

**CDM-EB93-A06-PROC**

## Procedure

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# CDM project cycle procedure for project activities

Version 01.0



**United Nations**  
Framework Convention on  
Climate Change

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## **1. Introduction**

### **1.1. Background**

1. The Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (CMP), at its first session, established the basis of a regulatory framework of the clean development mechanism (CDM) to implement Article 12 of the Kyoto Protocol through the annex to decision 3/CMP.1, the annexes II, III and IV to decision 4/CMP.1, the annex to decision 5/CMP.1, the annex to decision 6/CMP.1 and the annex to decision 10/CMP.7. The CMP revised provisions in these decisions through new decisions in subsequent sessions and revoked annexes III and IV to decision 4/CMP.1. In addition, the Executive Board of the clean development mechanism (hereinafter referred to as the Board) operationalized the CDM process by adopting various standards, procedures and guidelines and revised them, as appropriate, with a view to improving the CDM process.

### **1.2. Objectives**

2. The objectives of the “CDM project cycle procedure for project activities” (hereinafter referred to as this procedure) are to:
  - (a) Consolidate all provisions relating to the project cycle processes for CDM project activities, including their development, registration, post-registration changes and renewal, as well as the issuance of certified emission reductions (CERs) resulting from the implementation of CDM project activities;
  - (b) Enhance the overall efficiency and integrity of the CDM.

## **2. Scope, applicability and entry into force**

### **2.1. General**

3. This procedure describes the administrative steps to follow for project participants, designated operational entities (DOEs), other stakeholders, the Board and the UNFCCC secretariat (hereinafter referred to as the secretariat) for registration of a CDM project activity, issuance of CERs and related actions.

### **2.2. Entry into force**

4. Version 01.0 of this procedure enters into force on 1 June 2017.

## **3. Terms and definitions**

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

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

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

6. If the start date of a proposed CDM project activity, as determined in accordance with the “CDM project standard for project activities”, is prior to the date of publication of the PDD for global stakeholder consultation referred to in paragraph 18 below, the project participants shall demonstrate that the CDM benefits were considered necessary in the decision to undertake the project as a project activity in accordance with paragraphs 7 or 12 below. If the start date of the project activity is on or after the date of publication of the project design document (PDD) for global stakeholder consultation, such demonstration is not necessary.
7. For a proposed CDM project activity with a start date on or after 2 August 2008, the project participants shall notify the designated national authority (DNA) of the host Party of the project activity, if the DNA exists, and the secretariat in writing of the commencement of the project activity and their intention to seek the CDM status for the project activity, or, through a DOE, publish the PDD for global stakeholder consultation in accordance with paragraphs 18–21 below, within 180 days of the start date of the project activity as defined in the “CDM project standard for project activities”, by using the “CDM project activity prior consideration form” (CDM-PC-FORM) or the relevant PDD form, respectively.
8. The notification to be submitted according to paragraph 7 above shall include information on: the location of the proposed CDM project activity, indicating country, region and the precise geographical location(s) (geo-coordinates, or other adequate means to identify the project location); and the technology under consideration for the project activity.
9. The secretariat shall conduct a completeness check to determine whether the information submitted by the project participant is complete. If the secretariat, during the completeness check, identifies that information is missing, the secretariat shall request this information from the project participants. The project participants shall submit the requested information within 14 days of receipt of the request. The secretariat shall notify the project participants whether the notification submitted is considered complete.
10. Once the secretariat has determined that the notification is complete, it shall publish it on the UNFCCC CDM website.
11. The project participants of project activities referred to in paragraph 8 above shall inform the secretariat of the progress of the proposed CDM project activity every two years after the initial notification, using the “CDM project activity prior consideration form” (CDM-PC-FORM) until the PDD regarding the project activity has been published for global stakeholder consultation.
12. For a proposed CDM project activity with a start date before 2 August 2008, for which the PDD has not been published for global stakeholder consultation in accordance with paragraphs 18–21 below or the start date is prior to the date of publication of the PDD for global stakeholder consultation, the project participants shall provide information to demonstrate that the CDM was seriously considered in the decision to implement the project activity in accordance with the “CDM project standard for project activities” to the DOE that performs validation of the project activity.

## **4.2. Participation requirements of host Party for carbon capture and storage project activities**

### **4.2.1. Expression of host Party agreement for carbon capture and storage project activities**

13. If a Party wishes to host CDM carbon capture and storage (CCS) project activities on its territory, it shall submit to the secretariat, through its DNA, an expression of its agreement (EoA) to allow the implementation of CCS project activities on its territory. A host Party's EoA shall be submitted prior to the PDD for the first proposed CCS project activity on the host Party's territory being published for global stakeholder consultation. A DNA shall submit the EoA by e-mail to <Moderator-DNA@unfccc.int>.
14. A host Party's EoA shall apply to all CCS project activities implemented on its territory.
15. The EoA should list the host Party's laws and regulations that satisfy the requirements set out in section 4.2.2 below as an appendix.

### **4.2.2. Laws and regulations of host Party for carbon capture and storage project activities**

16. Prior to the publication of the PDD for global stakeholder consultation for the first proposed CCS project activities on its territory, a host Party shall ensure that it has established laws and/or regulations that:
  - (a) Set procedures that include provisions for the appropriate selection, characterization and development of geological storage sites, recognizing the project requirements for CCS project activities under the CDM set out in section "Selection and characterization of the geological storage site" of the "CDM project standard for project activities";
  - (b) Define means by which rights to store carbon dioxide in, and gain access to, a subsurface pore space can be conferred to project participants;
  - (c) Provide for timely and effective redress for affected entities, individuals and communities for any significant damage, such as environmental damage, including damage to ecosystems, other material damage or personal injury, caused by a CCS project activity, including in the post-closure phase;
  - (d) Provide for timely and effective remedial measures to stop or control any unintended seepage of carbon dioxide, to restore the integrity of a geological storage site, and to restore long-term environmental quality significantly affected by a CCS project activity;
  - (e) Establish means for addressing liability arrangements for carbon dioxide geological storage sites, taking into account the provisions set out in section "Liability" of the "CDM project standard for project activities";
  - (f) For a host Party that accepts the obligation to address a net reversal of storage, establish measures to fulfil such an obligation.

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

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

17. The project participants of a proposed CDM project activity shall complete a PDD, in accordance with the “CDM project standard for project activities”, and submit it together with supporting documentation to the DOE contracted by the project participants to perform validation of the project activity.
18. The DOE shall make the PDD publicly available through a dedicated interface on the UNFCCC CDM website for global stakeholder consultation. The duration of the period for submission of comments for the global stakeholder consultation shall be 30 days, except with respect to large-scale afforestation and reforestation (A/R) CDM project activities, for which the duration shall be 45 days.
19. When submitting the PDD through the dedicated interface, the DOE shall, in addition to the PDD, provide the following information to be made publicly available on the UNFCCC CDM website:
  - (a) Reference to any previous publication of the PDD for public comments on the UNFCCC CDM website;
  - (b) The summary report of the comments received from local stakeholders during the local stakeholder consultation and how they have been taken into account;
  - (c) A summary of the environmental impact assessment report of the proposed CDM project activity, if the environmental impact assessment was conducted in accordance with the “CDM project standard for project activities”.
20. If the project participant prepares separate PDDs for a bundle of proposed small-scale CDM project activities in accordance with the “CDM project standard for project activities”, the DOE shall make all PDDs publicly available at the same time for global stakeholder consultation.
21. If the DOE is accredited for the validation function in all sectoral scope(s)<sup>1</sup> to which the proposed CDM project activity is linked through the application of methodologies, the secretariat, through the CDM information system, shall make the PDD publicly available on the UNFCCC CDM website. The period for submission of comments for global stakeholder consultation on the PDD shall commence at midnight GMT subsequent to the publication of the PDD. The CDM information system shall inform the DOE of the location of the PDD on the UNFCCC CDM website and the opening and closing dates and time of the period for submission of comments.

#### **4.3.2. Changes after publication of project design document**

##### **4.3.2.1. Change of project participants**

22. When submitting a request for registration of the proposed CDM project activity in accordance with paragraph 70 below, all project participants shall be listed in the PDD.

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<sup>1</sup> There are 16 sectoral scopes in the CDM and these are used in the accreditation of DOEs. The list of sectoral scopes, the DOEs accredited in each scope as well as the approved methodologies linked with these sectoral scopes are given on the UNFCCC CDM website.

The list shall specify which project participants have a contractual relationship with the DOE for validation of the project activity.

23. If all project participants that have a contractual relationship with the DOE for validation at the time of the publication of the PDD for global stakeholder consultation have been replaced, a revised PDD shall be published for global stakeholder consultation in accordance with paragraphs 18–21 above.

#### **4.3.2.2. Change of designated operational entity**

24. If the project participants wish to change the DOE after the publication of the PDD, they shall notify the change to the secretariat by e-mail, providing the name of the newly appointed DOE before the submission of the request for registration of the proposed CDM project activity. The secretariat shall obtain a confirmation from both the outgoing and incoming DOEs. Upon receipt of the confirmation from both DOEs, the secretariat shall reflect the change on the UNFCCC CDM website.
25. From the date of change of the DOE reflected on the UNFCCC CDM website, the incoming DOE shall be responsible for all of the roles of a DOE in the validation, including requesting the withdrawal of a published PDD, if applicable. The incoming DOE shall have full responsibility for the validation outcome that will be submitted when requesting registration.
26. The incoming DOE will not need to republish the PDD in accordance with paragraphs 18–21 above but shall take into account the comments received during the global stakeholder consultation of the PDD in its validation.

#### **4.3.2.3. Change to design of project activity**

27. If the design of the proposed CDM project activity has undergone changes after the publication of the PDD for global stakeholder consultation, the DOE shall determine whether these changes are significant. If the changes are determined by the DOE as significant the DOE shall make a revised PDD publicly available for global stakeholder consultation. The DOE may seek guidance from the Board on whether a revised PDD shall be published for global stakeholder consultation by submitting such a request to a specified UNFCCC e-mail account.
28. The Board shall expeditiously consider the case, through electronic means where possible, and provide guidance to the DOE. In doing so, the Board shall consider the significance of the changes in terms of the impact on the application of the applied methodologies and local stakeholders.
29. For a proposed bundle of small-scale CDM project activities, if the DOE considers that major changes are required in any of the project activities in the bundle and that the change requires a new global stakeholder consultation, the DOE shall republish the revised PDD(s) and all other PDDs in the bundle at the same time for global stakeholder consultation in accordance with paragraphs 18–21 above.

#### **4.3.2.4. Application of standardized baseline whose selection is mandatory**

30. If the PDD has been published for global stakeholder consultation when no applicable standardized baseline was valid, and an applicable standardized baseline whose selection is mandatory has become valid after the publication of the PDD for global stakeholder



consultation, and if the request for registration of the proposed CDM project activity has not been submitted within 240 days after the standardized baseline became valid, the project participants shall revise the PDD applying the standardized baseline. In this case, the DOE shall publish the revised PDD for global stakeholder consultation in accordance with paragraphs 18–21 above.

#### **4.3.2.5. Change of methodologies or standardized baselines**

31. If the project participant wishes to change the methodologies, standardized baselines and/or the combination of methodologies applied in the PDD that has already been published for global stakeholder consultation, then:
  - (a) The project participants shall revise the PDD accordingly;
  - (b) The DOE shall subsequently publish the revised PDD for global stakeholder consultation in accordance with paragraphs 18–21 above, except when the following conditions apply:
    - (i) The change only involves the removal and no addition of methodologies and/or standardized baselines;
    - (ii) The removal of the methodologies and/or the standardized baselines does not affect the physical design of, and the end-use services provided by, the proposed CDM project activity.
32. If the PDD applies the previous version of a methodology and/or a standardized baseline, and a request for registration of the proposed CDM project activity has not been submitted within the grace period for the use of the previous version as defined in the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” and/or the “Procedure: Development, revision, clarification and update of standardized baselines”, the project participants shall revise the PDD, applying the revised version of the applied methodology and/or the standardized baseline in its entirety or elements of it as required (e.g. in the case of an approved deviation). In this case, the DOE shall not publish the revised PDD for global stakeholder consultation, but shall submit it when it submits a request for registration in accordance with paragraph 70 below, unless otherwise decided by the Board when it approves the revised methodology and/or the revised standardized baseline.

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

33. Parties, stakeholders<sup>2</sup> and UNFCCC accredited observers may submit comments, in English, on the validation requirements for the proposed CDM project to the DOE 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. Comments from stakeholders shall:
  - (a) Be specific to the proposed CDM project activity;
  - (b) Be related to the compliance with applicable CDM rules and regulations.

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

34. The secretariat shall make the comments publicly available on the UNFCCC CDM website where the PDD is displayed, and shall remove those that the DOE has determined to be unauthentic in accordance with the "CDM validation and verification standard for project activities".
35. After the completion of the local stakeholder consultation, local stakeholders may submit a complaint to the DNA(s) of the host Party(ies) if they find that the outcome of the local stakeholder consultation is not appropriately taken into account. The DOE shall request the DNA(s) to forward such complaints, if any, to the DOE and promptly forward them to the project participants during the validation in accordance with the "CDM validation and verification standard for project activities".

#### **4.4. Reporting of validation status**

36. On the later of 30 June or 31 December, subsequent to the end of the period for submission of comments on the PDD, and on each 30 June and 31 December thereafter, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update on the status of its validation activity, until it submits a request for registration of the proposed CDM project activity in accordance with paragraph 70 below. The DOE shall include one of the following statuses in the update:
  - (a) The validation contract has been terminated. In this case, the DOE shall also provide a reason for the termination on a confidential basis;
  - (b) A revised PDD for the same project activity has been published;
  - (c) The DOE has issued a negative validation opinion;
  - (d) The DOE has raised one or more corrective action requests or clarification requests, to which no response has been received from the project participants or the DOE is seeking further clarification to the responses received from the project participants. In this case, the DOE shall also provide a summary of the issues raised;
  - (e) 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;
  - (f) 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.
37. The secretariat shall inform the stakeholders, who submitted comments that were considered authentic by the DOE during the global stakeholder consultation for the proposed CDM project activity, about the update provided by the DOE by sending them an e-mail to the addresses provided when they submitted the comments.

#### **4.5. Withdrawal of published project design document**

38. At any time before the submission of a request for registration of the proposed CDM project activity in accordance with paragraph 70 below, the project participants may, through the DOE, withdraw the PDD published for global stakeholder consultation. In this

case, the DOE shall submit a request for withdrawal of the PDD to the secretariat by using the "Project or programme design document withdrawal request form" (CDM-PW-FORM). If the form contains all required information, the PDD shall be considered withdrawn and the secretariat shall mark the PDD on the UNFCCC CDM website as "withdrawn".

#### **4.6. Modalities of communication**

39. The project participants of the proposed CDM project activity 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 42 below, and include this information in a modalities of communication (MoC) statement.
40. After the submission of a request for registration of the proposed CDM project activity in accordance with paragraph 70 below, all official communication between the project participants and the Board or the secretariat for the project activity shall be conducted in accordance with the MoC statement, with the exception of communications undertaken in accordance with paragraphs 155 and 167(b) below.
41. The project participants shall submit to the DOE at the time of validation of the proposed CDM project activity an MoC statement using the valid version of the "Modalities of communication statement form" (CDM-MOC-FORM), including its annex 1.
42. 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 the project participants (scope (a)); and/or
  - (b) Communicate in relation to requests for addition and/or voluntary withdrawal of the 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-related matters not covered by (a) or (b) above (scope (c)).
43. The project participants may designate separate entities for each scope of authority in a sole, shared or joint focal point role and shall designate two or more focal points for a shared or joint focal point role.
44. The project participants and the focal points may designate one primary authorized signatory and one alternate authorized signatory. The signature of either the primary or alternate authorized signatory shall suffice for authenticating the project participant's or the focal point's consent or instruction(s).
45. A project participant that is also a focal point for the same proposed CDM project activity may designate different authorized signatories for the project participant status and for the focal point status.
46. The project participants may voluntarily indicate in the MoC statement the end-date of their participation in the proposed CDM project activity. The secretariat shall monitor the end-date of participation and mark the project participants as "withdrawn" on the UNFCCC CDM website on the day after the end-date, provided that at least one project participant authorized by the DNA of a host Party to participate in the project activity remains. The project participants whose participation in the project activity has ended may request

inclusion as a project participant of the same project activity any time thereafter in accordance with paragraph 172(a) below.

47. The project participants shall not include or refer to private contractual arrangements in the MoC statement, such as the establishment of conditions for the designation or change of focal points or the purchase and/or sale of CERs. The project participants and focal points shall be solely responsible for honouring such arrangements.
48. The secretariat shall, when conducting the completeness check of the request for registration submission in accordance with paragraphs 77–79 below, consider the contact details included in the MoC statement 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 the PDD for the proposed CDM project activity.
49. The secretariat shall publish the MoC statement on the respective CDM project activity webpage on the UNFCCC CDM website following the registration of the project activity.
50. The secretariat shall not make available specimen signatures, contact details and other personal information to anyone other than members and alternate members of the Board, the project participants, the focal points and the DOE involved in the proposed CDM project activity.

#### **4.7. Request for deviation from approved methodologies**

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

51. The DOE may, prior to the publication of the PDD for global stakeholder consultation in accordance with paragraphs 18–21 above, or the submission of a request for registration of the proposed CDM project activity in accordance with paragraph 70 below, seek guidance from the Board on the acceptability of a deviation from a selected approved methodology or methodological tool, if the DOE, when performing validation for a proposed CDM project activity, or upon request from the project participants before the publication of the PDD, finds that, due to a project-specific issue, implying that a revision of the selected methodology would not be required to address the issue, the project participants deviated from:
  - (a) The selected methodology; or
  - (b) Sections in the selected methodology that are not standardized by the selected standardized baseline, if the proposed CDM project activity applies a standardized baseline.
52. Alternatively, if the DOE considers that a revision of the selected methodology would be required to address the specific situation of the proposed project activity, it shall follow the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools”.
53. If the DOE cannot determine the applicability of the selected methodology and/or the selected standardized baseline to the proposed CDM project activity, the DOE shall request a clarification on the applicability in accordance with the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” and/or the “Procedure: Development, revision, clarification and update of standardized baselines”.

54. To seek guidance from the Board on the acceptability of the deviation, the DOE shall submit the “Deviation from approved methodology request form” (CDM-DEV-METH-FORM) through a dedicated interface on the UNFCCC CDM website. In the submission the DOE shall provide:
- (a) A clear and precise assessment of the case, including demonstration that the deviation does not imply a revision of the selected methodology;
  - (b) A description of the impact of the deviation on GHG emission reductions or net anthropogenic GHG removals from the proposed CDM project activity.

#### **4.7.2. Processing of request for deviation**

55. The secretariat shall maintain a publicly available list of all submitted requests for deviation on the UNFCCC CDM website, excluding supporting documentation provided by the DOE as confidential. The secretariat shall make publicly available the schedule of processing the requests for deviation, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for deviation in accordance with the secretariat's operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Board.
56. 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 days a completeness check to determine whether the request submission is complete in accordance with paragraph 54 above.
57. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
58. Upon conclusion of the completeness check, the secretariat shall notify the DOE of the conclusion of the completeness check. If the request submission is found incomplete, the secretariat shall also communicate the underlying reasons to the DOE and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit a request for deviation with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for deviation.
59. Upon positive conclusion of the completeness check, the secretariat shall publish the request for deviation on the UNFCCC CDM website, and the request for deviation shall be deemed received by the Board for consideration.
60. The secretariat shall prepare and send to the Board a summary note on the request for deviation 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, within 14 days of the date of publication of the request for deviation.
61. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE, it shall request the DOE to submit revised documents and/or information to clarify the issues within 14 days of receipt of the request. In this case, the

secretariat shall, notwithstanding the provision in paragraph 60 above, finalize the summary note and send it to the Board within 14 days of receipt of the requested documents and/or information from the DOE. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.

62. If the request submission is removed from processing in accordance with paragraph 61 above, the DOE may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to the DOE to provide clarifications on the issues identified if they are not clear enough to them. Only one such request shall be allowed per request for deviation. In this case, the DOE shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
63. 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 60 and 61 above, finalize the summary note and send it to the Board within 14 days of receipt of the inputs from the panel or working group.
64. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 60 above within 20 days of receipt of the summary note, the recommended course of action shall be deemed to be the decision adopted by the Board.
65. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
66. If a member of the Board objects to the secretariat's recommendation on the course of action more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

#### **4.7.3. Finalizing request for deviation**

67. If the Board considers the case at its meeting in accordance with paragraph 60 or 66 above, it shall decide on the course of action at the meeting.
68. The course of action 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 the selected methodology before submitting a request for registration; or
  - (c) Reject the request.
69. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision, the reasons thereof and any guidance provided by the Board as applicable, and

make the decision, reasons and guidance publicly available on the UNFCCC CDM website by publishing a ruling note within three days of the decision of the Board.

## **5. Registration of project activity**

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

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

70. The DOE, after validating that the proposed CDM project activity meets all applicable requirements for registration in the “CDM project standard for project activities” by following the applicable provisions of the “CDM validation and verification standard for project activities” and other applicable CDM rules and requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for registration of the project activity by using the “CDM project activity registration request form” (CDM-REG-FORM) and all the required documents listed in the completeness check checklist for requests for registration.
71. The secretariat shall issue a unique reference number for the submission of the request for registration and a statement of the registration fee due, or confirmation that no registration fee is due, determined in accordance with the provisions on the registration fee, as contained in appendix 1, and shall communicate these to the DOE.
72. The DOE shall communicate the unique reference number, and the registration fee due or a confirmation that no registration fee is due, to the project participants.
73. If proposed small-scale CDM project activities are bundled for registration, the DOE shall submit a single request for registration of the bundle. The registration fee shall be based on the total amount of expected average annual GHG emission reductions of the project activities in the bundle. The secretariat shall issue one unique reference number for all project activities in the bundle.
74. The secretariat shall inform the stakeholders who submitted comments during the global stakeholder consultation for the proposed CDM project activity and for whom the comments were considered by the DOE as authentic that a request for registration has been submitted for the project activity, by sending them an e-mail to the addresses provided when they submitted the comments.
75. The project participants shall pay the registration fee by bank transfer, quoting the unique reference number referred to in paragraph 71 or 73 above. The DOE shall submit proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC CDM website. If the proposed CDM project activity applies:
  - (a) 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 by the secretariat within 40 days of the end of the grace period for revision or the date of withdrawal or suspension, as defined in the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools”; and/or
  - (b) A standardized baseline that has been revised, suspended or has expired, either proof of payment must be uploaded within 20 days or payment must be received

by the secretariat within 40 days of the end of the grace period for revision, the date of suspension or expiry, as defined in the “Procedure: Development, revision, clarification and update of standardized baselines”.

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

76. The secretariat shall maintain a publicly available list of all submitted requests for registration for which the applicable registration fee has been received by the secretariat 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, that is, monthly quotas, which shall also incorporate any relevant instructions from the Board.
77. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within seven days a completeness check to determine whether the request for registration submission is complete in accordance with the completeness check checklist for requests for registration.
78. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the project participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
79. 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 revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.
80. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting check checklist for requests for registration.
81. If the secretariat, during the information and reporting check, identifies issues of an editorial nature or missing basic information, it shall request the DOE by e-mail, copying the project participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission cannot be processed any further.
82. 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 conclude that the request submission cannot be processed any further 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 revised documentation. Upon submission of the revised documentation, the request shall be processed further.

83. 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.
84. If the request cannot be processed any further in accordance with paragraph 82 above, the DOE, or the project participants, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not clear enough to them. Only one such request, regardless of the requesting party, shall be allowed per request for registration. In this case, the DOE, or the project participants, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
85. For re-submission of a request for registration after the completeness check or the information and reporting check in accordance with paragraph 79 or 82 above, respectively, the proposed CDM project activity may apply the same version of the methodologies and/or the standardized baselines applied in the initial submission within 90 days of the initial notification of the negative conclusion of the completeness check or the information and reporting check, even if the version of an applied methodology or standardized baseline is no longer valid. After this period, all re-submissions shall apply the version of the methodology and/or the standardized baseline valid for a new request for registration.
86. 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 CDM website; and the last day by which members of the Board or a Party involved may request a review of the request for registration, as referred to in paragraph 88 below.
87. The secretariat shall, subject to the guidance of the Board, prepare and send to the Board a summary note on the request for registration within 14 days of the date of publication of the request for registration.

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

88. Any Party involved in the proposed CDM project activity and any member of the Board may request a review of the request for registration within 28 days of 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 by e-mail to the secretariat, using the “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the the same form and in accordance with appendix 2.

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

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

92. 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 section 5.1.3 above, the Board shall register the proposed CDM project activity as a CDM project activity.
93. For requests for registration, for which the initial submission was made on or after 11 December 2010, the effective date of registration in the case referred to in paragraph 92 above shall be one of the following (hereinafter referred to as the date when the DOE submitted a complete request for registration):
  - (a) The date when the request for registration was submitted in accordance with paragraph 70 above, if no registration fee is due in accordance with appendix 1 (if the request for registration was submitted as a new submission after the previous submission had been concluded as incomplete at the completeness check stage in accordance with paragraph 79 above and no additional registration fee is due upon the new submission, it is the date of the new submission); or
  - (b) The date when the deposit of the registration fee was received by the secretariat in accordance with paragraph 75 above and appendix 1 (if the request for registration was submitted as a new submission after the previous submission had been concluded as incomplete at the completeness check stage in accordance with paragraph 79 above and additional registration fee is due upon the new submission, it is the date when the additional fee was received by the secretariat).
94. For requests for registration for which the initial submission was made before 11 December 2010, the effective date of registration in the case referred to in paragraph 92 above shall be the next day after the 28-day review request period referred to in paragraph 88 above.

## **5.2. Review of request for registration**

### **5.2.1. Commencement of review**

95. If a Party involved in the proposed CDM project activity, 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 project activity, that a Party involved in the project activity, or at least three members of the Board, have requested a review of the request for registration;

- (b) Mark the request for registration as “under review” on the UNFCCC CDM website and make publicly available an anonymous version of each “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM);
  - (c) Establish a team comprising two experts selected from the Registration and Issuance Team (RIT Team) to conduct an assessment of the request for review. The secretariat shall appoint one of the RIT Team members to serve as the lead, who shall be responsible for all communications with the secretariat.
- 96. If proposed small-scale CDM project activities are bundled for registration, all project activities in the bundle remain under review and the implications and recommendations on the review of the bundle shall lead to a decision by the Board whether to register all project activities in the bundle together.
- 97. The DOE, or the project participants, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified, if they were not clear enough to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for registration. In this case, the DOE, or the project participants, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
- 98. 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.
- 99. 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 that they deem necessary to the PDD and/or validation report to ensure, inter alia, that all facts are clearly stated and sufficiently validated; or
  - (b) Respond in writing by addressing why no revisions to the PDD and/or validation report are necessary.
- 100. 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.
- 101. The date of commencement of the review shall be the date when the secretariat notifies the project participants and the DOE that the review has commenced.

#### **5.2.2. Assessment**

- 102. The secretariat shall conduct an assessment of the request for registration in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM) and the applicable

CDM rules and requirements, taking into account the responses from the project participants and the DOE.

103. Concurrent with and independent from the secretariat's assessment referred to in paragraph 102 above, the RIT Team established in accordance with paragraph 95(c) above shall conduct an assessment of the request for registration in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the "CDM project activity/programme of activities registration request review form" (CDM-REGR-FORM) and the applicable CDM rules requirements, taking into account the responses of the project participants, and the DOE.
104. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.
105. Both the secretariat and the RIT Team shall, in their assessment reports, include a proposed decision, taking into account appendix 2. Each proposed decision shall suggest either:
  - (a) Registering the proposed CDM project activity; or
  - (b) Rejecting the request for registration.
106. 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 rules and requirements applied to the facts;
  - (c) The interpretation of the CDM rules and requirements as applied to the facts.
107. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significance 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.
108. The RIT Team shall submit its assessment report to the Board through the secretariat.
109. 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, validation report and/or other relevant documentation.

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

110. 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 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 report of the secretariat or the RIT Team, whichever was later, was communicated to the Board, unless a member of the Board objects to the proposed decision.

111. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
112. If a member of the Board objects to the proposed decision more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
113. 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, and the other is to reject the request for registration) and the Board receives both proposed decisions more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise, it shall be placed on the agenda of the subsequent Board meeting.
114. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, decide to either:
  - (a) Register the proposed CDM project activity; or
  - (b) Reject the request for registration.

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

115. If the Board's final decision made in accordance with paragraph 110 or 114 above is to register the proposed CDM project activity, the secretariat shall register it as a CDM project activity on the first working day subsequent to the finalization of the decision. The effective date of registration in such cases shall be one of the following:
  - (a) The date when the DOE submitted a complete request for registration as referred to in paragraph 93 above, if the response to the request for review was made in accordance with paragraph 99(b) above; or
  - (b) The date when the latest revisions to the PDD and/or validation report were submitted in accordance with paragraph 99(a) above.
116. If the Board's final decision made in accordance with paragraph 110 or 114 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.
117. 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 rules and requirements applied to the facts;
  - (c) The interpretation of the CDM rules and requirements as applied to the facts.

118. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.
119. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
120. If a member of the Board objects to the proposed ruling more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
121. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, finalize the ruling.
122. The secretariat shall publish a ruling note on the UNFCCC CDM website no later than three days after the ruling was finalized.
123. After the publication of the ruling note, the DOE or the project participants may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the ruling. Only one such request, regardless of the requesting party, shall be allowed per ruling. In this case, the DOE or the project participants shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
124. If the project participants wish to request the registration of a proposed CDM project activity that has been rejected by the Board, the validation activity by the same or a different DOE for the project activity shall restart, including the publication of a revised PDD for global stakeholder consultation in accordance with paragraphs 18–21 above.

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

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

125. For the following cases, the DOE shall submit a request for withdrawal of a request for registration by using the “Registration request withdrawal request form” (CDM-REGW-FORM) 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 for which the DOE is requesting registration;<sup>3</sup>
  - (b) The DOE has revised its validation report based on new insights or information.

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

126. Upon receipt of the request for withdrawal of a request for registration, the secretariat shall check the documents submitted as soon as possible, and if the request is complete, take the following actions:

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

- (a) If the DOE requests the withdrawal prior to the publication of the request for registration made in accordance with paragraph 83 above, the secretariat shall reimburse the registration fee in full to the project participants in accordance with appendix 1. In this case, the secretariat shall not mark the proposed CDM project activity as “withdrawn”, but shall block the unique reference number assigned to the withdrawn project activity from further use;
- (b) If the DOE requests the withdrawal as from the 28-day period for requesting a review of the request for registration in accordance with paragraph 88 above, the secretariat shall reimburse any registration fee paid above USD 30,000 to the project participants in accordance with appendix 1, and mark the proposed CDM project activity as “withdrawn” on the UNFCCC CDM website.

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

### **6.1. Changes to registered project activity**

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

127. If there are changes that have occurred or are expected to occur to a registered CDM project activity, the project participants shall prepare a revised PDD reflecting the changes and submit it together with supporting documentation to a DOE for validation. The changes shall be within the scope of the following acceptable changes, and meet the associated conditions, as specified in the “CDM project standard for project activities”:
- (a) Temporary deviation from the monitoring plan as described in the registered PDD, or the applied methodologies or standardized baselines;
  - (b) Permanent changes:
    - (i) Corrections;
    - (ii) Changes to the start date of the crediting period;
    - (iii) Inclusion of the monitoring plan (to the registered PDD, if the monitoring plan was not included at the time of their registration);
    - (iv) Permanent change to the registered monitoring plan, or permanent deviation of monitoring from the applied methodologies, standardized baselines or other applied standards or tools;
    - (v) Changes to the project design.
128. For the changes referred to in paragraph 127(b)(ii) above, if the change is up to one year (up to two years for a registered CDM project activity hosted by a least developed country), the project participants are not required to request approval by the Board of the change but shall notify the secretariat, by e-mail through a dedicated e-mail address, of the change. If the change is more than one year (more than two years for a registered CDM project activity hosted by a least developed country), the DOE shall submit a request for approval by the Board of the change in accordance with paragraph 129 below. The change may be allowed only once for each registered CDM project activity.

129. The DOE, after validating that the changes to the registered CDM project activity meet all applicable requirements for post-registration changes in the “CDM project standard for project activities” by following the applicable provisions of the “CDM validation and verification standard for project activities” and other applicable CDM rules and requirements, shall submit a request for approval by the Board of changes to the registered CDM in accordance with paragraphs 133 and 134 below (prior-approval track) or together with the next request for issuance of CERs in accordance with section 8.1.1 below (issuance track). The choice of whether the DOE submits the request for approval via the prior-approval track or the issuance track shall be at the discretion of the project participants.
130. For submitting a request for approval by the Board of changes to the registered CDM project activity under the prior-approval track, the project participants may appoint any DOE for the validation of the changes. The project participants may also appoint this DOE to perform a verification for the same project activity if it has not performed other validation activities for the project activity (i.e. registration and renewal of crediting period), unless the project activity is a small-scale one or the DOE is authorized by the Board to do so in accordance with section 7.1 below.
131. Where more than one of the changes referred to in paragraph 127 above have occurred or are expected to occur to the registered CDM project activity, the DOE shall, wherever possible, combine such changes into one request for approval.
132. For both the prior-approval track and the issuance track, the DOE shall be accredited for the validation function in the sectoral scope(s) of the registered CDM project activity in question.
133. For both the prior-approval track and the issuance track, the DOE shall submit a request for approval of changes to the secretariat through a dedicated interface on the UNFCCC CDM website.
134. The request for approval of changes shall contain:
  - (a) A duly completed “Post-registration changes request/notification form” (CDM-PRC-FORM);
  - (b) A validation opinion on the changes by the DOE prepared in accordance with the “CDM validation and verification standard for project activities”;
  - (c) A revised PDD (in both clean and track-change versions), as applicable;
  - (d) Supplemental documentation, as appropriate.

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

135. The secretariat shall maintain a publicly available list of all submitted requests for approval of changes to a registered CDM project activity 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, that is, monthly quotas, which shall also incorporate any relevant instructions from the Board.



136. 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 days the completeness check to determine whether the request submission is complete in accordance with paragraph 134 above.
137. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the project participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
138. 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 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 revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for approval of changes.
139. Upon positive conclusion of the completeness check stage, the secretariat shall publish the request for approval of changes on the UNFCCC CDM website, and the request shall be deemed received by the Board for consideration.
140. The secretariat shall, within 14 days of the date of publication of the request for approval of changes, prepare and send to the Board a summary note on the request for approval of changes 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.
141. 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 by e-mail, copying the project participants, to submit revised documents and/or information to clarify the issues within 14 days of receipt of the request. In this case, the secretariat shall, notwithstanding the provision in paragraph 140 above, finalize the summary note and send it to the Board within 14 days of receipt of the requested documents and/or information from the DOE. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.
142. If the request submission is removed from processing in accordance with paragraph 141 above, the DOE, or the project participants, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not clear enough to them. Only one such request, regardless of the requesting party, shall be allowed per request for approval of changes. In this case, the DOE, or the project participants, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
143. 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 140 and 141 above, finalize the summary note and send it to the Board within 14 days of receipt of the inputs from the panel or working group.

144. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 140 above within 20 days of receipt of the summary note, the recommended course action shall be deemed to be the decision adopted by the Board.
145. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
146. If a member of the Board objects to the secretariat's recommendation on the course of action more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

#### **6.1.3. Finalizing request for approval of changes**

147. If the Board considers the case at its meeting in accordance with paragraph 140 or 146 above, it shall decide on the course of action at the meeting.
148. For the changes referred to in paragraph 127(b)(iv) above, the course of action shall be:
  - (a) Approve the changes and allow subsequent requests for issuance for the registered CDM project activity;
  - (b) Approve the changes and allow subsequent requests for issuance for the registered CDM project activity, but limit the CERs up to the level estimated in the registered PDD; or
  - (c) Reject the proposed changes but allow subsequent requests for issuance for the registered CDM project activity only if it is implemented as described in the registered PDD.
149. For the changes referred to in paragraphs 127(a), 127(b)(i)–(iii) and 127(b)(v) above, the course of action shall be:
  - (a) Approve the changes; or
  - (b) Reject the changes.
150. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision, the reasons thereof, and any guidance provided by the Board as applicable, and make the decision, reasons and guidance publicly available on the UNFCCC CDM website by publishing a ruling note within three days of the decision of the Board.
151. After the publication of the ruling, the DOE or the project participants may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the ruling. Only one such request, regardless of the requesting party, shall be allowed per ruling. In this case, the DOE or the project participants shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.

152. The secretariat shall make the revised PDD and the validation by the DOE publicly available on the UNFCCC CDM website. This version of the PDD shall be applied for future requests for issuance.

#### **6.1.4. Withdrawal of request for approval of changes**

153. At any time before the adoption of the decision by the Board on the request for approval of changes, the project participants may, through the DOE, withdraw the request. In this case, the DOE shall submit a request for withdrawal of the request for approval of changes to the secretariat using the "Post-registration changes request withdrawal form" (CDM-PRCW-FORM) duly signed by the projects participants. If the form contains all required information, the request for approval of changes shall be considered withdrawn. If the DOE submits the request for withdrawal after the publication of the request for approval of changes, the secretariat shall mark the request for approval of changes on the UNFCCC CDM website as "withdrawn".

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

#### **6.2.1. General requirements**

154. The focal points for scope (b) of the registered CDM project activity referred to in paragraph 42 above shall request changes to any modalities of the MoC statement to the secretariat within 90 days after the changes become effective.
155. The authorized signatories or the legal representatives of the project participants, the focal points, or the DNAs of the Parties involved may directly notify the secretariat on any issues regarding the MoC statement through a specified e-mail account made available on the CDM Registry section of the UNFCCC CDM website. In this case, the secretariat may request additional clarifications. The secretariat may contact any of the focal points or the project participants of the respective registered CDM project activity or, in the case of insolvency, liquidators/administrators, in order to request additional clarifications from these entities. The secretariat shall advise on further actions to the parties involved, including those referred to in section 6.2.2 below.
156. The secretariat shall request a new submission of an MoC statement through the validating DOE whenever the secretariat identifies inconsistencies or inaccuracies in an initial MoC statement or when inconsistencies or inaccuracies are reported to the secretariat. The secretariat may provide specific guidance for the re-submission and may, after sending a notice to the focal points and the project participants, temporarily put on hold the forwarding of CERs if the inconsistencies or inaccuracies prevent the secretariat from establishing the focal points for scope of authority (a). For any other inconsistencies or inaccuracies, the secretariat may temporarily put on hold the forwarding of CERs, after sending a notice to the focal points and the project participants, if the new submission is not received by the secretariat within 90 days of requesting a new submission.
157. The focal points shall use the valid version of the "Modalities of communication statement form" (CDM-MOC-FORM) to request changes to the modalities of communication and shall submit it to the secretariat through a dedicated interface on the UNFCCC CDM website. The project participants shall use the same interface to submit a new MoC statement in accordance with paragraph 167(b) below.

158. The focal points for scope (b) or the project participants who submit a new MoC statement in accordance with paragraph 167 below shall ensure that:
- (a) Supporting documentation, including powers of attorney, or extracts from board meeting minutes or company association documentation, or extracts/certificates from national company registries that cannot be verified online, is dated or notarized within two years from the time of submission of a request for change to the modalities of communication. This time limitation does not apply to letters of approval issued by DNAs or to copies of national personal identity documents;
  - (b) To the extent possible, changes applicable to more than one CDM project activity or multiple changes affecting the same project activity are consolidated in a single form in accordance with the instructions provided in the CDM Registry section of the UNFCCC CDM website.
159. The legal representatives signing on behalf of the focal points or the project participants shall provide written evidence that they are authorized to sign on behalf of the respective entities.
160. The secretariat shall process requests for changes to MoC statements following the steps described in each of the sections 6.2.2–6.2.4 below. Wherever specific steps are not described, the secretariat shall review the requests on the basis of compliance with the documentary requirements. In the absence of clear evidence to support a specific request, the secretariat may request additional information prior to approving or rejecting the request. In the case of a rejection, the secretariat shall provide reasons for the rejection and additional guidance as appropriate.
161. The secretariat shall make detailed guidance available on the CDM Registry section of the UNFCCC CDM website on how to request changes to the project participants and focal points.
162. The secretariat shall display the effective dates of updated MoC statements on the corresponding registered CDM project activity view pages.
- 6.2.2. Reported issues resulting from insolvency and/or disputes on modalities of communication**
163. In accordance with paragraph 155 above, the project participants or focal points may notify the secretariat of any issues regarding the MoC statement, including the issues resulting from insolvency and/or of disputes in relation to the MoC statement with regard to the designation or changes to the designation of focal points.
164. The secretariat may engage the DNAs of the Parties involved in the respective registered CDM project activity whenever issues resulting from insolvency and/or disputes over the designation of focal points are communicated to the secretariat. The secretariat may provide information, subject to the confidentiality of such information, and/or administrative assistance to the DNAs, if so requested by the respective DNAs.
165. The CDM registry administrator may, after sending a notice to the focal points and the project participants, temporarily put on hold the forwarding of CERs for the registered CDM project activity for which the project participants or the focal points have communicated a case of insolvency and/or a dispute in relation to the MoC statement, pending resolution of the issues resulting from insolvency or resolution of the disputes.

166. The secretariat shall display indicative information, subject to the confidentiality, on the respective registered CDM project activity page on the UNFCCC CDM website, related to the notifications to the secretariat of issues resulting from insolvency and/or of disputes only in the cases where the forwarding of CERs has been temporarily put on hold pending the resolution of the issues.

### **6.2.3. Changes of focal points**

167. The project participants of a registered CDM project activity may change the designation of any of the focal points for any reason and at any time by submitting a new MoC statement duly signed by all project participants, either through:
- (a) The focal points for scope of authority (b); or
  - (b) Any of the project participants for changes to the MoC statement excluding its annexes.
168. For changing the designation of focal points in accordance with paragraph 167 above, the submission shall be made as follows:
- (a) A new MoC statement 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 MoC statement for changes related only to contact details and specimen signatures.
169. When a focal point who is not a project participant is added to represent the project participants for any or all scopes of authority, the new MoC statement referred to in paragraph 168(a) above shall be supported by written evidence of:
- (a) The new focal point's corporate identity; and
  - (b) The personal identity and employment status of the new focal point's authorized signatory(ies), including specimen signature(s).
170. The legal representative of a focal point for scope of authority (b) may submit annex 2 of the MoC statement if the authorized signatory(ies) of the focal point concerned is(are) no longer available.
171. Any focal point of a registered CDM project activity may request voluntary withdrawal from its role as a focal point. Such a request shall cover all scopes of authority assumed by the focal point. The voluntary withdrawal of the focal point role shall follow the following steps:
- (a) The withdrawing focal point shall, directly or through the focal point for scope (b), submit a withdrawal request to the secretariat including:
    - (i) Annex 3 of the MoC statement;
    - (ii) Evidence of the written communication, from the withdrawing focal point to all other focal points and all project participants, of the intention to withdraw from the role as a focal point and an invitation to designate a new focal point for the scope(s) of authority from which the focal point is withdrawing. Such written communications shall be made at least 30 days prior to the submission of the withdrawal request to the secretariat;

- (b) The secretariat shall review the completeness of the submission and, if found complete, approve the withdrawal of the focal point. In doing so, the secretariat may request clarification from the withdrawing focal point, or may contact any of the other focal points or the project participants, to request additional clarifications;
- (c) The secretariat shall, upon approval of the withdrawal of the focal point, publish annex 3 of the MoC statement on the UNFCCC CDM website. The secretariat shall communicate the approval of the withdrawal of the focal point and its implications on the MoC to all remaining focal points and all project participants of the project activity;
- (d) Approved withdrawal of the focal point shall have no effect on other focal points with the exception of joint or shared focal point roles that the withdrawn focal point was part of. In such cases, the remaining focal points shall continue to act in a sole, shared or joint focal point role, as appropriate. If no focal point remains for a specific scope of authority after the withdrawal of the focal point, communication with the focal point for that scope of authority shall be sent to the remaining focal points for other scopes of authority, or to all project participants if no focal point remains. The project participants shall designate a new focal point for any of the scopes of authority for which no focal point remains as soon as possible in accordance with the provisions this section to enable further engagement with the Board and the secretariat.

#### **6.2.4. Changes of project participants**

172. If the project participants of a registered CDM project activity have changed after the registration of the project activity, the focal points for scope of authority (b) shall submit annex 2 of the MoC statement for each of the following changes:
- (a) Addition of a project participant. The submission shall be accompanied by a letter of approval from the DNA authorizing participation;
  - (b) Changes related to entity names/legal status. The submission shall be accompanied by a letter of approval or validating letter that includes reference to both the old and the new names/legal status of the project participant from the DNA authorizing participation;
  - (c) Withdrawal of a project participant. If a project participant has ceased operations due to bankruptcy or other reasons and is unable to sign annex 2 of the MoC statement, the submission shall be accompanied by evidence of the cessation;
  - (d) Changes related only to contact details and specimen signatures;
  - (e) Addition of, or change to, the end-date of participation of a project participant in the project activity.
173. A project participant added to a registered CDM project activity shall accept the existing MoC statement, or a new MoC statement if it is submitted simultaneously.
174. If a persistent effort to contact a project participant has failed, the focal points for scope of authority (b) may request administrative withdrawal of the project participant, provided that at least one project participant authorized by the DNA of the host Party to participate in

the registered CDM project activity remains. The administrative withdrawal shall follow the following steps:

- (a) The focal points for scope (b) shall submit:
    - (i) Annex 2 of the MoC statement, withdrawing the non-contactable project participant;
    - (ii) Evidence of written communication to the non-contactable project participant of the intention to request administrative withdrawal, including the copy of the communication to the DNA that authorized the project participants to participate in the project activity, that has been sent at least 30 days prior to the submission of the withdrawal request to the secretariat;
  - (b) The secretariat shall review the completeness of the submission and, if found complete, send an e-mail to the non-contactable project participant, with a copy to the authorizing DNA, to respond within 60 days, asking whether the project participant objects to the administrative withdrawal. In addition, the secretariat may use other communication channels to establish contact with the non-contactable project participant;
  - (c) If the non-contactable project participant and the authorizing DNA do not object to proceeding with the administrative withdrawal within 60 days of the electronic communication made in accordance with subparagraph (b) above, the secretariat shall mark the non-contactable project participant as “withdrawn” on the UNFCCC CDM website;
  - (d) If the non-contactable project participant or the authorizing DNA objects to the administrative withdrawal within the 60-day period, the secretariat shall reject the request and may advise the focal point for scope (b) on further actions;
  - (e) The project participants whose participation in the project activity has been administratively withdrawn may request inclusion as project participants of the same project activity any time thereafter in accordance with 172(a) above.
175. Notwithstanding the provisions in paragraphs 172(b)–(e) and 174 above, the project participants of a registered CDM project activity may directly request, by submitting annex 2 of the MoC statement:
- (a) Their own voluntary withdrawal, provided that at least one project participant authorized by the DNA of the host Party to participate in the project activity remains;
  - (b) Changes to their own contact details;
  - (c) Withdrawal of other project participants of the same project activity on the basis of their cessation. In this case, the submission shall be accompanied by documented evidence of the cessation;
  - (d) Administrative withdrawal of other project participants of the same project activity who are not contactable. In this case, the submission shall be accompanied by the written evidence referred to in paragraph 174(a)(ii) above.

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

### **7.1. Selection of designated operational entity**

176. For the verification of a registered CDM project activity, the project participants should select a DOE that has not performed a validation activity for the same project activity (including the registration and renewal of the crediting period, with the exception of post-registration changes). If the DOE has performed a validation activity for the project activity and wishes to perform a verification for the same project activity, it shall submit a request for authorization to do so from the Board by completing the "Validation and verification by same DOE authorization request form" (CDM-VV-FORM) to the secretariat
177. When submitting the request for authorization, the DOE shall justify that it would be reasonable for it to do the verification, and attach any relevant information for the justification. Such information shall include, but not be limited to:
- (a) A demonstration that there is a barrier to accessing validation/verification services of DOEs in the host country of the registered CDM project activity based on, for example, the number of requests for registration and issuance submitted for the CDM project activities and programmes of activities (PoAs) hosted by that country over the last 12 months in that country;
  - (b) Specific measures that the DOE will implement to safeguard its impartiality and integrity in undertaking the verification, including, at a minimum, the exclusion from the verification of those individuals who participated in the validation as a member of the validation team or technical review team, and the evaluation of the impartiality and conflict of interest of the individuals that will participate in the verification;
178. The Board shall decide on the request, taking into account any potential impacts that such a decision could have on the outcome of the verification. The Board may analyse whether the DOE has provided evidence that it will implement measures to safeguard the impartiality and integrity in undertaking the verification, and any other specific circumstances that would justify the authorization of the Board, such as the barriers to access other DOEs to perform the verification.
179. The requirement in paragraph 176 above shall not apply to small-scale CDM project activities or small-scale A/R CDM project activities. For these project activities, a DOE may perform both validation and verification activities for the same project activity without having been authorized to do so by the Board
180. If the request is received by the secretariat more than 14 days prior to the next Board meeting, the request shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
181. The decision of the Board on the request shall be recorded in the meeting report.

### **7.2. Publication of monitoring report**

182. The project participants of a registered CDM project activity shall prepare (a) monitoring report(s) in accordance with the "CDM project standard for project activities", and submit it/them together with supporting documentation to the DOE contracted by the project



- participants to perform verification of the monitored GHG emission reductions or net anthropogenic GHG removals.
183. The DOE shall make the monitoring report publicly available through a dedicated interface on the UNFCCC CDM website, at the latest 21 days prior to undertaking the on-site inspection for the verification, if to be conducted.
184. For the monitoring report for the first monitoring period, stakeholders may submit comments, in English, within 14 days of publication of the monitoring report, to the DOE through 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. Comments from stakeholders shall:
- (a) Be supported with evidence;
  - (b) Be specific to the registered CDM project activity;
  - (c) Be related to any impacts that may have been triggered by the implementation of the registered CDM project activity.
185. The secretariat shall make the comments publicly available on the UNFCCC CDM website and shall remove those that the DOE has determined to be unauthentic in accordance with the “CDM validation and verifications standard for programmes of activities”.
186. When submitting the monitoring report, the DOE shall, through a dedicated interface on the UNFCCC CDM website:
- (a) Select the project activity that the monitoring report concerns from a list of registered CDM project activities;
  - (b) Specify the start- and end-dates of the monitoring period covered by the monitoring report.
187. If the DOE is accredited for the verification function in all sectoral scopes to which the registered CDM project activity is linked through the application of methodologies, the secretariat, through the CDM information system, shall make the monitoring report publicly available on the UNFCCC website.
188. The UNFCCC CDM web page where the monitoring report is made publicly available shall contain the following information:
- (a) The name and reference number of the registered CDM project activity;
  - (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 registered CDM project activity and, if this DOE has been authorised by the Board to perform the verification of the project activity, a reference to the meeting report where the authorization was granted.

### **7.3. Change of designated operational entity**

189. If the project participants wish to change the DOE after the publication of the monitoring report, they shall notify the secretariat of the change by e-mail, providing the name of the newly appointed DOE before the submission of the request for issuance of CERs for the registered CDM project activity. The secretariat shall obtain the confirmation from both the outgoing and incoming DOEs. Upon receipt of the confirmation from both DOEs, the secretariat shall reflect the change on the UNFCCC CDM website.
190. From the date of change of the DOE reflected on the UNFCCC CDM website, the incoming DOE shall be responsible for all the roles of DOE in the verification, including requesting the withdrawal of a published monitoring report, if applicable. The incoming DOE shall have full responsibility for the verification outcome that will be submitted when requesting issuance.
191. The incoming DOE will not need to republish the monitoring report in accordance with paragraph 183 above but, for the first verification for the registered CDM project activity, shall take into account the comments received during the global stakeholder consultation on the monitoring report conducted in accordance with paragraph 184 above.

### **7.4. Withdrawal of monitoring report**

192. After publication of the monitoring report, the project participants, through the DOE, may request the secretariat to withdraw the monitoring report by submitting the "Monitoring report withdrawal request form" (CDM-MRW-FORM). If the form contains all required information, the secretariat shall mark the monitoring report on the UNFCCC CDM website as "withdrawn". The secretariat shall process the request no later than five days after receipt of the request with the required information. After the withdrawal of the monitoring report, the project participants, through the same or a different DOE, may submit another monitoring report for the same period covered by the withdrawn monitoring report or a different monitoring period in order to restart the verification.

### **7.5. Reporting of verification status**

193. On the later of 30 June or 31 December, subsequent to the publication of the monitoring report, and on each 30 June and 31 December thereafter, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update of the status of its verification activity, until it submits a request for issuance of CERs for the corresponding monitoring period for the registered CDM project activity in accordance with paragraph 196 below. The DOE shall include at least one of the following statuses in the update:
- (a) The verification contract has been terminated. In this case, the DOE shall also provide a reason for the termination to the 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;
  - (d) The DOE is still performing the verification activity and 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.

## **7.6. History matching and significant deviation for carbon capture and storage project activity**

194. The project participants of a registered CCS project activity shall, for each verification period, carry out history matching in accordance with the “CDM project standard for project activities”. If, during history matching, a significant deviation is observed (as defined by the methodologies applied to the project activity), the project participants shall immediately notify the host Party and the Board in writing.
195. For post-registration changes to the registered CCS project activity, the project participants shall follow the process for changes to a registered CDM project activity as set out in section 6.1 above.

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

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

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

196. The DOE, after verifying that the monitored GHG emission reductions or net anthropogenic GHG removals were determined in accordance with all applicable requirements for implementation and monitoring in the “CDM project standard for project activities”, and certifying the quantity of CERs claimed in the monitoring report, by following the applicable provisions of the “CDM validation and verification standard for project activities” and other applicable CDM rules and requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for issuance of CERs by using the “CDM project activity issuance request form” (CDM-ISS-FORM) and all the required documents listed in the completeness check checklist for requests for issuance.
197. If the monitoring report submitted with the request for issuance covers a different monitoring period from the period covered by the original monitoring report published on the UNFCCC CDM website in accordance with paragraph 183 above:
- (a) The DOE shall indicate the change of monitoring period in the “CDM project activity issuance request form” (CDM-ISS-FORM);
  - (b) If the final date of the changed monitoring period is after the date of the DOE’s on-site inspection referred to in paragraph 183 above, the DOE shall undertake an additional on-site inspection; or decide whether a new on-site inspection is necessary in order to duly perform its verification by following the applicable provisions of the “CDM validation and verification standard for project activities”.
  - (c) The secretariat shall reflect the dates of the revised monitoring report in the view page of that registered CDM project activity.
198. The following applies to the requests for issuance for a registered bundle of small-scale CDM project activities:
- (a) The request for issuance for a specified monitoring period shall either:
    - (i) Relate to all project activities in the bundle; or

- (ii) In the case of multiple separate monitoring reports for a monitoring period prepared in accordance with the "CDM project standard for project activities", relate to all project activities included in the batch of project activities that the request covers, out of all the batches of project activities in the bundle;
  - (b) The monitoring periods shall be consecutive. Project activities shall be included in issuance requests in a consecutive manner, that is, a project activity can be included in a request for issuance for the bundle for a monitoring period only after the request for issuance for the previous monitoring period that included the particular project activity has been published;
  - (c) If the bundle applies any of the methodologies listed in appendix 3 as indicating potential accrual of negative GHG emission reductions, a request for issuance for a monitoring period can be submitted only after CERs have been issued for all project activities in the bundle for the previous monitoring period.
199. If the DOE submits changes to a registered CDM project activity for acceptance by the Board together with the request for issuance in accordance with paragraph 129 above, it shall also submit the documentation and information listed in paragraph 134 above in addition to those referred to in paragraph 196 above.

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

200. 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, that is, monthly quotas, which shall also incorporate any relevant instructions from the Board.
201. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within seven days a completeness check to determine whether the request for issuance submission is complete in accordance with the completeness check checklist for requests for issuance.
202. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the project participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
203. If a "comments annex" referred to in the "CDM validation and verification standard for project activities" is attached to the verification report, the secretariat shall forward it to the DNAs of the Parties involved.
204. 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 revised documentation. Upon submission of

the revised documentation, the request shall be treated as a new submission of a request for issuance.

205. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting checklist for requests for issuance.
206. If the secretariat, during the information and reporting check, identifies issues of an editorial nature or missing basic information, it shall request the DOE by e-mail, copying the project participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission cannot be processed any further.
207. 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 conclude that the request submission cannot be processed any further 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 revised documentation. Upon submission of the revised documentation, the request shall be processed further.
208. 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.
209. If the request cannot be processed any further in accordance with paragraph 207 above, the DOE, or the project participants, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not clear enough to them. Only one such request, regardless of the requesting party, shall be allowed per request for issuance. In this case, the DOE, or the project participants, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
210. 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 212 below.
211. The secretariat shall, subject to the guidance of the Board, prepare and send to the Board a summary note on the request for issuance within 14 days of the date of publication of the request for issuance.

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

212. Any Party involved in the registered CDM project activity and any member of the Board may request a review of the request for issuance within 28 days of the date of publication

of the request for issuance for the project activity. If a Party involved wishes to request a review, the relevant DNA shall send the request by e-mail to the secretariat, using the “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the same form and in accordance with appendix 2.

- 213. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.
- 214. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the request for review period referred to in paragraph 212 above following the publication of the request for issuance.
- 215. A request for review shall provide, inter alia, the reasons for the request for review based on the “CDM project standard for project activities”, “CDM validation and verification standard for project activities”, or any other applicable CDM rules and requirements.

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

- 216. 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 section 8.1.3 above, the Board shall instruct the CDM registry administrator to issue the quantity of CERs claimed in the request for issuance into the pending account of the Board in the CDM registry in the following manner:
  - (a) For registered CDM project activities other than CCS: in accordance with decision 3/CMP.1, annex, paragraph 66;
  - (b) For registered CCS CDM project activities: in accordance with decision 10/CMP.7, annex, paragraph 21, which requires that for a registered CCS CDM project activity upon such issuance, the CDM registry administrator shall promptly:
    - (i) Forward the quantity of CERs corresponding to the share of proceeds to cover administrative expenses and to assist in meeting the costs of adaptation, respectively, in accordance with Article 12, paragraph 8, of the Kyoto Protocol, to the appropriate accounts in the CDM registry for the management of the share of proceeds;
    - (ii) Forward 5 per cent of the CERs issued to a reserve account of the CDM registry, established for the project activity for the purpose of accounting for any net reversal of storage;
    - (iii) Forward the remaining CERs to the registry accounts of the Parties and project participants involved, in accordance with their request.
- 217. The secretariat shall inform the project participants of the Board’s instruction to the CDM registry administrator and of any share of proceeds payable by the project participants to cover administrative expenses of the CDM in accordance with the provisions contained in appendix 1. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.

218. The project participants shall pay the share of proceeds and instruct the CDM registry administrator on the distribution of the CERs using the “Certified emission reductions forwarding request form” (CDM-FWD-FORM). After receiving the share of proceeds and the instruction from the project participants, the secretariat shall forward the CERs to the project participants.

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

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

219. If a Party involved in the registered CDM project activity, 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 the project activity, or at least three members of the Board, have requested a review of the request for issuance;
  - (b) Mark the request for issuance as “under review” on the UNFCCC CDM website and make publicly available an anonymous version of each “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM);
  - (c) Establish a team comprising two experts selected from the 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.
220. The DOE, or the project participants, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they were not clear enough to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for issuance. In this case, the DOE, or the project participants, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
221. 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.
222. 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 that they deem necessary to the monitoring report and attached spreadsheets, verification report, and/or certification report, and where there is a change to the number of CERs requested, by also submitting a new request for issuance form, to ensure, inter alia, that all facts are clearly stated and sufficiently verified; or
  - (b) Respond in writing by addressing why no revisions to the monitoring report, verification report, and/or certification report are necessary.
223. 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.

224. The date of commencement of the review shall be the date when the secretariat notifies the project participants, and the DOE, that the review has commenced.

#### **8.2.2. Assessment**

225. The secretariat shall conduct an assessment of the request for issuance in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM) and the applicable CDM rules and requirements, taking into account the responses from the project participants and the DOE.
226. Concurrent with and independent of the secretariat’s assessment referred to in paragraph 225 above, the RIT Team established in accordance with paragraph 219(c) above shall conduct an assessment of the request for issuance in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM), taking into account the responses of the project participants and the DOE.
227. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.
228. Both the secretariat and the RIT Team shall, in their assessment reports, include a proposed decision, taking into account appendix 2. Each proposed decision shall suggest either:
- (a) Issuing the CERs; or
  - (b) Rejecting the request for issuance.
229. 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 rules and requirements applied to the facts;
  - (c) The interpretation of the CDM rules and requirements as applied to the facts.
230. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significance 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.
231. The RIT Team shall submit its assessment report to the Board through the secretariat.



232. 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, verification report and/or other relevant documentation.

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

233. 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 for issuance), 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 was later, was communicated to the Board, unless a member of the Board objects to the proposed decision.
234. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
235. If a member of the Board objects to the proposed decision more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
236. If the assessment reports of the secretariat and the RIT Team contain different proposed decisions (i.e. one is to issue the CERs and the other is to reject the request for issuance) and the Board receives both proposed decisions more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise, the case shall be placed on the agenda of the subsequent Board meeting.
237. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, decide either to:
- (a) Issue the CERs; or
  - (b) Reject the request for issuance.

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

238. If the Board's final decision made in accordance with paragraph 233 or 237 above is to issue the CERs, the Board shall instruct the CDM registry administrator to issue the specified quantity of CERs into the pending account of the Board in the CDM registry in the following manner:
- (a) For registered CDM project activities other than CCS: in accordance with decision 3/CMP.1, annex, paragraph 66;
  - (b) For registered CCS CDM project activities: in accordance with decision 10/CMP.7, annex, paragraph 21, which requires that for a registered CCS CDM project activity upon such issuance, the CDM registry administrator shall promptly:
    - (i) Forward the quantity of CERs corresponding to the share of proceeds to cover administrative expenses and to assist in meeting the costs of adaptation, respectively, to the appropriate accounts in the CDM registry for the management of the share of proceeds;

- (ii) Forward 5 per cent of the CERs issued to a reserve account of the CDM registry, established for the project activity for the purpose of accounting for any net reversal of storage;
  - (iii) Forward the remaining CERs to the registry accounts of the Parties and project participants involved, in accordance with their request.
- 239. The secretariat shall inform the project participants of the Board's instruction to the CDM registry administrator and of any share of proceeds payable by the project participants to cover administrative expenses of the CDM. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.
- 240. The project participants shall pay the share of proceeds and instruct the CDM registry administrator on the distribution of the CERs using the "Certified emission reductions forwarding request form" (CDM-FWD-FORM). After receiving the share of proceeds and the instruction from the project participants, the secretariat shall forward the CERs to the project participants.
- 241. If the Board's final decision made in accordance with paragraph 233 or 237 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.
- 242. 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 rules and requirements applied to the facts;
  - (c) The interpretation of the CDM rules and requirements as applied to the facts.
- 243. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.
- 244. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
- 245. If a member of the Board objects to the proposed ruling more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
- 246. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, finalize the ruling.
- 247. The secretariat shall publish a ruling note on the UNFCCC CDM website no later than three days after the ruling was finalized.

248. After the publication of the ruling note, the DOE, or the project participants, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the ruling. Only one such request, regardless of the requesting party, shall be allowed per ruling. In this case, the DOE, or the project participants, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
249. If the request for issuance is rejected in accordance with paragraph 233 or 237 above, the DOE may re-submit the request for issuance with revised documentation if the reasons for the rejection can be addressed by means of a revised verification report, based on a revised monitoring report as appropriate.

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

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

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

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

251. Upon receipt of the request for withdrawal of a request for issuance, the secretariat shall as soon as possible check the documents submitted and, if the request is complete, update the information on the project view page of the relevant registered CDM project activity. If the DOE requests the withdrawal after the publication of the request for issuance was made in accordance with paragraph 208 above, the request for issuance shall be marked as "withdrawn". The DOE may re-submit the request for issuance at any time.
252. If the project participants wish to change the monitoring period covered by the monitoring report that corresponds to the withdrawn request for issuance, the DOE shall request the withdrawal of the published monitoring report in accordance with paragraph 192 above first, then publish and verify a revised monitoring report. If the final date of the changed monitoring period is after the date of the DOE's on-site inspection referred to in paragraph 183 above, the DOE shall undertake an additional on-site inspection; or decide whether an on-site inspection is necessary in order to duly perform its verification by following the applicable provisions of the CDM validation and verification standard for project activities. After the verification, the DOE may resubmit its request for issuance.

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

#### **8.4. Addressing non-permanence in carbon capture and storage project activities**

253. To address the non-permanence in CCS project activities, the monitoring of the geological storage site shall follow the criteria specified in section "Monitoring" for CCS project activities in the "CDM project standard for project activities". The monitoring shall not be terminated earlier than 20 years after the end of the last crediting period of the CCS project activity or after the issuance of the CERs has ceased, whichever occurs first.
254. The monitoring of the geological storage site shall be conducted by the entity or Party that is liable for the geological storage site, or by an entity that is under contractual arrangement with the liable entity or Party.
255. A certification report submitted for a verification period after the end of the last crediting period shall not constitute a request for issuance but shall provide, where applicable, information on the amount of any net reversal of storage that occurred during the verification period as a result of seepage from the geological storage site of a CCS project activity.
256. The last certification report, submitted after the monitoring of the geological storage site has been terminated in accordance with the conditions for the termination of monitoring, as set out in section "Monitoring" of the "CDM project standard for project activities", may constitute a request to forward any remaining CERs in the reserve account established for the purpose of accounting for any net reversal of storage to the registry accounts of the Parties and project participants involved.
257. Upon submission of the last certification report referred to in paragraph 256 above, and upon finalization of the consideration of the certification report by the Board, the CDM registry administrator shall promptly forward any CERs remaining in the reserve account established for the purpose of accounting for any net reversal of storage to the registry accounts of the Parties and project participants involved, in accordance with their request.
258. Where a verification report determines that a net reversal of storage occurred during the verification period as a result of seepage from the geological storage site of a CCS project activity, the Board shall:
- (a) Notify the CDM registry administrator to cancel, up to the amount of the net reversal of storage, the CERs issued for the CCS project activity held in the CDM registry:
    - (i) Firstly, from the reserve account established for the purpose of accounting for any net reversal of storage;
    - (ii) Secondly, from the pending account;
    - (iii) Finally, from the holding accounts of the project participants, proportional to the amount of CERs for the CCS project activity held in each holding account;
  - (b) Determine any outstanding amount of the net reversal of storage for which no CERs were cancelled under subparagraph (a) above and, where such amount is outstanding, request the project participants to transfer, within 30 days after the notification, the amount of assigned amount units (AAUs), CERs, emission reduction units (ERUs) or removal units (RMUs) equivalent to the outstanding

amount to a cancellation account of the CDM registry established for this purpose or a cancellation account of the national registry of any Party.

259. Where a verification report is not submitted within the time frame specified in section "Verification and certification" for CCS project activities in the "CDM project standard for project activities", the Board shall forthwith request the project participants to provide the outstanding verification report. If the verification report is not received within 180 days of receipt of the request by the project participants, the Board shall:
- (a) Instruct the CDM registry administrator to cancel all CERs that were issued for the CCS project activity and are being held in the CDM registry;
  - (b) Subsequently request the project participants to cancel, within one year after the request, the amount of AAUs, CERs, ERUs or RMUs equivalent to the amount of CERs issued from the start of the CCS project activity:
    - (i) Minus any AAUs, CERs, ERUs or RMUs that were transferred to a cancellation account for the purpose of compensating for a net reversal of storage, prior to the request to the CDM registry administrator referred to in paragraph 258(a) above;
    - (ii) Minus any CERs issued for the CCS project activity that were cancelled in accordance with paragraph 258(a) above.
260. If the project participants do not fully comply with the requirements set out in paragraph 258 or 259(b) above, the outstanding amount of units shall be transferred to a cancellation account of the national registry of a Party included in Annex I to the Convention (Annex I Party) or the CDM registry, within one year of the request by the Board, by:
- (a) The host Party, if the host Party has accepted the obligation to address a net reversal of storage in such a situation in its letter of approval;
  - (b) The Annex I Parties that hold CERs issued for the CCS project activity in accounts of their national registries, if the host Party has not accepted the obligation to address a net reversal of storage in such a situation in its letter of approval.
261. If the host Party has accepted the obligation to address a net reversal of storage in such a situation in its letter of approval, the Board shall determine the outstanding amount of units that must be cancelled and notify the host Party concerned of the requirement for cancellation. To meet this requirement, the host Party shall transfer the amount of AAUs, CERs, ERUs or RMUs equivalent to the outstanding amount to the cancellation account established for this purpose in the CDM registry or a cancellation account of the national registry of any Party.
262. If the host Party has not accepted the obligation to address a net reversal of storage in such a situation in its letter of approval, the Board shall:
- (a) Determine the outstanding amount of units that must be cancelled;
  - (b) Request the international transaction log administrator to identify the quantity of CERs issued for the CCS project activity held in each national registry, distinguishing between units in holding accounts and other accounts, for the current and previous commitment periods;

- (c) Immediately notify the international transaction log that the CERs identified as being in holding accounts are ineligible for transfers other than for the purpose of the requirement set out in paragraph 260 above. When the requirement for cancellation, as set out in paragraph 260 above, has been satisfied, the CERs issued for the CCS project activity in holding accounts shall again be eligible for transfer;
- (d) Determine the outstanding amount of units that must be cancelled by each Annex I Party proportionally, by dividing the amount identified in subparagraph (b) above by the total outstanding amount;
- (e) Notify each Annex I Party that holds CERs issued for the CCS project activity in accounts of its national registry of the requirement of cancellation, as determined in paragraph 262(d) above. To meet this requirement, the relevant Annex I Parties shall transfer the amount of AAUs, CERs, ERUs or RMUs equivalent to the outstanding amount to the cancellation account established for this purpose in the CDM registry or a cancellation account of their national registries.

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

### **9.1. General requirements**

263. The new crediting period shall start on the day immediately after the expiration of the current crediting period regardless of the date when the crediting period is deemed renewed in accordance with paragraph 279 below. However, if the notification of the intention to request a renewal of the crediting period was not received by the secretariat by 180 days prior to the date of expiration of the current crediting period in accordance with paragraph 266 below, and if the date when the renewal of crediting period is deemed renewed after the expiration of the current crediting period, the project participants shall not be entitled to claim the issuance of CERs from the first day of the next crediting period until the last day before the renewal of crediting period is deemed renewed or until the number of days equivalent to the delay in the notification have elapsed since the notification submission deadline, whichever is earlier.
264. The crediting period of a registered CDM project activity that has not been implemented in the first crediting period may be renewed if the project participants, through a DOE, obtain an approval of the Board to proceed with a request for renewal of crediting period prior to the submission of such request in accordance with section 9.3.1 below. For a registered CDM project activity that will not have income other than that from CERs to be issued for the project activity, this prior approval of the Board is not required. To obtain this prior approval of the Board, the DOE shall submit the following information to the secretariat:
- (a) Justification of why the project activity has not been implemented for the entire first crediting period and whether any funds have already been spent or committed for the project activity;
  - (b) Current status of implementation of the project activity, in particular the status of construction of necessary facilities for the project activity;
  - (c) Opinion on whether the delay in the implementation of the project activity would affect the validation opinion on additionality of the project activity;

- (d) Any other information that the DOE considers relevant for consideration by the Board.
265. Based on the information provided in accordance with paragraph 264 above, the Board shall consider the request for the prior approval on a case-by-case basis, and decide on whether to:
- (a) Approve that the project participants may proceed with a request for renewal of crediting period without requiring re-demonstration of additionality;
  - (b) Approve that the project participants may proceed with a request for renewal of crediting period, requiring re-demonstration of additionality;
  - (c) Reject the request for the prior approval.

## **9.2. Notification of intention of renewal of crediting period**

266. The project participants wishing to renew the crediting period of a registered CDM project activity shall notify the secretariat of the intention to renew the crediting period by sending the “Intention of renewing crediting period notification form” (CDM-RENN-FORM) and an updated PDD to the secretariat by e-mail or through a dedicated interface on the UNFCCC CDM website, within 270 to 180 days prior to the date of expiration of the current crediting period. The secretariat shall make every effort to inform the project participants in advance of the period for notifying the intention of renewing the 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.
267. The secretariat shall publish the notifications of the intention to renew the crediting period on the UNFCCC CDM website, stating the date when the notification was received.

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

### **9.3.1. Submission of request for renewal**

268. For renewal of the crediting period, the project participants shall update the PDD by preparing a new version of the PDD in accordance with the “CDM project standard for project activities”. In doing so, the project participants shall ensure that any changes to the list of project participants in the PDD have been communicated to the secretariat in accordance with section 6.2 above.
269. The project participants shall submit the new version of the PDD to a DOE for its validation. For this purpose, the project participants may not appoint a DOE that has performed a verification for the same registered CDM project activity unless the project activity is a small-scale one or the DOE is authorized by the Board to do so in accordance with section 7.1 above.
270. If the new version of the PDD cannot apply the methodologies or methodological tools applied in the registered PDD because the registered CDM project activity does not meet the applicability conditions of the valid version of the methodologies or methodological tools at the time of the submission of the request for renewal of crediting period, or, if applicable, of the consolidated methodologies, the project participants may select other methodologies or request, through the DOE, a deviation from the selected methodologies

or methodological tools for the purpose of the renewal of crediting period in accordance with section 4.7 above, *mutatis mutandis*.

271. For the purpose of renewal of crediting period, it is not necessary to obtain a new letter of approval from the Parties involved.
272. The DOE, after validating that the new version of the PDD meets all applicable requirements for renewal of the crediting period in the “CDM project standard for project activities” by following the applicable provisions of the “CDM validation and verification standard for project activities” and other applicable CDM rules and requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for renewal of crediting period of the registered CDM project activity using the “Renewal of crediting period request form” (CDM-REN-FORM) together with the new version of the PDD and the validation report.
273. No fee is due for requests for renewal of crediting period.

#### **9.3.2. Processing of request for renewal**

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

#### **9.3.3. Requesting review of request for renewal**

275. A Party involved in the registered CDM project activity and/or any member of the Board may request a review of the request for renewal of crediting period within 28 days after the date of publication of the request for renewal. If a Party involved wishes to request a review, the relevant DNA shall send the request by e-mail to the secretariat, using the “Renewal of crediting period request review form” (CDM-RENR-FORM). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the “Renewal of crediting period request review form” (CDM-RENR-FORM) and in accordance with appendix 2.
276. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.
277. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the 28-day period following the publication of the request for renewal.
278. A request for review shall provide, *inter alia*, the reasons for the request for review based on the “CDM project standard for project activities”, “CDM validation and verification standard for project activities” or any other applicable CDM rules and requirements.

#### **9.3.4. Finalizing request for renewal**

279. The crediting period of the registered CDM project activity shall be deemed renewed 28 days after the publication of the request for renewal of crediting period 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 of crediting period, in which case the crediting period is deemed renewed on the day when the Board adopted the relevant decision.



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

280. For a review of the request for renewal of crediting period, the provisions in section 5.2 above shall apply mutatis mutandis.

#### **9.5. Withdrawal of request for renewal of crediting period**

281. At any time before the decision of the Board on the request for renewal of crediting period, the project participants, through the DOE, may request withdrawal of the request for renewal of crediting period by submitting the request to the secretariat using the “Renewal of crediting period request withdrawal form” (CDM-RENEW-FORM). If the DOE requests the withdrawal after the publication of the request for renewal, the secretariat shall mark the request for renewal of crediting period on the UNFCCC CDM website as “withdrawn”.
282. For a withdrawal of the request for renewal of crediting period, the provisions in section 5.3 above shall apply mutatis mutandis.

#### **9.6. Submission of request for post-registration changes together with request for renewal of crediting period**

283. The project participants may combine a request for approval of a post-registration change to a registered CDM project activity listed in paragraph 127 above with a request for renewal of crediting period, so that the changes proposed can be effective from the first day of the next crediting period. In this case, the DOE contracted for this purpose shall submit the following documentation:
- (a) A duly completed “Post-registration changes request/notification form” (CDM-PRC-FORM);
  - (b) A duly completed “Renewal of crediting period request form”(CDM-REN-FORM);
  - (c) A new version of the PDD including both the updates for the purpose of renewal of crediting period and the post-registration change (in both clean and track-change versions);
  - (d) A validation report on the post-registration change and on the renewal of crediting period prepared by the DOE in accordance with the “CDM validation and verification standard for project activities”;
  - (e) Supplemental documentation, as appropriate.
284. If a request for approval of post-registration change for the change expected in the next crediting period is not combined with a request for renewal of crediting period, the latter request shall be approved by the Board before the former request may be submitted.
285. The combined request shall be processed in accordance with the provisions in sections 9.3 to 9.5 above, mutatis mutandis.
286. The decision of the Board shall be to:
- (a) Approve the renewal of crediting period with the requested post-registration change;

- (b) Approve the renewal of crediting period without the requested post-registration change; or
  - (c) Reject the renewal of crediting period.
- 287. If the Board's decision is in accordance with paragraph 286(b) above, the project participants shall, through the DOE, submit an updated PDD, and the DOE shall confirm that the PDD has been correctly updated.
- 288. No monitoring report may be published for the renewed crediting period until the DOE submits to the secretariat the updated PDD and its confirmation in accordance with paragraph 287 above.

## **10. Voluntary deregistration of project activity**

### **10.1. Submission of request for deregistration**

- 289. The project participants of a registered CDM project activity may submit, through the focal point for scope (c), a request for deregistration of the project activity to the secretariat through a dedicated e-mail account made available on the UNFCCC CDM website, using the "Project activity deregistration request form" (CDM-DREG-FORM).
- 290. The request for deregistration shall include:
  - (a) Written agreement of all project participants on the deregistration;
  - (b) Written no-objection of the DNAs of all Parties involved in the deregistration.

### **10.2. Processing of request for deregistration**

- 291. The secretariat shall, as soon as possible, and in any case striving to do so within five days of receipt of the request, conduct a completeness check of the documents submitted.
- 292. If the secretariat, during the completeness check, identifies missing documents and/or information, it shall request the project participants by e-mail to submit the missing or revised documents and/or information. In this case, the project participants shall submit the requested documents and/or information. Once the project participants submit the requested documents and/or information, the secretariat shall resume processing the request.
- 293. Upon conclusion of the completeness check, the secretariat shall notify the project participants of the conclusion of the completeness check and publish the request for deregistration on the UNFCCC CDM website. The request for deregistration shall be deemed received by the Board.
- 294. The secretariat shall promptly send the request submission to the Board and mark the CDM project activity as "deregistered" on the UNFCCC CDM website.

### **10.3. Effects of deregistration<sup>5</sup>**

295. The effective date of deregistration shall be the date when the secretariat received a complete submission of the request for deregistration.
296. A DOE may publish a monitoring report in accordance with section 7.2 above, or submit a request for issuance of CERs in accordance with section 8.1.1 above, for the deregistered CDM project activity for the period prior to the effective date of deregistration.
297. The secretariat, acting as the CDM registry administrator, shall forward CERs issued in respect of GHG emission reductions or net anthropogenic GHG removals achieved prior to the effective date of deregistration in accordance with forwarding requests, the modalities of communication and the “CDM project standard for project activities”, and this procedure.
298. A DOE shall not make any monitoring report for the CDM project activity publicly available for a period that includes any date that is on or after the effective date of deregistration. The secretariat, acting as the CDM registry administrator, shall not issue CERs for the deregistered project activity for the period from the effective date of deregistration.
299. A CDM project activity that has been deregistered may not be reregistered as a CDM project activity or included as a CPA in a registered CDM PoA.
300. The registration fee, even if there is any positive balance left after deduction of the share of proceeds for issued CERs for the CDM project activity, shall not be reimbursed.

### **10.4. Administration period**

301. During the period from the effective date of deregistration of a CDM project activity until the date that is three calendar years later:
  - (a) The secretariat shall communicate with project participants and Parties involved in order to assist them to settle outstanding matters in relation to the deregistered CDM project activity, including the completion of all issuance requests and forwarding requests in respect of GHG emission reductions or net anthropogenic GHG removals achieved prior to the effective date of deregistration, and such other steps as are necessary to ensure the completion of outstanding matters in relation to the deregistered project activity;
  - (b) Each project participant may, after the effective date of deregistration, where necessary, be treated as if it were still a project participant by the Board and secretariat for the purposes of the “CDM project standard for project activities” and this procedure in order to allow the secretariat to process instructions relating to GHG emission reductions or net anthropogenic GHG removals achieved prior to the effective date of deregistration from such project participant(s) in relation to the deregistered CDM project activity;
  - (c) Any of the project participants of, and Parties involved in, the deregistered CDM project activity may communicate with the secretariat using the e-mail address <cdm-registry@unfccc.int> for the purpose of clarifying the effects of the deregistration.

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<sup>5</sup> For related information, see EB 81 report, paragraph 79.

## **Appendix 1. Fee schedule**

### **1. Background**

1. The fee schedule set forth in this appendix is adopted in accordance with decisions 4/CMP.1, annex II, paragraph 21; 6/CMP.1, annex, paragraph 13; 7/CMP.1, paragraph 37; 2/CMP.3, paragraph 31; and 2/CMP.5, paragraph 47.
2. This appendix contains the rules that apply to project activities and establishes specific rules applicable to afforestation and reforestation (A/R) clean development mechanism (CDM) project activities.

### **2. Share of proceeds and registration fee**

3. The share of proceeds to cover administrative expenses for CDM project activities is:
  - (a) USD 0.10 per certified emission reduction (CER) issued for the first 15,000 tonnes of CO<sub>2</sub> equivalent for which issuance is requested in a given calendar year;
  - (b) USD 0.20 per CER issued for any amount in excess of 15,000 tonnes of CO<sub>2</sub> equivalent for which issuance is requested in a given calendar year;
  - (c) No share of proceeds shall be due for project activities hosted in least developed countries.
4. The registration fee for a CDM project activity shall be the share of proceeds applied to the expected average annual CERs for the proposed CDM project activity over its crediting period, as identified in the project design document and as validated by the designated operational entity (DOE). The maximum registration fee for a project activity payable based on this calculation shall be USD 350,000.
5. Upon re-submission of a request for registration of a proposed CDM project activity directly following a determination by the secretariat that the submission is incomplete, no new registration fee shall be payable unless the re-submission results in an increase in the expected average annual CERs for the proposed CDM project activity over its crediting period. If the re-submission results in an increase in the expected average annual CERs, then the registration fee due shall be re-calculated upon re-submission. The registration fee due upon re-submission shall be the difference between the re-calculated registration fee and the registration fee previously paid.
6. No registration fee shall be payable for a proposed CDM project activity with expected average annual CERs over its crediting period, below 15,000 tonnes of CO<sub>2</sub> equivalent.
7. No registration fee shall be payable for proposed CDM project activities hosted exclusively in least developed countries. The application of this exemption shall be based on the status of the country on the date of the publication of the request for registration.
8. No registration fee shall be payable until after the date of the first issuance of CERs in countries with fewer than 10 registered CDM project activities and programmes of

activities (PoAs) in total.<sup>1</sup> The application of this exemption shall be based on the number of registered CDM project activities and PoAs in the country on the date of the submission of the request for registration.

9. The registration fee shall be reimbursed in full if the DOE withdraws the request for registration prior to the date when the secretariat publishes the request for registration on the UNFCCC CDM website.
10. Any portion in excess of USD 30,000 of the registration fee shall be reimbursed if the DOE withdraws the request for registration subsequent to the date when the secretariat publishes the request for registration on the UNFCCC CDM website, or if the Board rejects the request for registration. Should the registration fee be USD 30,000 or less, no reimbursement shall be made in these cases. No reimbursement of the registration fee shall be made in any other circumstances.
11. The registration fee shall be deducted from the share of proceeds due for the issuance of CERs. In effect, the registration fee is an advance payment of the share of proceeds.

### **3. Specific provisions for afforestation/reforestation project activities**

12. For the purpose of calculating the share of proceeds for A/R CDM project activities, CERs referred to in section 2 above shall be read as Temporary CERs (tCERs) or Long-term CERs (ICERs). Paragraphs 13 and 14 below shall apply in addition to paragraphs 1–11 above.
13. The share of proceeds to cover administrative expenses for A/R CDM project activities shall be calculated based on one of the following:
  - (a) If the selected approach for addressing non-permanence is tCERs, the share of proceeds is based on the difference between the tCERs for which issuance is requested for a given verification period and the highest amount of tCERs previously issued in a verification period;
  - (b) If the selected approach for addressing non-permanence is ICERs, the share of proceeds is based on the difference between the ICERs for which issuance is requested for a given verification period added to the sum of all previous issuances and reversals,<sup>2</sup> and the highest among the sums of the issuances and reversals since the start of the project calculated for each previous verification period.
14. The share of proceeds to cover administrative expenses for A/R CDM project activities is due only if the amount calculated according to paragraph 13 above is positive.

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<sup>1</sup> A CDM PoA hosted in more than one country will count as one CDM PoA in each of the countries where it is hosted; host Parties added to the CDM PoA post-registration will also be considered for the calculation.

<sup>2</sup> All reversals mentioned are negative numbers.

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

### **1. Background**

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

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

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

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

#### **3.1. General**

5. In accordance with paragraphs 88, 212 and 275 of this procedure, any members of the Board may request a review of any request for registration of a proposed CDM project activity, issuance of certified emission reductions (CERs) or renewal of crediting period of a registered CDM project activity.
6. In accordance with paragraphs 87, 211 and 274 of this procedure, the Board may be provided by the secretariat with a summary note on the request for registration, issuance or renewal of crediting period for its consideration of the request. It remains the responsibility of individual members of the Board to determine whether a request for review is appropriate.

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

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

CDM project activity for the new crediting period, complies with the applicable CDM rules and requirements.

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

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

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

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

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

10. In accordance with paragraph 114 of this procedure, the Board shall, at its meeting where the case of request for registration is placed on the agenda, decide on the registration.
11. The Board shall reject the request for registration of the proposed CDM project activity in situations where the request for registration does not contain sufficient information to demonstrate to a reasonable reader that the project activity complies with the applicable CDM rules and requirements for the registration of proposed CDM project activities.
12. The Board shall reject the request for registration if it:
  - (a) Contains information which indicates that the proposed CDM project activity does not comply with the applicable requirements;
  - (b) Contains information which indicates that the validation activity has not been conducted in a manner that complies with the applicable requirements of the “CDM accreditation standard”, “CDM project standard for project activities” or the “CDM validation and verification standard for project activities”;
  - (c) Contains contradictory facts regarding the compliance of the proposed CDM project activity with the applicable CDM rules and requirements;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the project design document (PDD), but without evidence regarding whether or how such facts have been validated.
13. The reason for rejection of a request for registration should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request

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

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

14. In accordance with paragraph 237 of this procedure, the Board shall, at its meeting where the case of request for issuance is placed on the agenda, decide on the issuance.
15. The Board shall reject the request for issuance in situations where the request for issuance does not contain sufficient information to demonstrate to a reasonable reader that the request for issuance complies with the applicable CDM rules and requirements for the issuance of CERs.
16. The Board shall reject the request for issuance if it:
  - (a) Contains information which indicates that the registered CDM project activity has not complied with the applicable requirements for operating and monitoring registered CDM project activities;
  - (b) Contains information which indicates that the verification activity has not been conducted in a manner that complies with the applicable requirements of the “CDM accreditation standard”, “CDM project standard for project activities” or the “CDM validation and verification standard for project activities”;
  - (c) Contains contradictory facts regarding the compliance of the monitoring or operation of the registered CDM project activity with the applicable CDM rules and requirements;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the monitoring report, but without evidence regarding whether or how such facts have been verified.
17. The reason for rejection of a request for issuance should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for issuance when the responses by the DOE or the project participants to the request for review raise new critical concerns of the Board regarding whether the request for issuance complies with other applicable CDM rules and requirements for the issuance of CERs. Prior to rejecting a request for issuance based on exceptional circumstances, the Board may, at its prerogative, have a teleconference with the DOE and/or the project participants during the Board meeting at which it considers the request for issuance, in an attempt to clarify the concerns.



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

18. In accordance with paragraph 114 effected by paragraph 280 of this procedure, the Board shall, at its meeting where the case of request for renewal of crediting period is placed on the agenda, decide on the renewal of crediting period.
19. The Board shall reject the request for renewal of crediting period in situations where the request for renewal of crediting period does not contain sufficient information to demonstrate to a reasonable reader that the registered CDM project activity complies with the applicable CDM rules and requirements for the registration of project activities for the new crediting period.
20. The Board shall reject the request for renewal of crediting period if it:
  - (a) Contains information which indicates that the registered CDM project activity does not comply with the applicable requirements for the new crediting period;
  - (b) Contains information which indicates that the validation activity has not been conducted in a manner that complies with the applicable requirements of either the “CDM accreditation standard”, “CDM project standard for project activities” or the “CDM validation and verification standard for project activities”;
  - (c) Contains contradictory facts regarding the compliance of the registered CDM project activity with the applicable CDM rules and requirements in the new crediting period;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the updated PDD, but without evidence regarding whether or how such facts have been validated.
21. The reason for rejection of a request for renewal of crediting period should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for renewal of crediting period when the responses by the DOE or the project participants to the request for review raise new critical concerns of the Board regarding whether the request for renewal of crediting period complies with other applicable CDM rules and requirements to renew the crediting period of the registered CDM project activity. Prior to rejecting a request for renewal of crediting period based on exceptional circumstances, the Board may, at its prerogative, conduct a teleconference with the DOE and/or the project participants during the Board meeting at which it considers the request for renewal of crediting period, in an attempt to clarify the concerns.

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

22. In accordance with paragraphs 111, 234 and 280 of this procedure, any members of the Board may object to a proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team regarding the request for registration, issuance or renewal of crediting period under review.
23. It is expected that members of the Board will only object to a proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team in situations where both assessments:

- (a) Do not consider a fact (or set of facts) that, if considered, would result in a different proposed decision;
- (b) Contain an erroneous finding of fact (or set of facts) that, if corrected, would result in a different proposed decision;
- (c) Contain an unreasonable interpretation of an applicable CDM rule or requirement that, if corrected, would result in a different proposed decision; or
- (d) Contain an unreasonable application of an applicable CDM rule or requirement to the facts that, if corrected, would result in a different proposed decision.

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

- 24. In accordance with paragraphs 119, 244 and 280 of this procedure, any members of the Board may object to a proposed ruling prepared by the secretariat subsequent to a decision by the Board to reject a request for registration, issuance or renewal of crediting period.
- 25. It is expected that members of the Board will only object to the proposed ruling prepared by the secretariat in the following situations:
  - (a) The proposed ruling does not contain a sufficient basis or explanation for the decision contained in the ruling; and
  - (b) The ruling differs from the assessment that formed the basis of the decision. These differences include the following:
    - (i) The findings of fact;
    - (ii) The interpretation of an applicable CDM rule or requirement;
    - (iii) The application of a CDM rule or requirement as applied to the facts.

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

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

- 26. In accordance with paragraphs 113, 236 and 280 of this procedure, if the proposed decisions contained in the assessment reports prepared by the secretariat and the RIT Team differ, the case shall be considered at a Board meeting.
- 27. The Board should apply the following process to its consideration of the case:
  - (a) The secretariat presents whichever assessment has recommended the rejection of the request for registration, issuance or renewal of crediting period, outlining the requirement being questioned and the facts considered in the assessment;
  - (b) Members and alternate members of the Board may seek clarifications regarding the facts and evidence contained in the relevant request for registration, issuance or renewal of crediting period, including the response by the DOE or the project participants to the request for review, and the applicable requirements;

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

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

- 28. In accordance with paragraphs 112, 235 and 280 of this procedure, if a member of the Board objects to the proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team, the case shall be considered at a Board meeting.
- 29. The Board should apply the following process to its consideration of the case:
  - (a) The member(s) of the Board who made an objection should present the reasons for the objection, making reference to the additional facts or interpretations relied on beyond the assessments;
  - (b) Members and alternate members of the Board may seek clarifications regarding the presentation;
  - (c) The secretariat may provide any clarifications of the facts and evidence contained in the relevant request for registration, issuance or renewal of crediting period, including the response by the DOE or the project participants to the request for review, and the applicable requirements;
  - (d) Once members have received the necessary clarifications, the Chair of the Board should invite its members and alternate members to express their opinion regarding the objection;
  - (e) After this discussion, the Chair of the Board shall determine and propose to the Board whether the objection should be further considered;
  - (f) If consensus with the Chair's proposal is not achieved, the Chair of the Board may proceed to seek adoption of a decision via a vote in accordance with the "Rules of procedure of the Executive Board of the clean development mechanism".

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

- 30. In accordance with paragraphs 121, 246 and 280 of this procedure, the Board shall, at its meeting where the case of a proposed ruling is placed on the agenda, finalize the ruling.
- 31. The Board should apply the following process to its consideration of the case:
  - (a) The member(s) of the Board who made an objection should present the reasons for the objection, making reference to the precise areas of concern within the draft and proposing an alternative;
  - (b) Members and alternate members may seek clarifications regarding the presentation;

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

### **Appendix 3. Baseline and monitoring methodologies indicating potential accrual of negative emission reductions**

1. The baseline and monitoring methodologies that indicate potential accrual of negative greenhouse gas emission reductions and are therefore subject to conditions in the submission of requests for issuance of certified emission reductions as referred to in paragraph 198(c) of this procedure are the following:
  - (a) ACM0005 Increasing the blend in cement production;
  - (b) ACM0006 Consolidated methodology for electricity and heat generation from biomass;
  - (c) ACM0017 Production of biodiesel for use as fuel;
  - (d) ACM0018 Electricity generation from biomass residues in power-only plants;
  - (e) ACM0020 Co-firing of biomass residues for heat generation and/or electricity generation in grid connected power plants;
  - (f) ACM0022 Alternative waste treatment processes;
  - (g) AM0036 Fuel switch from fossil fuels to biomass residues in heat generation equipment;
  - (h) AM0057 Avoided emissions from biomass wastes through use as feed stock in pulp and paper, cardboard, fibreboard or bio-oil production;
  - (i) AM0061 Methodology for rehabilitation and/or energy efficiency improvement in existing power plants;
  - (j) AM0094 Distribution of biomass based stove and/or heater for household or institutional use;
  - (k) AM0108 Interconnection between electricity systems for energy exchange;
  - (l) Any other methodologies that include specific provisions under the section “project activity under a programme of activities”.

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## Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
01.0	3 March 2017	<p>EB 93, Annex 6</p> <p>Initial adoption.</p> <p>This document, together with the “CDM project cycle procedure for programmes of activities” (CDM-EB93-A09-PROC), was part of a single document titled “CDM project cycle procedure” (CDM-EB65-A32-PROC) until version 09.0.</p> <p>This document, together with the “CDM project standard for project activities” (CDM-EB93-A04-STAN), “CDM validation and verification standard for project activities” (CDM-EB93-A05-STAN), “CDM project standard for programmes of activities” (CDM-EB93-A07-STAN), “CDM validation and verification standard for programmes of activities” (CDM-EB93-A08-STAN), and “CDM project cycle procedure for programmes of activities” (CDM-EB93-A09-PROC), supersedes and replaces the following documents on the date when these six documents enter into force:</p> <ul style="list-style-type: none"> <li>• “Standard: Demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities” (CDM-EB65-A03-STAN) (version 04.0);</li> <li>• “Standard: General principles for bundling” (CDM-EB21-A21-STAN) (version 03.0);</li> <li>• “Amendment to version 09.0 of the CDM project standard” (CDM-EB86-A05-AMEN) (version 01.0);</li> <li>• “Amendment to version 09.0 of the CDM project cycle procedure” (CDM-EB86-A06-AMEN) (issued at EB 86);</li> <li>• “Clarification: Renewal of crediting period of registered CDM project activity that has not been implemented in the first crediting period” (CDM-EB82-A16-CLAR) (version 01.0);</li> <li>• “Clarification: New project activity in the same physical or geographical location at which a project activity whose crediting period has expired existed” (CDM-EB83-A01-CLAR) (version 02.0).</li> </ul> <p>This document also reflects various changes for simplifying and streamlining the CDM as agreed by the Board during EB 86–EB 93.</p>

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Decision Class: Regulatory  
 Document Type: Procedure  
 Business Function: Issuance, Registration  
 Keywords: project activities, validating and registering, verifying and certifying

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