



CHECKLIST FOR REQUESTS FOR RENEWAL OF PROGRAMME OF ACTIVITIES PERIOD (VERSION 01.0)

PS: Standard: CDM project standard for programme of activities (version 01.0)
VVS: Standard: CDM validation and verification standard for programme of activities (version 01.0)
PCP: Procedure: CDM project cycle procedure for programme of activities (version 01.0)
SS: Standard: Sampling and surveys for CDM project activities and programmes of activities (version 06.0)

1. Completeness check

Item No.	Description of item	Reference
1.1 Documentation		
1.1.1	Is a duly completed renewal of crediting period request form using the valid version of the form (CDM-REN-FORM) submitted?	PCP para 283
1.1.2	Is an updated programme of activities design document (PoA-DD) using the valid version of the applicable PoA-DD form (CDM-PoA-DD-FORM or CDM-AR-PoA-DD-FORM) submitted?	PS para 287 PCP paras 279, 283
1.1.3	Is a validation report using the valid version of the form (CDM-PoA-RCPV-FORM) submitted?	VVS para 388 PCP para 283
1.1.4	Are all documents prepared in English or do they contain a full translation of relevant sections into English?	PS para 26
1.1.5	If a spreadsheet is submitted, is it in an accessible and verifiable (unprotected) format?	
1.2 PoA view page		
1.2.1	Are the versions of the applied methodologies and, where applicable, of the applied standardized baselines, valid at the time of submission (considering, in the case of resubmission of the request for renewal of PoA period, that the same versions applied in the initial submission can be applied within 90 days of the initial notification of the negative conclusion of the completeness check)?	PS para 287 PCP paras 78, 285
1.2.2	Does the request for renewal of PoA period select a standardized baseline whose selection is mandatory at the time of submission of the request for renewal of PoA period, where applicable?	PS paras 289(a)(b)
1.3 Programme of activities design document		
1.3.1	Is an appendix on the ex ante calculation of emission reductions or net anthropogenic removals, such as spreadsheets, provided where applicable?	PS paras 23, 153
1.3.2	For information provided on a confidential basis, is it submitted both in a redacted version that can be disclosed to the public and in a version containing all information?	PS para 154



1.3.3	Are data, values and formulae included in spreadsheets accessible and verifiable?	PS para 155
1.3.4	Is the format of the updated PoA-DD, including headings, logos and tables, unaltered? Are all sections of the updated PoA-DD filled, or indicated as intentionally left blank (e.g. "Not applicable")?	PS para 26
1.4 Validation report		
1.4.1	Does the validation report indicate that the validation was conducted in accordance with a valid version of the VVS?	VVS para 20
1.4.2	Does the validation report contain appointment certificates or curricula vitae of the validation team members, technical experts and internal technical reviewers for the project activity?	VVS para 176(h)
1.5 Consistency of information		
1.5.1	<p>Are the project activity title and the UNFCCC reference number consistent in the following documents?</p> <ul style="list-style-type: none">• Project view page• Renewal of PoA period view page• Renewal of crediting period request form (CDM-REN-FORM)• Updated PoA-DD (CDM-PoA-DD-FORM or CDM-AR-PoA-DD-FORM)• Validation report (CDM-PoA-RCPV-FORM)• Post-registration change request form (CDM-PRC-FORM)*• Post-registration change validation report (CDM-PoA-PRCV-FORM)* <p><i>* Applicable if a request for post-registration changes to the PoA is submitted together with this request for renewal of crediting period.</i></p>	
1.5.2	<p>Are the titles and versions of the applied methodologies and, where applicable, of the applied standardized baselines consistent in the following documents?</p> <ul style="list-style-type: none">• Renewal of PoA period view page• Updated PoA-DD (CDM-PoA-DD-FORM or CDM-AR-PoA-DD-FORM)• Validation report (CDM-PoA-RCPV-FORM)• Post-registration change request form (CDM-PRC-FORM)*• Post-registration change validation report (CDM-PoA-PRCV-FORM)* <p><i>* Applicable if a request for post-registration changes to the PoA is submitted together with this request for renewal of crediting period.</i></p>	
1.5.3	<p>Are the start date and the duration of the renewed PoA period consistent in the following documents?</p> <ul style="list-style-type: none">• Renewal of PoA period view page• Updated PoA-DD (CDM-PoA-DD-FORM or CDM-AR-PoA-DD-FORM)• Validation report (CDM-PoA-RCPV-FORM)	
1.5.4	<p>Are the date of completion and the version of the updated PoA-DD consistent with the following documents?</p> <ul style="list-style-type: none">• Validation report (CDM-PoA-RCPV-FORM)• Post-registration change validation report (CDM-PoA-PRCV-FORM)* <p><i>* Applicable if a request for post-registration changes to the PoA is submitted together with this request for renewal of crediting period.</i></p>	



1.5.5	<p>Are sign-off dates consistent/logical in the following documents?</p> <ul style="list-style-type: none"> • Renewal of PoA period view page • Updated PoA-DD (CDM-PoA-DD-FORM or CDM-AR-PoA-DD-FORM) • Validation report (CDM-PoA-RCPV-FORM) • Post-registration change request form (CDM-PRC-FORM)* • Post-registration change validation report (CDM-PoA-PRCV-FORM)* <p><i>* Applicable if a request for post-registration changes to the PoA is submitted together with this request for renewal of crediting period.</i></p>
-------	---

2. Information and reporting check

Item No.	Description of item	Reference
2.1 Programme of activities design document		
2.1.1 Qualification as small-scale or microscale generic CPA	If a generic CPA-DD defines a small-scale or microscale component project activity (CPA), does the updated generic CPA-DD demonstrate that it continues to qualify as a small-scale or microscale project type (Type I, II or III)? In case the generic CPA contains more than one component, does the updated generic CPA-DD demonstrate that the sum of components for each type is not expected to exceed the limits of that project type?	PS paras 122–124
2.1.2 References to methodologies and standardized baselines	Does each updated generic CPA-DD contain the reference (number, title and version) of the selected methodologies and the selected standardize baselines, including any tools, standards and/or guidelines as required by the methodologies, valid at the time of submission?	PS para 90
2.1.3 Applicability of methodologies and standardized baselines	Does each updated generic CPA-DD describe how all applicability conditions of the selected methodologies and the selected standardize baselines are met?	PS para 91
2.1.4 Application of multiple methodologies	If the PoA applies a combination of multiple methodologies, and if any of the updated generic CPA-DDs applies a later version of an applied methodology or different methodology, does the PoA-DD demonstrate that the new combination continues to comply with the conditions for application of multiple methodologies in the PS?	PS paras 93–99
2.1.5 Project boundary, sources and GHGs	Does each updated generic CPA-DD clearly define how to define the project boundary of each corresponding CPA, including which sources and GHGs are included in the project boundary in accordance with the applied methodologies and, where applicable, the applied standardize baselines?	PS paras 100, 101
2.1.6 Ex-ante calculation of emission reductions or net anthropogenic removals	Does each updated generic CPA-DD update the section on ex-ante calculation of emission reductions or net anthropogenic removals, including how the selected values are applied in each equation in accordance with the applied methodologies and the applied standardized baselines?	PS para 108
2.1.7 Methodological choices	Does each updated generic CPA-DD explain the methodological choices for the calculation of the baseline emissions/net removals, project emissions/actual net removals, leakage emissions, and emission reductions/net anthropogenic removals?	PS paras 108, 109



2.1.8	Data and parameters fixed ex ante	Does each updated CPA-DD list data and parameters that are not monitored during the renewed crediting period of each corresponding CPA? Are the details such as the values applied, accompanied by appropriate units, sources of the data, and justifications provided? If original baseline ex ante parameters are no longer valid, are these parameters updated in accordance with the “Methodological tool: Assessment of the validity of the original/current baseline and update of the baseline at the renewal of the crediting period”?	PS paras 27–30, 110, 111, 294
2.1.9	National and/or sectoral policies and circumstances	Does each updated generic CPA-DD incorporate the impact of national and/or sectoral policies and circumstances existing at the time of requesting for renewal of the PoA period on the modalities for calculation of baseline emissions, except for the case where the generic CPA applies the valid version of an applicable standardized baseline that standardizes baseline scenario?	PS paras 292, 293
2.1.10	Data and parameters to be monitored	Does each updated CPA-DD list all data and parameters to be monitored, as required by the applied methodologies and the applied standardized baselines? Are the details such as units, sources of the data, measurement methods and QA/QC procedures provided?	PS para 114
2.1.11	Other elements of monitoring plan	Does each updated CPA-DD contain other elements of a monitoring plan, including the operational and management structure for monitoring, provisions for data archiving, responsibilities and institutional arrangement for data collection and archiving?	PS para 115
2.1.12	PoA period	Does the updated PoA-DD indicate that the next PoA period commences on the day immediately after the expiration of the current PoA period?	PCP para 276
2.1.13	Eligibility criteria for inclusion	Does each updated CPA-DD contain updated eligibility criteria for inclusion of CPAs in the PoA that reflect possible version update or change of applied methodologies or standardized baselines, including conditions relating to applicability of and compliance with applied methodologies and standardized baselines, sampling requirements, and compliance with small-scale or microscale thresholds, as applicable?	PS paras 120, 287
2.2 Validation report			
2.2.1	Form	Does the validation report indicate if the updated PoA-DD was completed correctly using the applicable and valid version of PoA-DD form and instructions therein? If the coordinating/managing entity used a later valid version of the PoA-DD form for the updated PoA-DD than the version of the PoA-DD form of the registered PoA-DD, does the validation report indicate if the DOE has determined whether information transferred to the later valid version of the PoA-DD form is materially the same as that in the registered PoA-DD?	VVS paras 380, 389(a)(i)(ii)
2.2.2	Description of PoA and generic CPAs	Does the validation report describe the steps taken and the validation opinion on the accuracy and completeness of the description PoA and generic CPAs in the updated PoA-DD?	VVS paras 42, 43, 90, 91
2.2.3	Updated PoA-DD	Does the validation report indicate if the DOE has determined whether the coordinating/managing entity has updated the sections of the PoA-DD relating to the baseline, estimated emission reductions or net anthropogenic removals, the monitoring plan and the crediting period in accordance with the relevant requirements in the PS?	VVS para 377
2.2.4	Coordinating/managing entity and project participants	Does the validation report indicate if the DOE has checked that the names of the coordinating/managing entity and the project participants included in the updated PoA-DD are consistent with the names of the coordinating/managing entity and the project participants in the latest version of the MoC statement?	VVS para 383



2.2.5	Small-scale generic CPA	If the PoA defines a small-scale generic CPA, does the validation report explain how the updated generic CPA continue to qualify for a small-scale generic CPA?	VVS paras 139, 140
2.2.6	Compliance with methodologies	Does the validation report contain an assessment of whether each updated generic CPA-DD complies with all the requirements in the selected methodologies, methodological tools and standardized baselines except for additionality demonstration?	VVS paras 384, 385, 387, 389(a)(iii)
2.2.7	Applicability conditions	Does the validation report contain an assessment of how each applicability condition of the selected methodologies and standardized baselines is fulfilled by each generic CPA?	VVS paras 97, 102, 103, 389(a)(iii)
2.2.8	Deviation from the selected methodology	Does the validation report indicate if the project participants deviated from the selected approved methodology or methodological tool, hence requires a clarification on the applicability of them, or requested for deviation from them?	VVS paras 93, 94, 385
2.2.9	Project boundary, sources and GHGs	Does the validation report describe how the DOE has validated the description of how to define the project boundary and sources of GHGs in each updated generic CPA-DD, and if it has identified emission sources that are not addressed by the applied methodologies and/or standardized baselines which are expected to contribute more than 1% of the annual emission reductions?	VVS paras 105–110
2.2.10	Impact of national and/or sectoral policies and circumstances	Does the validation report describe how the DOE has assessed the validity of the original baseline or its update through an assessment of the impact of new relevant national and/or sectoral policies and circumstances?	VVS para 381(a)
2.2.11	Validity of original baseline or its update	Does the validation report describe how the DOE has assessed the validity of the original baseline or its update through an assessment of the correctness of the application of the selected methodologies and standardized baselines?	VVS paras 381, 382, 389(a)(iv)
2.2.12	Validity of original estimation of emission reductions or its update	Does the validation report describe how the DOE has assessed the validity of the original modalities for estimation of emission reductions or net anthropogenic removals or its update through an assessment of the correctness of the application of the selected methodologies and standardized baselines?	VVS para 389(a)(iv)
2.2.13	Compliance of monitoring plan with methodologies	Does the validation report contain an assessment of the compliance of the description of how to develop a monitoring plan in each updated generic CPA-DD with the applied methodologies, tools and standardized baselines: whether it contains all necessary parameters, how each parameter is monitored and if any proposed sampling plan is in line with the “Standard: Sampling and surveys for CDM project activities and programmes of activities”?	VVS paras 129, 130(a)(c), 131(a), 389(a)(iv) SS section 6
2.2.14	Implementation of monitoring plan	Does the validation report contain an assessment of whether the monitoring arrangements, including the QA/QC procedures, described in each updated generic CPA-DD, are feasible within the project design and the coordinating/managing entity has ability to implement it?	VVS paras 130(b), 131(b)(c)
2.2.15	PoA period	Does the validation report confirm that the renewed PoA period commences on the day immediately after the expiration of the current PoA period?	VVS para 389(a)(v)
2.2.16	Post-registration	Does the validation report provide a statement on whether any proposed post-registration changes for the next	VVS para 389(d)



changes	PoA period will be submitted together with the request for renewal of PoA period of the registered CDM PoA?	
Validation process		
2.2.17 Standard auditing techniques	Does the validation report describe how the DOE has applied the standard auditing techniques as appropriate, including desk review, follow-up actions, referencing, review of the calculations and on-site inspection?	VVS paras 28–30 SS section 6
2.2.18 Application of sampling to validation work	If the DOE applied a sampling approach to its validation activities, does the validation report provide information on the sampling plan designed in accordance with the VVS, including, if a sampling approach is applied to on-site inspection, a description of how the sample size was determined and how the field check was carried out?	VVS paras 176(e), 216, 389(b)
2.2.19 Summary of validation process	Does the validation report include a summary of the validation process undertaken?	VVS 176(a), 389(b)
2.2.20 Dialogue with project participants	Does the validation report describe the results of the dialogue between the DOE and the coordinating/managing entity?	VVS 176(b), 389(b)
2.2.21 CARs, CLs, FARs	Does the validation report contain information on all CARs, CLs and FARs, the issues raised, the responses by the coordinating/managing entity, how they were resolved, and how they resulted in changes to the PoA-DD or supporting annexes?	VVS paras 36, 176(b), 389(b)
2.2.22 FARs	In case FARs are raised, are they related to the programme implementation and not to the registration requirements?	VVS para 34
2.2.23 Approaches to validation conclusions and opinion	Does the validation report describe the approaches taken, findings and conclusions, to reach the final validation opinion?	VVS paras 176(c)(d), 389(b)
2.2.24 List of reference	Does the validation report provide lists of on-site inspections, interviewees and documents reviewed?	VVS paras 176(e), 389(b)
2.2.25 Quality control	Does the validation report provide information on quality control within the team and in the validation process?	VVS paras 176(g), 389(b)
2.2.26 Validation team	Does the validation report include the details of the validation team members, technical experts, internal technical reviewers involved, and their roles in the validation activity?	VVS paras 176(f)(h), 389(b)
2.2.27 Validation methodology	Does the validation opinion include a summary of the validation methodology, procedures and the validation criteria applied and whether the PoA satisfies the criteria?	VVS paras 174(a), 389(c)
2.2.28 Non coverage	Does the validation opinion include a description of any of the programme components or issues that are not covered by the validation?	VVS para 174(b), 389(c)
2.2.29 Validation opinion	Does the validation opinion include a summary of the validation conclusions, a statement on the validation of the expected emission reductions or net anthropogenic removals, and a statement on whether the renewal of PoA period meets the applicable CDM rules and requirements?	VVS paras 174(c)(d)(e), 389(c)



Appendix 1. Completeness check: issues of an editorial nature or consistency

The table below lists “issues of an editorial nature or consistency”, for which the secretariat may request the DOE to submit the missing or revised documents and/or information during the completeness check of a request for registration in accordance with paragraph 78 of the PCP.

Issue No.	Description of issue
1.	Inconsistencies are clearly attributable to typographical errors and/or documents containing blank pages.
2.	Documents and appendices (including spreadsheets) are not readable or contain part of text not in English.
3.	Information in the request for renewal of crediting period is not consistent (e.g. sign-off dates, valid version of the VVS).
4.	Information of the project activity (e.g. version and completion date of updated PDD, renewed crediting period, titles and versions of the applied methodologies and the standardized baselines) is not consistent.
5.	The validation report does not contain appointment certificates or curricula vitae of the validation team members, technical experts and internal technical reviewers.
6.	Confidential documents are not submitted in two versions, one with redacted information for disclosure to the public and one with non-redacted information to be treated as confidential.
7.	Versions of the forms submitted are not valid at the time of the submission of the request for renewal of crediting period.
8.	Signatures are missing in the relevant documents.

* This list is not exhaustive and will be revised as and when required. The secretariat may contact the DOE or project participants on any issues of an editorial nature or consistency that are not included in the list above.



Appendix 2. Information and reporting check: issues of an editorial nature or missing basic information

The table below lists “issues of an editorial nature or missing basic information” for which the secretariat may request the DOE to submit the missing or revised documents and/or information during the information and reporting check of a request for registration in accordance with paragraph 81 of the PCP.

Issue No.	Description of the Item
1.	Any issue of an editorial nature or consistency that is not picked at the completeness check stage.
2.	Typographical errors in the updated PDD or validation report.
3.	Hyperlink/weblink in the updated PDD or validation report is missing or not opening.
4.	System diagrams of project boundary, monitoring line, management structure are missing or unclear in the updated PDD.
5.	GHG sources are not discussed in the updated PDD.
6.	The start date of the next crediting period is missing in the updated PDD.
7.	Recording frequency of parameters is not reported in the updated PDD as per the applied methodologies.
8.	In case of resubmission after the incomplete information and reporting check, any missing or unreadable documents or documents containing blank pages, typographical errors, or part of the text not in English.

* This list is not exhaustive and will be revised as and when required. The secretariat may contact the DOE or the project participants on any issues of an editorial nature or missing basic information that are not included in the list above.



UNFCCC/CCNUCC
Document information



<i>Version</i>	<i>Date</i>	<i>Description</i>
01.0	30 August 2017	Initial publication.
Decision Class: Regulatory Document Type: Information note Business Function: Renewal of crediting period Keywords: completeness check, programme of activities		