



CHECKLIST FOR REQUESTS FOR POST-REGISTRATION CHANGES TO PROGRAMMES OF ACTIVITIES (VERSION 01.0)

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

1. Completeness check

Item No.	Description of item	Reference
1.1 Documentation		
1.1.1	Is a duly completed “Post-registration changes request form” (CDM-PRC-FORM) using the valid version submitted?	PCP para 147(a)
1.1.2	Is a validation report for post-registration changes using the valid version of the form (CDM-PoA-PRCV-FORM) submitted?	PCP para 147(b), VVS para 21
1.1.3	Is a revised PoA-DD (in both clean and track-change versions) using the valid version of the applicable PoA-DD form (CDM-PoA-DD-FORM, CDM-AR-PoA-DD-FORM) submitted, except in case of temporary deviations from the registered monitoring plan, applied methodologies or standardized baselines?	PS para 147(c), PCP para 227
1.1.4	Is supplemental documentation (e.g. emission reduction or net anthropogenic removal worksheet, financial calculations, etc.) submitted as appropriate?	PS para 23, PCP para 147(c)
1.1.5	Are all documents prepared in English or do they contain a full translation of relevant sections into English?	PS para 26
1.1.6	Is the spreadsheet, if submitted, in an accessible and verifiable (unprotected) format?	PS para 26
1.2 Post-registration change request view page		
1.2.1	If the post-registration change request is submitted under the prior-approval track, are all relevant sections of the post-registration change request view page completed?	PCP para 146
1.3 Programme of activities design document		
1.3.1	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
1.3.2	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 PoA?	VVS paras 176(h), 249
1.5 Consistency of information		
1.5.1	Are the PoA title and the UNFCCC reference number consistent in the following documents? <ul style="list-style-type: none">• Project view page• Post-registration change request form (CDM-PRC-FORM)• Post-registration change validation report (CDM-PoA-PRCV-FORM)• Revised PoA-DD• Supplemental documentation	
1.5.2	Are the titles and versions of the applied methodologies and, where applicable, of the applied standardized baselines consistent in the following documents? <ul style="list-style-type: none">• Project view page• Post-registration change request form (CDM-PRC-FORM)• Post-registration change validation report (CDM-PoA-PRCV-FORM)• Revised PoA-DD• Supplemental documentation	
1.5.3	Is the estimated amount of emission reductions or net anthropogenic removals consistent among the documents? <ul style="list-style-type: none">• Post-registration change validation report (CDM-PoA-PRCV-FORM)• Revised PoA-DD• Supplemental documentation	
1.5.4	Is the reference to the type of post-registration changes consistent in the following documents? <ul style="list-style-type: none">• Project view page• Post-registration change request form (CDM-PRC-FORM)• Post-registration change validation report (CDM-PoA-PRCV-FORM)• Revised PoA-DD• Supplemental documentation	
1.5.5	Are sign-off dates consistent/logical in the following documents? <ul style="list-style-type: none">• Post-registration change request form (CDM-PRC-FORM)• Post-registration change validation report (CDM-PoA-PRCV-FORM)	



2. Information and reporting check*

**Applicable only if a request for post-registration changes is submitted together with a request for issuance of CERs (post-registration change – issuance track) or with a request for renewal of the PoA period.*

Item No.	Description of item	Reference
2.1 Temporary deviations from the registered monitoring plan, applied methodologies or standardized baselines		
2.1.1 Description of deviation	Does the monitoring report provide a description of the nature, extent and duration of the non-conforming monitoring period, and propose alternative monitoring arrangements or apply the most conservative values approach?	PS para 229
2.1.2 Validation – alternative arrangements or approach	Does the validation report determine whether the coordinating/managing entity proposed alternative monitoring arrangements or applied the most conservative values approach referred to in the PS for the non-conforming monitoring period? If alternative monitoring arrangements are proposed, does the validation report determine whether the arrangements apply conservative assumptions or discount factors to the calculations of emission reductions or net anthropogenic removals?	VVS paras 251–253
2.1.3 Validation – deviation period	If the temporary deviation may be applicable to the monitoring period under verification and part of the subsequent monitoring period, does the verification report determine the exact period to which the deviation applies?	VVS para 254
2.1.4 Validation - compliance with requirements	Does the validation report state the DOE's opinion on whether the temporary deviation complies with the relevant requirements in the PS?	VVS paras 250, 255
2.2 Corrections		
2.2.1 Detail of corrections	Does the revised PoA-DD clearly indicate the corrections to project information or parameters fixed at the registration of the PoA?	PS para 230
2.2.2 Validation	Does the validation report describe how the DOE has assessed that the corrected information is accurate reflection of actual project information and/or the corrected parameters reflect application of the applied methodologies, the registered monitoring plan and/or the applied standardized baselines?	VVS para 257, 258
2.3 Inclusion of monitoring plan		
2.3.1 Data and parameters monitored	Does the generic CPA-DD in the revised PoA-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 data, measurement methods and QA/QC procedures provided?	PS paras 114, 131–133
2.3.2 Sampling plan	If data and parameters to be monitored are to be determined by a sampling approach, does the generic CPA-DD in the revised PoA-DD provide a description of the sampling plan?	PS para 112
2.3.3 Other elements of monitoring plan	Does the generic CPA-DD in the revised PoA-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



2.3.4	Validation - compliance with requirements	Does the validation report describe how the DOE has assessed the compliance of the monitoring plan with the applied methodologies, tools and/or standardized baselines: whether it contains all necessary parameters; how each parameter is monitored; and whether any proposed sampling plan is in line with the “Standard: Sampling and surveys for CDM project activities and programmes of activities”?	VVS paras 130(a), (c), 131(a)
2.3.5	Validation - feasibility	Does the validation report describe how the DOE has assessed whether the monitoring arrangements, including the QA/QC procedures, are feasible within the project design, and the coordinating/managing entity has ability to implement it?	VVS paras 130(b), 131(b), (c)
2.4 Permanent changes to the registered monitoring plan, or permanent deviation of monitoring from the applied methodologies, standardized baselines or other applied standards or tools			
2.4.1	Description of change	Does the generic CPA-DD in the revised PoA-DD provide a description of the nature and extent of the non-conforming monitoring and the proposed alternative monitoring?	PS para 236
2.4.2	Conservativeness	Does the generic CPA-DD in the revised PoA-DD demonstrate that assumptions or discount factors used for the calculations of emission reductions or net anthropogenic removals do not lead to their over-estimation?	PS para 237
2.4.3	Validation - description	Does the validation report describe how the DOE has assessed whether the changes to the registered monitoring plan described in the revised PoA-DD are in compliance with the applied methodologies, standardized baselines and other applied standards or tools, and do not reduce the level of accuracy of the monitoring compared with the requirements contained in the registered monitoring plan?	VVS para 266
2.4.4	Validation - adverse impact	Does the validation report describe how the DOE has assessed whether the permanent changes to the registered monitoring plan or the permanent deviation of the monitoring from the applied methodologies, standardized baselines, or other applied standards or tools are likely to lead to a reduction in the accuracy of the calculation of emission reductions or net anthropogenic removals? If the DOE considered that the permanent changes would lead to a reduction in the accuracy of the calculation, did the coordinating/managing entity, upon the request from the DOE, apply conservative assumptions or discount factors to the calculations to the extent required to ensure that emission reductions or net anthropogenic removals will not be overestimated as a result of the permanent change or deviation?	VVS para 267
2.4.5	Validation opinion	Does the DOE state its opinion on whether the permanent changes to the registered monitoring plan, or permanent deviation of monitoring from the applied methodologies, standardized baselines or other applied standards or tools comply with the relevant requirements in the PS?	VVS para 268
2.5 Changes to the programme design			
2.5.1	Description of changes	Does the revised PoA-DD contain a description of the nature and extent of the proposed or actual changes to the design of the PoA?	PS para 238



2.5.2	Impacts of changes	Does the revised PoA-DD provide a summary of impacts of the proposed or actual changes to the PoA on: (a) the applicability and application of the applied methodologies and, where applicable, the applied standardized baselines with which the PoA has been registered; (b) compliance of the monitoring plan with the applied methodologies and, where applicable, the applied standardized baselines; (c) the level of accuracy and completeness of the monitoring compared with the requirements in the registered monitoring plan; (d) the additionality of the PoA; (e) the scale of the corresponding CPAs; and (f) the eligibility criteria for inclusion of CPAs in the PoA?	PS para 244
2.5.3	Impact on additionality	Does the revised PoA-DD provide details on the impacts of the changes on the additionality of the PoA or the additionality criteria identified in the applied standardized baselines?	PS paras 245, 246
2.5.4	Validation - description of changes	Does the validation report determine whether the description of the nature and extent of actual changes in the revised PoA-DD accurately reflects the implementation, operation and monitoring of the modified PoA?	VVS paras 276, 284(a)
2.5.5	Validation - reasons for changes	Does the validation report contain an assessment on when the changes occurred, reasons for the changes taking place, whether the changes would have been known prior to the registration of the PoA, and how the changes would impact the overall operation/ability of the PoA to deliver emission reductions or net anthropogenic removals as stated in the PoA-DD?	VVS para 284(b)
2.5.6	Validation – adverse impacts	Does the validation report contain an assessment regarding whether the changes would adversely affect the conclusion of the validation report in respect of: (a) the applicability and application of the applied methodologies and, where applicable, the applied standardized baseline with which the PoA has been registered; (b) the compliance of the monitoring plan with the applied methodologies and, where applicable, the applied standardized baselines; (c) the level of accuracy and completeness of the monitoring compared with the requirements in the registered monitoring plan; (d) the additionality of the PoA; (e) the scale of the corresponding CPAs; and (f) the eligibility criteria for inclusion of CPAs in the PoA?	VVS paras 277, 278, 284(c)
2.6 Validation process			
2.6.1	Summary of validation process	Does the validation report provides a summary of the validation process and its conclusions?	VVS paras 176(a), 249
2.6.2	Dialogue with project participants	Does the validation report provide the results of the dialogue between the DOE and the coordinating/managing entity, as well as any adjustments made to the programme design?	VVS paras 176(b), 249
2.6.3	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 176(b), 249
2.6.4	Sampling approach to validation	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), 249
2.6.5	List of reference	Does the validation report provide a list of interviewees and documents reviewed, and if conducted, on-site inspections?	VVS paras 176(e), 249



2.6.6 Validation team	Does the validation report provide the details of the validation team members, technical experts and internal technical reviewers involved, and their roles in the validation activity? If an on-site inspection is conducted, does the validation report provide details of who conducted the on-site inspection?	VVS paras 176(f), (h), 249
2.6.7 Quality control	Does the validation report provide information on quality control within the team and in the validation process?	VVS paras 176(g), 249
2.6.8 Validation Opinion	Does the validation report provides the DOE's validation opinion?	VVS paras 176(d), 249



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 post-registration changes in accordance with paragraph 150, or if the request is submitted together with a request for issuance, in accordance with paragraph 223, of the PCP.

Issue No.	Description of issue
1.	Inconsistencies are clearly attributable to typographical errors (with the exception of the number of CERs) and/or documents containing blank pages.
2.	Documents and appendices (including spreadsheets) are not readable or contain part of text not in English. A spreadsheet containing the calculations of emission reductions or net anthropogenic removals is missing.
3.	Information of the PoA (e.g. version and completion date of PoA-DD, registration date, crediting period, PoA title and reference number) is not consistent.
4.	Versions of the forms submitted are not valid at the time of the submission of the request for post-registration change.
5.	Information on the post-registration changes is not consistent (e.g. type of post-registration changes, sign-off dates, valid version of the VVS).
6.	The revised PoA-DD is submitted only in clean or tracked change version.
7.	Lack of signatures 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 post-registration change if it is submitted together with a request for issuance, in accordance with paragraph 227 of the PCP.

Issue No.	Description of the Item
1.	Any issue of an editorial nature that is not picked at the completeness check stage.

* 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 missing basic information that are not included in the list above.

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Document information



<i>Version</i>	<i>Date</i>	<i>Description</i>
01.0	30 August 2017	<p>Initial publication</p> <p>This document consolidates the “Programme of activities (PoA) request for issuance and post registration changes: Completeness check checklist” (version 03.0) and the “Programme of activities (PoA) request for issuance and post registration changes: Information and reporting check checklist” (version 02.0), but removes elements of requests for issuance.</p> <p>This document also reflects the “CDM project standard for programmes of activities” (version 01.0), “CDM validation and verification standard for programmes of activities” (version 01.0) and “CDM project cycle procedure for programmes of activities” (version 01.0) adopted in EB93.</p>
<p>Decision Class: Regulatory Document Type: Information note Business Function: Registration Keywords: completeness check, post-registration change, programme of activities</p>		