Validation report form for post-registration changes for CDM programme of activities

(version 01.0)

Complete this form in accordance with the "Attachment: Instructions for filling out the validation report form for post-registration changes for CDM programme of activities" at the end of this form.

VALIDATION REPORT ON POST-REGISTRATION CHANGES (PRCs)	
Title and reference number of the programme of activities (PoA)	
Process track	☐ Prior approval ☐ Issuance ☐ Renewal of crediting period
Version number of the validation report on PoA PRCs	
Completion date of the validation report on PoA PRCs	
Version number of PoA-DD and/or CPA-DD applicable to this validation report	
Type(s) of PoA PRCs	☐ Temporary deviations from the registered monitoring plan, monitoring methodology or standardized baseline ☐ Corrections ☐ Changes to the start date of the crediting period ☐ Inclusion of a monitoring plan to a registered PoA ☐ Permanent changes from registered monitoring plan, monitoring methodology or standardized baseline ☐ Types of changes specific to afforestation and reforestation activities ☐ Changes to the programme design of a registered PoA ☐ Changes to project design of generic component project activities or specific-case component project activities
Coordinating/managing entity (CME)	
Host Party(ies)	
Sectoral scope(s)	
Selected methodology(ies)	
Selected standardized baseline(s), where applicable	
Name of DOE	

Name, position and signature of the approver of the validation report on PoA PRCs	

SECTION A. Executive summary

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SECTION B. Validation team, technical reviewer and approver

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B.1. Validation team member

No.	Role	Type of resource	Last name	First name	Affiliation (e.g. name of central or other office of DOE or outsourced entity)	Involvement in			
						Desk review	On-site inspection	Interview(s)	Validation findings
1.	Team Leader								
2.	Validator								
..	…								
..	Technical Expert								
..	…								
..	Financial/ Other Expert								
..	…								
..	Trainee								
..	…								

B.2. Technical reviewer and approver of the validation report on PoA PRCs

No.	Role	Type of resource	Last name	First name	Affiliation (e.g. name of central or other office of DOE or outsourced entity)
1.	Technical reviewer				
…	**….**				
…	Approver				

SECTION C. Means of validation

C.1. Desk review

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C.2. On-site inspection

Duration of on-site inspection: DD/MM/YYYY to DD/MM/YYYY				
No.	**Activity performed on-site**	**Site location**	**Date**	**Team member**
1.				
…				

C.3. Interviews

No.	**Interviewee**			**Date**	**Subject**	**Team member**
	Last name	**First name**	**Affiliation**			
1.						
…						

C.4. Clarification requests, corrective action requests and forward action requests raised

Areas of validation findings	**No. of CL**	**No. of CAR**	**No. of FAR**
Compliance with PoA-DD and/or CPA-DD form(s)			
Temporary deviations from the registered monitoring plan, monitoring methodology or standardized baseline			
Corrections			
Changes to the start date of the crediting period			
Inclusion of a monitoring plan in a registered PoA			
Permanent changes from registered monitoring plan, monitoring methodology or standardized baseline			
Types of changes specific to afforestation and reforestation project activities			
Changes to the programme design of a registered PoA			
Changes to project design of generic component project activities or specific-case component project activities			
Others (please specify)			
Total			

SECTION D. Validation findings

D.1. Compliance with PoA-DD and/or CPA-DD form(s)

Means of validation	
Findings	
Conclusion	

D.2. Temporary deviations from the registered monitoring plan, monitoring methodology or standardized baseline

Means of validation	
Findings	
Conclusion	

D.3. Corrections

Means of validation	
Findings	
Conclusion	

D.4. Changes to the start date of the crediting period

Means of validation	
Findings	
Conclusion	

D.5. Inclusion of a monitoring plan in a registered PoA

Means of validation	
Findings	

Conclusion	

D.6. Permanent changes from registered monitoring plan, monitoring methodology or standardized baseline

Means of validation	
Findings	
Conclusion	

D.7. Types of changes specific to afforestation and reforestation activities

Means of validation	
Findings	
Conclusion	

D.8. Changes to the programme design of a registered PoA

Means of validation	
Findings	
Conclusion	

D.9. Changes to project design of generic component project activities or specific-case component project activities

Means of validation	
Findings	
Conclusion	

SECTION E. Internal quality control

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SECTION F. Validation opinion

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Appendix 1. Abbreviations

Abbreviations	Full texts

Appendix 2. Competence of team members and technical reviewers

Appendix 3. Documents reviewed or referenced

No.	Author	Title	References to the document	Provider
1				
2				
3				
…				

Appendix 4. Clarification requests, corrective action requests and forward action requests

Table 1. CL from this validation

CL ID	xx	**Section no.**		**Date:** DD/MM/YYYY
Description of CL				
CME's response				**Date:** DD/MM/YYYY
Documentation provided by CME				
DOE assessment				**Date:** DD/MM/YYYY

Table 2. CAR from this validation

CAR ID	xx	**Section no.**		**Date:** DD/MM/YYYY
Description of CAR				
CME's response				**Date:** DD/MM/YYYY
Documentation provided by CME				

DOE assessment	Date: DD/MM/YYYY

Table 3. FAR from this validation

FAR ID	xx	Section no.		Date: DD/MM/YYYY
Description of FAR				
CME's response				Date: DD/MM/YYYY
Documentation provided by CME				
DOE assessment				Date: DD/MM/YYYY

Attachment: Instructions for filling out the validation report form for post-registration changes for CDM Programme of activities

1. General instructions

1. When completing the CDM-PoA-PRCV-FORM that applies to the validation of post-registration changes (PRCs) of any type of registered CDM programme of activities (PoA) and/or generic component project activities, and/or specific-case component project activities (CPA) except carbon dioxide capture and storage (CCS), in addition to applying the relevant requirements in the valid version of the "CDM validation and verification standard (VVS)", consult the "Rules and Reference" section of the UNFCCC CDM website. This section contains all regulatory documents for the CDM, such as standards (including methodologies, tools and standardized baselines), procedures, guidelines, clarifications, forms and the "Glossary: CDM terms".

2. In describing the changes in sections D.2 – D.9, clearly indicate which document(s) (i.e. whether only the PoA-DD, CPA-DD or both the PoA-DD and CPA-DD) and section(s) that are effected by the changes (i.e. Sections A, B, C, etc).

3. Include, if necessarily, additional information other than that indicated in this validation report on PRCs, in order to support how the designated operational entity (DOE) has arrived at its opinion. This information may include, but need not be limited to tables, graphs and annexes such as a validation protocol.

4. List all the abbreviations used in this validation report in Appendix 1 below.

5. Complete the CDM-PoA-PRCV-FORM and all attached documents in English, or attach a full translation of relevant sections in English.

6. Complete the CDM-PoA-PRCV-FORM using the same format without modifying its font, headings or logo, and without any other alteration to the form.

7. Do not modify or delete the tables and their columns in the CDM-PoA-PRCV-FORM. Add rows to the tables and appendices as needed.

8. If a section of the CDM-PoA-PRCV-FORM is not applicable, explicitly state "N/A" to indicate that the section is left blank intentionally.

9. Use an internationally recognized format for the presentation of values in the CDM-PoA-PRCV-FORM, for example use digits grouping in thousands and mark a decimal point with a dot (.), not with a comma (,).

10. Complete the CDM-PoA-PRCV-FORM deleting this attachment "Instructions for filling out the validation report form for post-registration changes for CDM programme of activities".

2. Specific instructions

1. Indicate the following information on the cover page:
   - (a) Title and reference number of the programme of activities (PoA) (UNFCCC reference number);
   - (b) Process track (check the applicable track. Only one process track can be selected);
   - (c) Version number of the validation report on PoA PRCs (version XX.X);
   - (d) Completion date of the validation report on PoA PRCs (DD/MM/YYYY);
   - (e) Version number of PoA-DD and/or CPA-DD applicable to this validation report;
   - (f) Type(s) of PoA PRCs (check the applicable type(s) of PRCs);

(g) Coordinating/Managing Entity;
(h) Host Party(ies);
(i) Sectoral scope(s)
(j) Selected methodology(ies)
(k) Selected standardized baseline(s), where applicable;
(l) Name of DOE;
(m) Name, position and signature of an approver of the validation report on PoA PRCs.

SECTION A. Executive summary

1. Provide a brief summary of the registered CDM programme of activities and/or generic component project activities, and/or specific-case component project activities (including the purpose and general description and location), scope of the validation, validation process and conclusion.

SECTION B. Validation team, technical reviewer and approver

1. Provide details of the validation team, technical reviewer and approver in sections B.1 and B.2. If applicable, also identify any trainees.
2. For "Type of resource" in sections B.1 and B.2, indicate the type of resource of the personnel with the use of one of the following abbreviations referring to the "CDM accreditation standard";
   (a) IR (Internal Resource);
   (b) EI (External Individuals);
   (c) OR (Outsourced Resource).
3. Demonstrate how the team meets the competence required for the validation in Appendix 2 below.

SECTION C. Means of validation

C.1. Desk review

1. List all documents reviewed or referenced during the validation in Appendix 3 below.

C.2. On-site inspection

1. Summarize any on-site inspection performed during the validation in the table.

C.3. Interviews

1. Summarize all the interviews (i.e. in-person interviews, web/teleconferences, etc.) conducted during the validation in the table.

C.4. Clarification requests, corrective action requests and forward action requests raised

1. Indicate in the table the number of clarification requests (CLs), corrective action requests (CARs) and forward action requests (FARs) raised during the validation of each type of post-registration change in SECTION D below.

SECTION D. Validation findings

1. In sections D.1–D.9 below, where applicable, complete tables to validate the compliance in accordance with the applicable validation requirements in the VVS by describing:
   (a) Means of validation: describe how the compliance was validated;
   (b) Findings: provide a brief description of the findings. Include in Appendix 4 below details of any CLs, CARs and FARs, if raised;
   (c) Conclusion: provide a conclusion on the compliance based on the findings.

D.1. Compliance with PoA-DD and/or CPA-DD form(s)

1. Confirm the compliance of the revised PoA-DD and/or CPA-DD (both in tracked-change and clean versions) with the valid version of the applicable PoA-DD and/or CPA-DD form(s) and the instructions therein for filling out the respective form(s).
2. If the CMEs used the later version of the PoA-DD and/or CPA-DD form(s) for the revised PoA-DD (and/or CPA-DD) than the version of the PoA-DD and/or CPA-DD form(s) of the registered PoA, confirm whether information transferred to the later version of the PoA-DD and/or CPA-DD form(s) is materially the same as that in the registered PoA.

D.2. Temporary deviations from the registered monitoring plan, monitoring methodology or standardized baseline

1. Explain how the temporary deviations from the registered monitoring plan, applied monitoring methodology and/or applied standardized baseline were assessed in accordance with the applicable validation requirements in the VVS.
2. Provide an assessment on whether the temporary deviations from the registered monitoring plan, applied monitoring methodology and/or applied standardized baseline require prior approval by the Board.
3. Indicate the period for which the temporary deviation from the registered monitoring plan, applied monitoring methodology and/or applied standardized baseline is applicable.

D.3. Corrections

1. Explain how the corrections to the registered PoA-DD and/or CPA-DD were assessed in accordance with the applicable validation requirements in the VVS.
2. Provide an assessment on whether the corrections require prior approval by the Board.

D.4. Changes to the start date of the crediting period

1. Explain how the changes to the start date of the crediting period were assessed in accordance with the applicable validation requirements in the VVS.
2. Provide an assessment on whether the changes to the start date of the crediting period require prior approval by the Board.

D.5. Inclusion of a monitoring plan in a registered PoA

1. Explain how the inclusion of a monitoring plan in the registered PoA was assessed in accordance with the applicable validation requirements in the VVS.

D.6. Permanent changes from registered monitoring plan, monitoring methodology or standardized baseline

1. Explain how the permanent changes from the registered monitoring plan, applied monitoring methodology and/or applied standardized baseline were assessed in accordance with the applicable validation requirements in the VVS.
2. Provide an assessment on whether the permanent changes from the registered monitoring plan, applied monitoring methodology and/or applied standardized baseline require prior approval by the Board.

D.7. Types of changes specific to afforestation and reforestation activities

1. Explain how the changes specific to afforestation and reforestation activities were assessed in accordance with the applicable validation requirements in the VVS.

D.8. Changes to the programme design of a registered PoA

1. Explain how the changes to the programme design of a registered PoA were assessed in accordance with the applicable validation requirements in the VVS.
2. Provide an assessment on whether the changes to the project design of the registered PoA require prior approval by the Board.

D.9. Changes to project design of generic component project activities or specific-case component project activities

1. Explain how the changes to the project design of a generic component project activities or specific-case component project activities were assessed in accordance with the applicable validation requirements in the VVS. 2. Provide an assessment on whether the changes to the project design of a generic component project activities or specific-case component project activities require prior approval by the Board.

SECTION E. Internal quality control

1. Describe the measures taken to ensure the quality of the validation activities.

SECTION F. Validation opinion

1. Provide a validation opinion on the post-registration changes.

Appendix 1. Abbreviations

1. List all the abbreviations used in this report in the table.

Appendix 2. Competence of team members and technical reviewers

1. Provide documentation to substantiate the required competence of validation team members and technical reviewer(s).

Appendix 3. Documents reviewed or referenced

1. List all documents reviewed or referenced during the validation including CDM regulatory documents in the table.
2. For each document indicate the following:
   (a) Title: provide the title of the document. Include the version number, if applicable;
   (b) Author: provide the name(s) of the author(s). Where the author(s) belong(s) to the organization(s) that issue the document, provide only the name(s) of the organization(s);
   (c) References to the document: where applicable, provide the relevant reference to the document such as the dates of completion/publication and URL;
   (d) Provider: choose one of the following options to indicate who provided the document to the DOE for its desk review. Select 'Others' for documents that were provided by those other than the CME:
      (i) CME;
      (ii) Others.

Appendix 4. Clarification requests, corrective action requests and forward action requests

1. If needed, copy tables 1, 2 and/or 3 for each CL, CAR, and FAR, and copy the following rows until the finding is closed unless a FAR for future validation was issued:
   (a) CME's response;
   (b) Documentation provided by CME;
   (c) DOE assessment.
2. In each table, indicate the section number of the validation report on PRCs to which each CL, CAR, and/or FAR corresponds.

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Document information

Version	*Date*	*Description*
01.0	5 June 2015	Initial publication.

Decision Class: Regulatory
Document Type: Form
Business Function: Registration
Keywords: post-registration change, programme of activities, validation report