarios to be considered?	VVS para 99, 100
3.7.3 Standardized baseline scenario	Where the CDM project activity uses an approved standardized baseline that standardises the baseline scenario, does the validation report provide an opinion on as to whether the baseline scenario identified in the PDD is in accordance with the selected standardized baseline?	VVS para 104, 107



3.8 Additionality		
3.8.1 Additionality	Does the validation report describe all the steps taken to cross-check the given information in the PDD , and how it has determined the credibility of the evidence, where applicable?	VVS para 112, 198
3.8.2 Project starting date	Does the validation report describe how the project starting date was validated to be in line with the latest CDM glossary of terms?	VVS para 114, 120 (a)
3.8.3 Continuing and real actions	Does the validation report describe how real and continuing actions to secure the CDM status was validated?	VVS para 116 (b), 117, 118
3.8.4 Evidence of prior consideration	Does the validation report describe how the evidence of the prior consideration of CDM and the real and continuing actions, if applicable, were assessed?	VVS para 120 (b)
3.8.5 Compliance with the requirements	Does the validation report include a validation opinion regarding the project activity's compliance with the applicable requirements related to the prior consideration of and the real and continuing actions for the CDM status?	VVS para 120 (c)
3.8.6 Demonstration of additionality	Does the validation report describe the assessment of the option/ approach taken by the project participant and if it is in accordance with the requirements by the applied methodology(ies), applicable guidelines and/or additionality criteria in the selected standardized baseline(s)?	VVS para 110, 111, 195, 196
3.8.7 Identification of alternatives	Where the baseline scenario is not prescribed in the approved methodology, does the validation report indicate whether the list of alternatives presented in the PDD is credible and complete?	VVS para 122, 125
3.8.8 Accuracy of the investment analysis	Where investment analysis is used, does the validation report contain a confirmation of the appropriateness of the underlying assumptions and the accuracy of financial calculations carried out for any investment analysis?	VVS para 129, 132 (c)



3.8.9 Parameters used for the investment analysis	Where investment analysis is used, does the validation report describe how the suitability of parameters used in the financial calculation has been assessed?	VVS para 129 (a) (b) (c)
3.8.10 Sensitivity analysis of the investment analysis	Does the validation report contain assessment of the sensitivity analysis of the financial calculation to determine under what conditions variations in the result would occur and the likelihood of these conditions?	VVS para 129 (e)
3.8.11 Suitability of the benchmark	Where benchmark analysis is conducted, does the validation report describe how the suitability of the benchmark has been assessed?	VVS para 130, 132 (b)
3.8.12 Feasibility report	In case the financial parameters are taken from a feasibility study report (FSR) that is approved by a national authority, does the validation report provide a clear validation opinion on the project activity's compliance with the applicable requirements related to the reference to FSRs?	VVS para 131
3.8.13 Assessment of barrier analysis	Where barrier analysis is used, does the validation report describe how the DOE has assessed each barrier identified and the credibility of the barrier analysis?	VVS para 134-136
3.8.14 Common practice analysis	Where applicable, does the validation report describe validation of the common practice analysis, in particular: the applicable geographical area, existence of similar projects, essential distinctions between the project activity and any similar projects; and confirm that the project activity is not a common practice?	VVS para 138, 139
3.9 Emission reductions		
3.9.1 Application of equations and parameters	Does the validation report contain assessment on whether options for equations and parameters have been correctly applied in accordance with the selected methodology(ies) and/or standardized baseline(s), and all estimates can be replicated using the data and parameter values provided in the PDD?	VVS para 141, 144 (d), (e)



3.9.2 Fixed data and parameters	Does the validation report verify that choices for data and parameters fixed throughout the crediting period are justified, sources of data and assumptions are appropriate, and do result in an accurate or conservative estimation of the emission reductions?	VVS para 142 (a), 144 (a), (b), (c), 145
3.9.3 Monitored data and parameters	Does the validation report verify that estimates for data and parameters that will be monitored or estimated on implementation are reasonable?	VVS para 142 (b), 144 (a), (b), (c), 145
3.9.4 Sampling	Where parameters are determined by sampling, does the validation report verify that sampling efforts have been undertaken in accordance with the “Standard for sampling and surveys for CDM project activities”?	VVS para 142 (a), (b) SS section 6 -
3.10 Monitoring plan		
3.10.1 Delayed monitoring plan	Where applicable, does the validation report confirm whether the project participants have decided to delay the submission of the monitoring plan?	VVS para 151-153
3.10.2 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



3.10.3 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 project design and the project participants have ability to implement it?	VVS para 149 (b), 150 (b) and (c)
3.11 Duration and crediting period		
3.11.1 Start date and crediting period	Does the validation report describe the steps taken to assess the compliance of the project activity's start date, operational life time and crediting period with the relevant requirements in the Project standard?	VVS para 154-156
3.12 Environmental Impact		
3.12.1 Environmental impact	Does the validation report indicate whether the project participant(s) have undertaken an environmental impact assessment in accordance with procedures as required by the host Party?	VVS para 160, 200
3.13 Local Stakeholders consultation		
3.13.1 Local stakeholder comments	Does the validation report describe how it has assessed the adequacy of the local stakeholder consultation and how comments from stakeholders, if any, have been taken in due account?	VVS para 162-165, 166
3.14 Validation Report		
3.14.1 Summary of validation process	Does the validation report include a summary of validation process?	VVS 176 (a)
3.14.2 Dialogue with project participants	Does the validation report describe the results of the dialogue between the DOE and the project participants, as well as any adjustments made to the project design following stakeholder consultation?	VVS 176 (b)



3.14.3 Requests raised by the DOE	Does the validation report contain information on all CARs, CLs and FARs: the issues raised, the responses by the project participants, how they were resolved, and how they resulted in changes in the PDD or supporting annexes?	VVS para 30, 176 (b)
3.14.4 FARs	In case FARs are raised, are they related to the project implementation and not to the registration requirements?	VVS para 28
3.14.5 Validation conclusions and opinion	Does the validation report describe the approaches taken, findings and conclusions, to reach the final validation opinion?	VVS para 176 (c), (d)
2.14.6 List of reference	Does the validation report provide lists of on-site inspections, interviewees and documents reviewed?	VVS para 176 (e)
2.14.7 Sampling approach	Does the validation report provide a list of sampling approaches used, and a description of determination of sample size and conduction of field visit in case of sampling approach applied to on-site inspection?	VVS para 176 (e)
2.14.8 Quality control	Does the validation report provide information on quality control within the team and in the validation process?	VVS para 176 (g)
2.14.9 Validation team	Does the validation report include the details of the validation team members, technical experts, internal technical reviewers involved, and their roles in the validation activity?	VVS para 176 (f), (h)
2.15 Validation opinion		
2.15.1 Validation methodology	Does the validation opinion include a summary of the validation methodology, procedures and the validation criteria applied and if the project activity satisfies the criteria?	VVS para 171 (a) (e)
2.15.2 Non coverage	Does the validation opinion include a description of any of the project components or issues that are not covered by the validation?	VVS para 171 (b)



2.15.3 Validation conclusion	Does the validation opinion include a summary of the validation conclusions and a statement on the validation of the expected emission reductions?	VVS para 171 (c), (d)
------------------------------	--	-----------------------

Appendix 1 - Request for Registration: 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 82 of the PCP.

Item	Description of the Item
1.	Any issue of an editorial nature that is not picked at completeness check stage
2.	Hyperlink/weblink missing or not opening
3.	System diagram like project boundary, monitoring line diagram, management structure missing or is unclear
4.	GHG sources not discussed in the PDD
5.	Start date of crediting period missing except for cases in which project participant intends to start the crediting period after the registration of the project.
6.	Recording frequency of parameters not reported as per the methodology
7.	In case of resubmission after incomplete information and reporting check, any missing or not readable documents or document containing blank pages, typographical errors, or part of text not in English

* 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: Registration
Keywords: completeness check, project activities, request for registration
