

**CDM-EB63-A28-PROC**

## Procedure

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# Development, revision, clarification and update of standardized baselines

Version 04.1



**United Nations**  
Framework Convention on  
Climate Change

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## 1. Introduction

1. At its sixth session, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) decided that Parties, project participants, as well as international industry organizations or admitted observer organizations through the host country's designated national authority (DNA), may submit proposals for standardized baselines applicable to new or existing methodologies, for consideration by the Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board).
2. At its sixty-third meeting, the Board adopted the "Procedure for the submission and consideration of standardized baselines" with a view to introducing the process to develop proposed new standardized baselines.
3. At its seventy-first meeting, the Board adopted the "CDM two-year business plan and management plan 2013–2014", which defines the "Procedure on revision, clarifications and update of standardized baselines" under its "Objective 3: Reduced effort, cost and time for project development/assessment; scaled-up emission reductions from underrepresented countries, regions and sub-regions". In order to further operationalize standardized baselines for Objective 3, the "Procedure for the submission and consideration of standardized baselines" was revised to include all procedural provisions for development, revision, clarification and update of standardized baselines through both bottom-up and top-down processes.

## 2. Scope, applicability and entry into force

### 2.1. Scope

4. The "Procedure: Development, revision, clarification and update of standardized baselines" (hereinafter referred to as this Procedure) defines the process to develop new standardized baselines as well as to revise, clarify and update approved standardized baselines.

### 2.2. Applicability

5. This Procedure applies to standardized baselines that may be applied for a CDM project activity or programme of activities (PoA).
6. This Procedure does not contain the process to develop or revise a baseline and monitoring methodology or methodological tool for the purpose of developing a proposed standardized baseline or using the methodology together with a proposed standardized baseline to estimate emission reductions.

### 2.3. Entry into force

7. Version 04.1 of this Procedure shall be effective from 14 July 2017.

## 3. Normative references

8. The following referenced documents are indispensable for the application of this Procedure:
  - (a) "CDM project cycle procedure";

- (b) “Guidelines: Quality assurance and quality control of data used in the establishment of standardized baselines”;
- (c) “Standard for determining coverage of data and validity of standardized baselines”;
- (d) “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools”.

## **4. Definitions**

9. 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;
  - (d) “Proponent” is a Party, project participant, international industry organization or admitted observer organization.<sup>1</sup>

## **5. Development of standardized baseline**

### **5.1. Approaches to develop standardized baseline**

10. A standardized baseline shall be developed using one of the following approaches:
- (a) The approach of the “Guidelines for the establishment of sector specific standardized baselines”;
  - (b) A methodological approach contained in an approved, proposed new or revised baseline and monitoring methodology;
  - (c) A methodological approach contained in an approved, proposed new or revised methodological tool; or
  - (d) The approach of the “Guideline: Establishment of standardized baselines for afforestation and reforestation project activities under the CDM”.

### **5.2. Bottom-up process**

#### **5.2.1. Submission of proposed standardized baseline**

11. A proponent may propose a standardized baseline through the DNA of a Party for which the standardized baseline is proposed. The DNA should subsequently submit the proposed standardized baseline to the secretariat using the form “Proposed standardized baseline submission form” (CDM-PSB-FORM).

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<sup>1</sup> The definition of “admitted observer organization” can be found at [http://unfccc.int/resource/ngo/art7\\_6.pdf](http://unfccc.int/resource/ngo/art7_6.pdf).

12. Where the proposed standardized baseline is developed for a group of Parties, it shall be approved by the DNAs of all these Parties. In this case, following the receipt of approval from all these DNAs, any one of the DNAs shall submit the proposed standardized baseline to the secretariat.
13. Notwithstanding the provision in paragraph 10 above, if the proponent wishes to use a combination of the approaches for the development of the proposed standardized baseline, or deviate from the selected approach due to a specific issue of the sector or geographical area (e.g. country or region),<sup>2</sup> the proponent shall provide a justification for the necessity and the appropriateness of such combination or deviation in the submission of the proposed standardized baseline. In case of deviation from the approach referred to in paragraph 10(b) or 10(c) above, the proponent shall also justify why a revision of the approved methodology or methodological tool is not necessary.
14. If the proponent wishes to use a new or revised approach to be contained in a methodology or methodological tool in accordance with paragraph 10(b) or 10(c) above, or if there is no approved methodology available to be used together with the proposed standardized baseline to estimate emission reductions, it shall, through the DNA of a Party for which the standardized baseline is proposed, request approval from the Board of a new or revised methodology or methodological tool in accordance with the "Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools", through one of the following processes:
  - (a) Propose a new or revised methodology or methodological tool through the bottom-up process.<sup>3</sup> In this case, this proposal of a new or revised methodology or methodological tool shall be referred to in the submission of the proposed standardized baseline; or
  - (b) Request the secretariat to propose to the Board the top-down development of a new methodology or methodological tool or top-down revision of an approved methodology or methodological tool. In this case, this request shall be referred to in the submission of the proposed standardized baseline.
15. The DNA submitting the proposed standardized baseline shall submit the following documentation to the secretariat through a specified e-mail account made available on the UNFCCC CDM website:
  - (a) The duly completed CDM-PSB-FORM;
  - (b) All additional documentation supporting the submission (e.g. relevant data and documents including a quality control report, statistics, studies, etc.), where

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<sup>2</sup> The following are examples of specific issues of the sector or geographical area: (i) the data available for the development of a proposed standardized baseline have a different vintage than that required by the approved approach(es); (ii) the default values of baseline and additionality threshold per the "Guideline for establishment of sector specific standardized baselines" are not applicable in their sector-specific context and therefore a different value(s) of the threshold is justified.

<sup>3</sup> The proposed new or revised methodology or methodological tool for the purpose of developing a proposed standardized baseline, or the proposed new or revised methodology or methodological tool that will be used together with the proposed standardized baseline, may be submitted to the secretariat at the same time with the proposed standardized baseline in accordance with the "Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools".

applicable. Data used to establish the proposed standardized baseline shall be provided in one of the following sector-specific data templates:

- (i) A sector-specific data template published by the secretariat on the UNFCCC CDM website in accordance with the modalities in appendix 1 to this Procedure. The proponent may request a revision or clarification of the published data template in accordance with the modalities in appendix 1 to this Procedure; or
  - (ii) A sector-specific data template prepared in accordance with an approved methodology or methodological tool (e.g. "Tool to calculate the emission factor for an electricity system"), if the proposed standardized baseline is developed using the approach referred to in paragraph 10(b) or 10(c) above;
  - (c) An assessment report prepared in accordance with paragraphs 16 and 17 below;
  - (d) Letters of approval on the proposed standardized baseline from all the DNAs of the Parties if it applies to a group of Parties.
16. The assessment report referred to in paragraph 15(c) above shall be prepared by a designated operational entity (DOE) contracted by either the DNA or any other entity under the agreement with the DNA. If the DNA is of a Party that had 10 or fewer registered CDM project activities as of 31 December 2010, or represents a group of Parties, each of which had 10 or fewer registered CDM project activities as of 31 December 2010, the DNA may apply for funding from the secretariat for the DOE to prepare the assessment report in accordance with the modalities described in appendix 2 to this Procedure.
17. The assessment report shall include the DOE's positive assessment opinion on the compliance of:
- (a) The quality assurance and quality control system with the provisions and data quality objectives of the "Guidelines for quality assurance and quality control of data in the establishment of standardized baselines";<sup>4</sup>
  - (b) The proposed standardized baseline with either:
    - (i) One of the approaches referred to in paragraph 10 above;
    - (ii) A proposed combination of the approaches referred to in paragraph 10 above; or
    - (iii) One of the approaches referred to in paragraph 10 above with a proposed deviation from the approach.<sup>5</sup>

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<sup>4</sup> In cases where no data collection/processing is required to establish the proposed standardized baseline, the assessment report is not required to contain the positive assessment opinion on the compliance of quality assurance and quality control system with the provisions and data quality objectives of the "Guidelines for quality assurance and quality control of data in the establishment of standardized baselines". For example, since a proposed standardized baseline for landfill gas destruction developed in accordance with the "Guideline for the establishment of sector specific standardized baselines" requires information only on regulations on the mandatory destruction level, no data collection/processing is required.

<sup>5</sup> If the DOE assesses a proposed standardized baseline with a proposed deviation from an approved approach(es), the assessment of the proposed deviation is not required.



18. Notwithstanding the provision in paragraph 15(c) above, the assessment report may be omitted if the Party had 10 or fewer registered CDM project activities as of 31 December 2010, or a group of Parties, each of which had 10 or fewer registered CDM project activities as of 31 December 2010 and has not availed itself of the option to omit the assessment report more than twice in past submissions of a proposed standardized baseline, decides not to submit the assessment report.
19. No fee shall be payable to the secretariat for the submission of the proposed standardized baseline.

### **5.2.2. Initial assessment**

20. The secretariat shall undertake an initial assessment of the submission using the "Proposed standardized baseline initial assessment form" (CDM-PSBA-FORM) within 21 days of receipt of the submission to determine whether:
  - (a) The CDM-PSB-FORM, including the name and contact details of the proponent, has been duly completed;
  - (b) The proposed standardized baseline was derived from an approach(es) referred to in paragraph 10 above;
  - (c) The DNA submitted all the information required for consideration of the proposed standardized baseline (e.g. studies referred to in the proposed standardized baseline documents);
  - (d) Except for the cases referred to in paragraph 18 above, the DNA submitted an assessment report that includes the DOE's positive assessment opinion in accordance with paragraph 17 above.
21. The secretariat shall inform the DNA and the proponent of the outcome of the initial assessment. If the secretariat finds that the required documentation or information is incomplete, it shall notify the DNA and the proponent accordingly. In this case, the DNA should provide the missing documents or information within 42 days of the notification.
22. The secretariat shall conclude the initial assessment within 14 days of receipt of missing documents or information and inform the DNA and the proponent of the conclusion of the initial assessment. If the DNA fails to provide the missing documents or information within the deadline, the secretariat shall suspend processing the submission until it receives the missing documents or information.
23. Upon successful conclusion of the initial assessment, the secretariat shall assign a reference number to the proposed standardized baseline and make the submitted documentation publicly available on the UNFCCC CDM website with the exception of information declared confidential and/or proprietary by the DNA. Aggregated data and information used to derive the standardized baseline shall not be considered confidential or proprietary.

### **5.2.3. Preparation of assessment report by the secretariat**

24. If the submission of assessment report is omitted in accordance with paragraph 18 above, the secretariat shall prepare an assessment report containing information referred to in paragraph 17 above.

25. Within 14 days of the successful conclusion of the initial assessment, the secretariat shall request input from the DNA and the proponent on the secretariat's findings related to information referred to in paragraph 17 above. The DNA should submit the requested input within 14 days of each notification on the findings by the secretariat. When submitting the input on the findings, the DNA should use the CDM-PSB-FORM highlighting the revisions to the proposed standardized baseline. If the DNA fails to provide the requested input within the deadline, the secretariat shall suspend processing the submission until it receives the requested input.
26. The secretariat shall assess the input submitted by the DNA within 14 days of receipt of the input. If the secretariat finds that it is still not sufficient to conclude on all the findings, it may initiate a direct communication with the DNA and the proponent via e-mail or telephone conference to clarify remaining issues.
27. Only upon conclusion on all the findings, the secretariat shall finalize the assessment report.

#### **5.2.4. Preparation of recommendation**

28. Within 28 days of the successful conclusion of the initial assessment or the completion of the assessment report by the secretariat, the secretariat shall prepare a draft recommendation on the proposed standardized baseline using either:
  - (a) The "Proposed standardized baseline recommendation form" (CDM-PSBR-FORM) for a recommended course of action referred to in paragraph 29(a) or 29(c) below; or
  - (b) The CDM-PSB-FORM form for a recommended course of action referred to in paragraph 29(b) below.
29. The secretariat shall include in its draft recommendation one of the following courses of action:
  - (a) To approve the proposed standardized baseline;
  - (b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA and the proponent; or
  - (c) Not to approve the proposed standardized baseline.
30. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the proposed standardized baseline and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.
31. The secretariat shall select two members of a relevant panel or working group<sup>6</sup> and forward its draft recommendation to them.

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<sup>6</sup> Methodologies Panel, Afforestation and Reforestation Working Group or Carbon Dioxide Capture and Storage Working Group.

### **5.2.5. Consideration by selected members of panel or working group**

32. The two selected members of the relevant panel or working group shall, within seven days of receipt of the draft recommendation, independently assess the proposed standardized baseline and the draft recommendation, and inform the secretariat of the outcome of their assessment.
33. If both of the selected members of the relevant panel or working group agree to the draft recommendation to approve or not to approve the proposed standardized baseline, the secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
34. If both of the selected members of the relevant panel or working group agree to the draft recommendation that the proposed standardized baseline requires further input from the DNA, the secretariat shall notify the DNA and the proponent accordingly using the CDM-PSB-FORM. The DNA should submit the requested input within 28 days of the notification. All the input shall be highlighted in the CDM-PSB-FORM. If the DNA submits input including new data, the DNA should submit a revised assessment report referred to in paragraph 15(c) above, as applicable, within the same deadline. If the DNA fails to provide the requested input and a revised assessment report, as applicable, within the deadline, the secretariat shall suspend processing the submission until it receives the requested input and a revised assessment report, as applicable.
35. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to recommend that the proposed standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or telephone conference to clarify remaining issues.
36. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 33 above or 37–41 below shall follow.

### **5.2.6. Consideration by panel or working group**

37. If at least one selected member of the relevant panel or working group disagrees with the draft recommendation or requests that it be considered by the relevant panel or working group, the secretariat shall forward the draft recommendation to the relevant panel or working group. The relevant panel or working group shall consider the proposed standardized baseline and the draft recommendation at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
38. The relevant panel or working group shall finalize its consideration within two meetings, unless it finds that further input from the DNA or guidance from the Board is required. In case further input from the DNA or guidance from the Board is sought, the relevant panel or working group shall finalize its consideration at the meeting immediately following receipt of such input or guidance. In its finalization of consideration, the relevant panel or working group shall conclude to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.

39. If the relevant panel or working group finds that further input from the DNA is required, the secretariat shall notify the DNA and the proponent accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA fails to submit the requested input within the deadline, the secretariat shall suspend processing the submission until it receives the requested input.
40. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to recommend that the proposed standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or telephone conference to clarify remaining issues.
41. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the relevant panel or working group for its final consideration. The relevant panel or working group shall conclude to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.

#### **5.2.7. Preparation of draft standardized baseline**

42. If the recommendation is to approve the proposed standardized baseline, before forwarding it to the Board in accordance with paragraph 33, 38 or 41 above, the secretariat shall:
  - (a) Reformat the proposed standardized baseline into the form of draft standardized baseline (hereinafter referred to as DSB) and send it to the two selected panel or working group members or to the relevant panel or working group, whichever considered the draft recommendation last. Upon receipt of an agreement on the DSB from the two selected panel or working group members, or from the relevant panel or working group, as applicable, the secretariat shall communicate the DSB to the DNA and the proponent. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt thereof. If the DNA does not respond by this deadline, the forwarding of the recommendation to the Board may be delayed accordingly. If the DNA does not accept the DSB and/or requests modification to it in its response, the secretariat shall forward the DSB and the response from the DNA to the two selected panel or working group members, or to the relevant panel or working group, whichever considered the draft recommendation last. In this case, taking into account the DNA's response, the two selected panel or working group members shall finalize the DSB within seven days of receipt thereof, or the relevant panel or working group shall finalize the DSB at its next meeting;
  - (b) Ensure that the proposed new or revised approach(es) to develop the proposed standardized baseline and/or the proposed new or revised methodology to be used together with the proposed standardized baseline to estimate emission reductions have been approved by the Board, if they have been submitted to the secretariat in accordance with paragraph 14 above;
  - (c) Make the assessment report publicly available on the UNFCCC CDM website if it has been prepared by the secretariat in accordance with section 5.2.3 above.

### **5.2.8. Consideration by the Board**

43. If no member of the Board objects to the recommendation received in accordance with paragraph 33, 38 or 41 above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Board.
44. 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.
45. If a member of the Board objects to the recommendation 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.
46. If the Board considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
  - (a) To approve the DSB;
  - (b) Not to approve the DSB;
  - (c) To continue the consideration of the DSB at the next Board meeting; or
  - (d) To request a relevant panel or working group to review the recommendation and provide guidance on the issues for the review.
47. Once a decision has been made by the Board, the secretariat shall inform the DNA and the proponent of the decision and any guidance provided by the Board as applicable, and make the decision and guidance publicly available on the UNFCCC CDM website.
48. If the DSB is not approved, the DNA or any other DNA of Parties for which the standardized baseline is proposed may at any time resubmit a proposed standardized baseline with revised documentation. Upon submission of the revised documentation the submission shall be treated as a new submission of a proposed standardized baseline.

## **5.3. Top-down process**

### **5.3.1. Initiation**

49. The secretariat may propose to the Board that the secretariat develops a DSB at any time following the receipt of an expression of interest by the DNA(s) of a Party(ies) for which the DSB will be proposed. The Board shall consider the proposal and decide on one of the following courses of action:
  - (a) To approve the proposed development of the DSB including, if required during the course of the preparation of the DSB, the top-down development of, revision to, or deviation from:
    - (i) An approach to develop the DSB; and/or
    - (ii) A methodology to be used together with the DSB for the purpose of estimation of emission reductions;
  - (b) Not to approve the proposed development of the DSB; or

- (c) To continue the consideration of the proposed development of the DSB at the next Board meeting.

### **5.3.2. Preparation of draft standardized baseline**

- 50. If the Board decides to develop a DSB in accordance with paragraph 49(a) above, the DNA(s) shall submit the duly completed “DSB development agreement” form (CDM-DSBA-FORM) to the specified UNFCCC e-mail account made available on the UNFCCC CDM website.
- 51. Upon receipt of the duly completed CDM-DSBA-FORM, the secretariat shall prepare a draft development plan of the DSB in consultation with the DNA(s) using the “DSB development plan” form (CDM-DSBP-FORM), defining, inter alia, the scope, applicability, approach(es), data collection process, data quality assurance process, necessity of a new or revised methodology or methodological tool, necessity of a deviation from the selected approach(es) and time frame for development of the DSB.
- 52. The secretariat shall select two members of the relevant panel or working group and forward the draft development plan to them for their review. The selected members shall provide input on the draft development plan within five days of receipt thereof.
- 53. The secretariat shall finalize the development plan taking into account the input from the selected members of the relevant panel or working group within five days of receipt of the input.
- 54. The secretariat shall prepare the DSB in accordance with the development plan.
- 55. In preparing the DSB, the secretariat may draw upon external expertise, depending on the technical complexity of the DSB and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.
- 56. The secretariat shall select two members of a relevant panel or working group and forward the DSB to them.

### **5.3.3. Consideration by selected members of panel or working group**

- 57. The two selected members of the relevant panel or working group shall, within seven days of receipt of the DSB, independently assess the DSB, and inform the secretariat of their recommendation indicating one of the following courses of action:
  - (a) To approve the DSB;
  - (b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA(s); or
  - (c) To request that the DSB be considered by the relevant panel or working group.
- 58. If both of the selected members of the relevant panel or working group recommend that the DSB be approved, the secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.
- 59. If both of the selected members of the relevant panel or working group recommend that the DSB requires further input from the DNA(s), the secretariat shall notify the DNA(s)

accordingly. The DNA(s) should submit the requested input within 28 days of the notification. If the DNA(s) fails to provide the requested input within the deadline, the secretariat shall suspend processing the development until it receives the requested input.

60. The secretariat shall assess the further input submitted by the DNA(s). If the secretariat finds that it is still not sufficient to develop the DSB, the secretariat may initiate a direct communication with the DNA(s) via e-mail or telephone conference to clarify remaining issues.
61. The secretariat shall revise the DSB taking into account the further input and direct communication with the DNA(s), as applicable. The secretariat shall forward the revised DSB to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 58 above or 62–66 below shall follow.

#### **5.3.4. Consideration by panel or working group**

62. If at least one selected member of the relevant panel or working group requests that the DSB be considered by the relevant panel or working group, the secretariat shall forward the DSB to the relevant panel or working group. The relevant panel or working group shall consider the DSB at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
63. The relevant panel or working group shall finalize the DSB within two meetings, unless it finds that further input from the DNA(s) or guidance from the Board is required. In case further input from the DNA(s) or guidance from the Board is sought, the relevant panel or working group shall finalize the DSB at the meeting immediately following receipt of such input or guidance. The secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.
64. If the relevant panel or working group finds that further input from the DNA(s) is required, the secretariat shall notify the DNA(s) accordingly. In this case, the DNA(s) should submit the requested input within 28 days of the notification. If the DNA(s) fails to submit the requested input within the deadline, the secretariat shall suspend the development of the DSB any further until it receives the requested input.
65. The secretariat shall assess the further input submitted by the DNA(s). If the secretariat finds that the further input is still not sufficient to develop the DSB, the secretariat may initiate a direct communication with the DNA(s) via e-mail or telephone conference to clarify remaining issues.
66. The secretariat shall revise the DSB taking into account the further input and direct communication with the DNA(s), as applicable. The secretariat shall forward the revised DSB to the relevant panel or working group for its final consideration. The relevant panel or working group shall finalize the DSB. The secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.

#### **5.3.5. Finalization of draft standardized baseline**

67. Before forwarding the DSB to the Board in accordance with paragraph 58, 63 or 66 above, the secretariat shall communicate the DSB to the DNA(s). The DNA(s) shall confirm that it is acceptable or request modifications to it within 14 days of receipt thereof. If the DNA(s) does not respond by this deadline, the forwarding of the DSB to the Board may be delayed accordingly. If the DNA(s) does not accept the DSB and/or requests modification to it in its response, the secretariat shall forward the DSB and the response from the DNA(s) to

the two selected panel or working group members, or to the relevant panel or working group, whichever considered the DSB last. In this case, taking into account the response of the DNA(s), the two selected panel or working group members shall finalize the DSB within seven days of receipt thereof, or the relevant panel or working group shall finalize the DSB at its next meeting, as applicable.

### **5.3.6. Consideration by the Board**

68. If no member of the Board objects to approving the DSB received in accordance with paragraphs 58, 63 or 66 above within 28 days of receipt of the DSB, the DSB shall be deemed to be approved by the Board.
69. 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.
70. If a member of the Board objects to approving the DSB 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.
71. If the Board considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
  - (a) To approve the DSB;
  - (b) Not to approve the DSB;
  - (c) To continue the consideration of the DSB at the next Board meeting; or
  - (d) To request a relevant panel or working group to review the DSB and provide guidance on the issues for the review.
72. Once a decision has been made by the Board, the secretariat shall inform the DNA(s) of the decision and any guidance provided by the Board as applicable, and make the decision and guidance publicly available on the UNFCCC CDM website.

## **6. Revision of standardized baseline**

### **6.1. Bottom-up process**

#### **6.1.1. Submission of proposed revised standardized baseline**

73. A proponent may, taking into account the principles for revisions referred to in appendix 3 to this procedure, propose a revision to an approved standardized baseline through the DNA of a Party for which the revised standardized baseline is proposed. The DNA should subsequently submit the proposed revised standardized baseline to the secretariat.
74. Where the proposed revised standardized baseline is developed for a group of Parties, it shall be approved by the DNAs of all these Parties. In this case, following the receipt of approval from all these DNAs, any one of the DNAs shall submit the proposed revised standardized baseline to the secretariat in accordance with this Procedure.



75. The DNA submitting the proposed revised standardized baseline shall submit the following documentation to the secretariat through a specified e-mail account made available on the UNFCCC CDM website:
- (a) The duly completed “Approved standardized baseline revision request” form (CDM-ASR-FORM);
  - (b) The proposed revised standardized baseline, highlighting the proposed changes to the approved standardized baseline;
  - (c) All additional documentation supporting the submission (e.g. relevant data and documents including a quality control report, statistics, studies, etc.), where applicable. If new or additional data were used to establish the proposed revised standardized baseline, all these data shall be provided in a sector-specific data template in accordance with paragraph 15(b) above;
  - (d) If new or additional data were used to establish the proposed revised standardized baseline as referred to in subparagraph 15(c) above, an assessment report on the proposed revised standardized baseline containing the information referred to in paragraph 17 above;
  - (e) Letters of approval on the proposed revised standardized baseline from all the DNAs of the Parties to which it applies, where it applies to a group of Parties.
76. The assessment report referred to in paragraph 75(d) above shall be prepared by a DOE contracted by either the DNA or any other entity under the agreement with the DNA.
77. No fee shall be payable to the secretariat for the submission of the proposed revised standardized baseline.

#### **6.1.2. Initial assessment**

78. The secretariat shall undertake an initial assessment of the submission using the “Approved standardized baseline revision request initial assessment form” (CDM-ASIA-FORM) within 21 days of receipt of the submission to determine whether:
- (a) The CDM-ASR-FORM, including the name and contact details of the proponent, has been duly completed;
  - (b) The proposed revised standardized baseline was derived from the same approach as the one used in the approved standardized baseline that is being proposed to be revised;
  - (c) The DNA has submitted all the information required for consideration of the proposed revised standardized baseline (e.g. studies referred to in the proposed revised standardized baseline documents);
  - (d) In the case referred to in paragraph 75(c) above, an assessment report was submitted containing the information referred to in paragraph 17 above.
79. The secretariat shall inform the DNA and the proponent of the outcome of the initial assessment. If the secretariat finds that the required documentation or information is incomplete, it shall notify the DNA and the proponent accordingly. In this case, the DNA should provide the missing documents or information within 42 days of the notification.

80. The secretariat shall conclude the initial assessment within 14 days of receipt of missing documents or information and inform the DNA and the proponent of the conclusion of the initial assessment. If the DNA fails to provide the missing documents or information within the deadline, the secretariat shall suspend processing the submission until it receives the missing documents or information.
81. Upon successful conclusion of the initial assessment, the secretariat shall assign a reference number to the proposed revision and make the submitted documentation publicly available on the UNFCCC CDM website with the exception of information declared confidential and/or proprietary by the DNA. Aggregated data and information used to derive the standardized baseline shall not be considered confidential or proprietary.

### **6.1.3. Preparation of draft recommendation**

82. Within 28 days of the successful conclusion of the initial assessment, the secretariat shall prepare a draft recommendation on the proposed revised standardized baseline using either:
- (a) The “Approved standardized baseline revision recommendation” form (CDM-ASRR-FORM) for a recommended course of action referred to in paragraph 83(a) or 83(c) below; or
  - (b) The CDM-ASR-FORM for a recommended course of action referred to in paragraph 83(b) below.
83. The secretariat shall include in its draft recommendation one of the following courses of action:
- (a) To approve the proposed revised standardized baseline, indicating that:
    - (i) The revision is a major revision; or
    - (ii) The revision is a minor revision;
  - (b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA and the proponent; or
  - (c) Not to approve the proposed revised standardized baseline.
84. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the proposed revised standardized baseline and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.
85. The secretariat shall select two members of a relevant panel or working group and forward its draft recommendation to them.

### **6.1.4. Consideration by selected members of panel or working group**

86. The two selected members of the relevant panel or working group shall, within seven days of receipt of the draft recommendation, independently assess the proposed revised standardized baseline and the draft recommendation, and inform the secretariat of the outcome of their assessment.

87. If both of the selected members of the relevant panel or working group agree to the draft recommendation that the proposed revised standardized baseline be either approved indicating that the revision is major,<sup>7</sup> approved indicating that the revision is minor,<sup>8</sup> or not approved, the secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
88. If both of the selected members of the relevant panel or working group agree to the draft recommendation that the proposed revised standardized baseline requires further input from the DNA, the secretariat shall notify the DNA and the proponent accordingly using the CDM-ASR-FORM. The DNA should submit the requested input within 28 days of the notification. All the input shall be highlighted in the CDM-ASR-FORM. If the DNA fails to provide the requested input within the deadline, the secretariat shall suspend processing the submission until it receives the requested input.
89. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to recommend that the proposed revised standardized baseline be approved indicating that the revision is major or minor, or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or telephone conference to clarify remaining issues.
90. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed revised standardized baseline be either approved indicating that the revision is major or minor, or not approved. The secretariat shall forward the revised draft recommendation to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 87 above or 91–95 below shall follow.

#### **6.1.5. Consideration by panel or working group**

91. If at least one selected member of the relevant panel or working group disagrees with the draft recommendation or requests that it be considered by the relevant panel or working group, the secretariat shall forward the draft recommendation to the relevant panel or working group. The relevant panel or working group shall consider the proposed revised standardized baseline and the draft recommendation at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
92. The relevant panel or working group shall finalize its consideration within two meetings, unless it finds that further input from the DNA or guidance from the Board is required. In case further input from the DNA or guidance from the Board is sought, the relevant panel or working group shall finalize its consideration at the meeting immediately following receipt of such input or guidance. In its finalization of consideration, the relevant panel or working group shall conclude to recommend that the proposed revised standardized baseline be either approved indicating that the revision is major or minor, or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
93. If the relevant panel or working group finds that further input from the DNA is required, the secretariat shall notify the DNA and the proponent accordingly. In this case, the DNA

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<sup>7</sup> See paragraph 177.

<sup>8</sup> See paragraph 178.

should submit the requested input within 28 days of the notification. If the DNA fails to submit the requested input within the deadline, the secretariat shall suspend processing the submission until it receives the requested input.

94. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to recommend that the proposed revised standardized baseline be approved indicating that the revision is major or minor, or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or telephone conference to clarify remaining issues.
95. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed revised standardized baseline be either approved indicating that the revision is major or minor, or not approved. The secretariat shall forward the revised draft recommendation to the relevant panel or working group for its final consideration. The relevant panel or working group shall conclude to recommend that the proposed revised standardized baseline be either approved indicating that the revision is major or minor or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.

#### **6.1.6. Preparation of draft revised standardized baseline**

96. If the draft recommendation is to approve the proposed revised standardized baseline in accordance with paragraph 87, 92 or 95 above, the secretariat shall, before forwarding it as the recommendation to the Board, reformat the proposed revised standardized baseline and send it to the two selected panel or working group members or to the relevant panel or working group, whichever considered it last. Upon receipt of an agreement on the reformatted revised standardized baseline from the two selected panel or working group members, or from the relevant panel or working group, as applicable, the secretariat shall communicate the reformatted revised standardized baseline to the DNA and the proponent. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt thereof. If the DNA does not respond by this deadline, the forwarding of the recommendation to the Board may be delayed accordingly. If the DNA does not accept the reformatted revised standardized baseline and/or requests modification to it in its response, the secretariat shall forward the reformatted revised standardized baseline and the response from the DNA to the two selected panel or working group members, or to the relevant panel or working group, whichever considered the draft recommendation last. In this case, taking into account the DNA's response, the two selected panel or working group members shall finalize the reformatted revised standardized baseline within seven days of receipt thereof, or the relevant panel or working group shall finalize the reformatted revised standardized baseline at its next meeting, as applicable.

#### **6.1.7. Consideration by the Board**

97. If no member of the Board objects to the recommendation received in accordance with paragraphs 87, 92 or 95 above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Board.
98. 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.

99. If a member of the Board objects to the recommendation 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.
100. If the Board considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
- (a) To approve the proposed revised standardized baseline, indicating that:
    - (i) The revision is a major revision; or
    - (ii) The revision is a minor revision;
  - (b) Not to approve the proposed revised standardized baseline;
  - (c) To continue the consideration of the proposed revised standardized baseline at the next Board meeting; or
  - (d) To request a relevant panel or working group to review the recommendation and provide guidance on the issues for the review.
101. Once a decision has been made by the Board, the secretariat shall inform the DNA and the proponent of the decision and any guidance provided by the Board as applicable, and make the decision and guidance publicly available on the UNFCCC CDM website.
102. If the proposed revised standardized baseline is not approved, the DNA or any other DNA of Parties for which the revised standardized baseline is proposed may at any time resubmit a proposed revised standardized baseline with revised documentation. Upon submission of the revised documentation the submission shall be treated as a new submission of a proposed revised standardized baseline.

## **6.2. Top-down process**

### **6.2.1. Initiation**

103. The Board may, taking into account the principles for revisions referred to in appendix 3 to this Procedure, decide to revise an approved standardized baseline at any time. If the Board decides to revise an approved standardized baseline, the Board shall also decide to either:
- (a) Put on hold the approved standardized baseline with immediate effect. In this case, DOEs shall not submit, through a dedicated interface on the UNFCCC CDM website, any project design document (PDD) or programme of activities design document (PoA-DD) for global stakeholder consultation, any request for registration or any request for renewal of crediting period of a project activity or PoA applying the approved standardized baseline from the day following the date of publication of the Board's meeting report containing the decision;
  - (b) Put on hold the approved standardized baseline with a grace period of 28 days. In this case, DOEs shall not submit, through a dedicated interface on the UNFCCC CDM website, any PDD or PoA-DD for global stakeholder consultation, any request for registration or any request for renewal of crediting period of a project activity or PoA applying the approved standardized baseline any more than 28 days following the date of publication of the Board's meeting report containing the decision; or

- (c) Maintain the current version of the approved standardized baseline until the expiry of its validity in accordance with section 9 below.

104. A relevant panel or working group, or the secretariat, may, taking into account the principles for revisions referred to in appendix 3 to this Procedure, at any time propose that the Board revise an approved standardized baseline. If the panel or working group or the secretariat considers that the current version of the approved standardized baseline should be put on hold, it shall recommend so to the Board. In these cases, the Board shall consider the proposal and/or the recommendation, and decide whether to revise and/or to put on hold the current version of the approved standardized baseline in accordance with paragraph 103 above.

### **6.2.2. Preparation of draft revised standardized baseline**

105. If the Board decides to revise an approved standardized baseline in accordance with paragraphs 103 or 104 above, the secretariat shall communicate the decision to the DNA(s) of the Party(ies) for which a revised standardized baseline will be proposed and seek its(their) agreement to the initiation of the revision. Following receipt of the agreement with the DNA(s) using the "Approved standardized baseline revision agreement" form (CDM-ASRA-FORM), the secretariat shall prepare a draft revised standardized baseline using the "Approved standardized baseline revision" form (CDM-ASRD-FORM).

106. In preparing the draft revised standardized baseline, the secretariat may draw upon external expertise, depending on the technical complexity of the revision and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.

107. The secretariat shall select two members of a relevant panel or working group and forward the draft revised standardized baseline to them.

### **6.2.3. Consideration by selected members of panel or working group**

108. The two selected members of the relevant panel or working group shall, within seven days of receipt of the draft revised standardized baseline, independently assess the draft revised standardized baseline, and inform the secretariat of their recommendation indicating one of the following courses of action:

- (a) To approve the draft revised standardized baseline, indicating that:
  - (i) The revision is a major revision; or
  - (ii) The revision is a minor revision;
- (b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA(s); or
- (c) To request that the draft revised standardized baseline be considered by the relevant panel or working group.

109. If both of the selected members of the relevant panel or working group recommend that the draft revised standardized baseline be approved indicating that the revision is either major or minor, the secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.

110. If both of the selected members of the relevant panel or working group recommend that the draft revised standardized baseline requires further input from the DNA(s), the secretariat shall notify the DNA(s) accordingly. The DNA(s) should submit the requested input within 28 days of the notification. If the DNA(s) fails to provide the requested input within the deadline, the secretariat shall suspend processing the development until it receives the requested input.
111. The secretariat shall assess the further input submitted by the DNA(s). If the secretariat finds that it is still not sufficient to develop the draft revised standardized baseline, the secretariat may initiate a direct communication with the DNA(s) via e-mail or telephone conference to clarify remaining issues.
112. The secretariat shall revise the draft revised standardized baseline taking into account the further input and direct communication with the DNA(s), as applicable. The secretariat shall forward the revised draft revised standardized baseline to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 109 above or 113–117 below shall follow.

#### **6.2.4. Consideration by panel or working group**

113. If at least one selected member of the relevant panel or working group requests that the draft revised standardized baseline be considered by the relevant panel or working group, the secretariat shall forward the draft revised standardized baseline to the relevant panel or working group. The relevant panel or working group shall consider the draft revised standardized baseline at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
114. The relevant panel or working group shall finalize the draft revised standardized baseline within two meetings, unless it finds that further input from the DNA(s) or guidance from the Board is required. In case further input from the DNA(s) or guidance from the Board is sought, the relevant panel or working group shall finalize the draft revised standardized baseline at the meeting immediately following receipt of such input or guidance. The secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.
115. If the relevant panel or working group finds that further input from the DNA(s) is required, the secretariat shall notify the DNA(s) accordingly. In this case, the DNA(s) should submit the requested input within 28 days of the notification. If the DNA(s) fails to submit the requested input within the deadline, the secretariat shall suspend the development of the draft revised standardized baseline any further until it receives the requested input.
116. The secretariat shall assess the further input submitted by the DNA(s). If the secretariat finds that the further input is still not sufficient to develop the draft revised standardized baseline, the secretariat may initiate a direct communication with the DNA(s) via e-mail or telephone conference to clarify remaining issues.
117. The secretariat shall revise the draft revised standardized baseline taking into account the further input and direct communication with the DNA(s), as applicable. The secretariat shall forward the revised draft revised standardized baseline to the relevant panel or working group for its final consideration. The relevant panel or working group shall finalize the draft revised standardized baseline. The secretariat shall forward it to the Board and make it publicly available on the UNFCCC CDM website.

### **6.2.5. Finalization of draft revised standardized baseline**

118. Before forwarding the draft revised standardized baseline in accordance with paragraph 109, 114 or 117 above, the secretariat shall communicate the draft revised standardized baseline to the DNA(s). The DNA(s) shall confirm that it is acceptable or request modifications to it within 14 days of receipt thereof. If the DNA(s) does not respond by this deadline, the forwarding of the draft revised standardized baseline to the Board may be delayed accordingly. If the DNA(s) does not accept the draft revised standardized baseline and/or requests modification to it in its response, the secretariat shall forward the draft revised standardized baseline and the response from the DNA(s) to the two selected panel or working group members, or to the relevant panel or working group, whichever considered the draft revised standardized baseline last. In this case, taking into account the response of the DNA(s), the two selected panel or working group members shall finalize the draft revised standardized baseline within seven days of receipt thereof, or the relevant panel or working group shall finalize the draft revised standardized baseline at its next meeting, as applicable.

### **6.2.6. Consideration by the Board**

119. If no member of the Board objects to approving the draft revised standardized baseline received in accordance with paragraphs 109, 114 or 117 above within 28 days of receipt of the draft revised standardized baseline, the draft revised standardized baseline shall be deemed to be approved by the Board.

120. 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.

121. If a member of the Board objects to approving the draft revised standardized baseline 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.

122. If the Board considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:

(a) To approve the draft revised standardized baseline, indicating that:

(i) The revision is a major revision; or

(ii) The revision is a minor revision;

(b) Not to approve the draft revised standardized baseline;

(c) To continue the consideration of the draft revised standardized baseline at the next Board meeting; or

(d) To request a relevant panel or working group to review the draft revised standardized baseline and provide guidance on the issues for the review.

123. Once a decision has been made by the Board, the secretariat shall inform the DNA(s) of the decision and any guidance provided by the Board as applicable, and make the decision and guidance publicly available on the UNFCCC CDM website.



### **6.2.7. Other**

124. The secretariat may propose an editorial revision to an approved standardized baseline at any time. In this case, the secretariat shall submit a draft revised standardized baseline to the Chair of the Board for his/her review. If the Chair agrees to the draft revised standardized baseline, the secretariat shall publish the revised standardized baseline on the UNFCCC CDM website. The editorial revision shall be noted in the report of the next meeting of the Board.

## **7. Clarification of standardized baseline**

### **7.1. Bottom-up process**

#### **7.1.1. Submission of request for clarification**

125. The project participants of a planned CDM project activity or PoA, the coordinating/managing entity of a planned CDM PoA, a DOE, a DNA or any other stakeholder (hereinafter in section 7.1 referred to as the enquirer) may, taking into account the principles for clarifications referred to in appendix 3 to this Procedure, request clarification of an approved standardized baseline, by submitting the duly completed "Approved standardized baseline clarification request" form (CDM-ASC-FORM) to the secretariat through a specified e-mail account made available on the UNFCCC CDM website.

#### **7.1.2. Initial assessment**

126. The secretariat shall give notice of the receipt of the request for clarification to the DNA(s) of a Party(ies) to which the approved standardized baseline applies within seven days of receipt thereof.
127. The secretariat shall undertake an initial assessment of the submission using the "Approved standardized baseline clarification request initial assessment" form (CDM-ASCA-FORM) within 21 days of receipt of the submission, to determine whether:
- (a) The CDM-ASC-FORM, including the name and contact details of the enquirer, has been duly completed; and
  - (b) The submission is categorized either that:
    - (i) It does not involve any regulatory and/or technical ambiguity, or involves only simple regulatory and/or technical issues, hence requires no analysis or only a simple analysis to formulate a clarification; or
    - (ii) It involves complex regulatory and/or technical issues and/or has the potential to apply to multiple versions of the approved standardized baseline, hence requires a thorough analysis to formulate a clarification.
128. If the secretariat finds that the submission is incomplete, it shall request the enquirer to submit the missing or revised documents and/or information. In this case, the enquirer shall submit the requested documents and/or information to the secretariat within five days of receipt of the request. If the enquirer does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the submission is incomplete.

129. Upon conclusion of the initial assessment, the secretariat shall notify the enquirer of the conclusion of the initial assessment. If the submission is concluded as incomplete in accordance with paragraph 128 above, the secretariat shall communicate the underlying reasons to the enquirer. In this case, the enquirer may resubmit the request for clarification with revised documentation at any time. Upon submission, the revised documentation shall be treated as a new submission of a request for clarification under this Procedure.

### **7.1.3. Fast track**

130. If the submission is determined as being the case referred to in paragraph 127(b)(i) above, the secretariat shall prepare a clarification using the "Approved standardized baseline clarification response" form (CDM-ASCR-FORM) and send it to the enquirer and the DNA(s) within nine days of the successful conclusion of the initial assessment.
131. In preparing the clarification, the secretariat may consult with the relevant panel or working group. In this case, the timeline referred to in paragraph 130 above shall not apply. The secretariat shall send a draft clarification to the relevant panel or working group within nine days of the successful conclusion of the initial assessment. If no member of the panel or working group objects to the draft clarification within seven days of receipt of the draft clarification, the clarification shall be deemed finalized by the panel or working group. If a member of the panel or working group objects to the draft clarification, the case shall be placed on the agenda of the next meeting of the panel or working group. At the meeting where the case is placed on the agenda, the panel or working group shall make every effort to finalize the clarification within one meeting.
132. The secretariat shall publish the clarification on the UNFCCC CDM website.

### **7.1.4. Regular track**

133. If the submission is determined as being the case referred to in paragraph 127(b)(ii) above, the secretariat shall prepare a draft recommendation of a clarification to the relevant panel or working group using the CDM-ASCR-FORM.
134. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the issues in question and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.
135. The secretariat shall select one member of the relevant panel or working group and forward the draft recommendation to him/her for review. The selected member shall provide input on the draft recommendation within three days of receipt thereof.
136. The secretariat may also forward the draft recommendation to the DNA(s) of a Party(ies) to which the standardized baseline applies for review. In this case, the DNA(s) shall provide input on the draft recommendation within seven days of receipt thereof.
137. The secretariat shall finalize the recommendation, taking into account the input from the selected member and the DNA(s) as applicable, and submit it to the relevant panel or working group for consideration.
138. The relevant panel or working group shall consider the recommendation, finalize the recommendation to the Board and publish it in its corresponding meeting report, indicating the version(s) of the approved standardized baseline to which the clarification applies. The

relevant panel or working group shall make every effort to finalize the recommendation within one meeting.

139. At the Board meeting for which the recommendation to the Board is placed on the agenda, the Board shall decide to either:
- (a) Approve the recommended clarification; or
  - (b) Request the relevant panel or working group to review the recommendation to the Board and provide guidance on the issues for review.
140. If the Board approves the clarification, the secretariat shall send the finalized clarification to the enquirer and the DNA(s).
141. The secretariat shall publish the clarification on the UNFCCC CDM website.

#### **7.1.5. Other**

142. At any step before the clarification is finalized in accordance with paragraphs 130, 131 or 139(a) above, the secretariat may request the enquirer to provide additional information regarding the request for clarification within a defined time frame to facilitate the assessment by the secretariat and/or the consideration by the relevant panel or working group. If such information significantly affects the outcome of the consideration, the secretariat shall make the information publicly available on the UNFCCC CDM website.

### **7.2. Top-down process**

143. If the Board, a relevant panel or working group, or the secretariat finds it necessary, taking into account the principles for clarifications referred to in appendix 3 to this Procedure, to clarify provisions of an approved standardized baseline, the process to revise the approved standardized baseline as defined in section 6.2 shall be followed. In this case, the draft revised standardized baseline shall incorporate all relevant clarifications issued prior to the revision.

## **8. Update of standardized baseline**

### **8.1. Bottom-up process**

#### **8.1.1. Submission of proposed updated standardized baseline**

144. A proponent may propose an updated standardized baseline through the DNA of a Party for which the updated standardized baseline is proposed. The DNA should subsequently submit the proposed updated standardized baseline to the secretariat.
145. Where the proposed updated standardized baseline is developed for a group of Parties, it shall be approved by the DNAs of all these Parties. In this case, following the receipt of approval from all these DNAs, any one of the DNAs shall submit the proposed updated standardized baseline to the secretariat in accordance with this Procedure.
146. The DNA submitting the proposed updated standardized baseline shall submit the following documentation to the secretariat through a specified e-mail account made

available on the UNFCCC CDM website between 270 to 180 days prior to the date when the validity of the current standardized baseline expires:

- (a) The duly completed “Approved standardized baseline update request form” (CDM-ASU-FORM);
  - (b) The proposed updated standardized baseline, highlighting the proposed changes to the approved standardized baseline;
  - (c) All additional documentation supporting the submission (e.g. relevant data and documents including a quality control report, statistics, studies, etc.), where applicable. Data used to establish the proposed updated standardized baseline shall be provided in a sector-specific data template in accordance with paragraph 15(b) above;
  - (d) An assessment report on the proposed updated standardized baseline containing the information referred to in paragraph 17 above;
  - (e) Letters of approval on the proposed updated standardized baseline from all the DNAs of the Parties to which it applies, where it applies to a group of Parties.
147. The assessment report referred to in paragraph 146(d) above shall be prepared by a DOE contracted by either the DNA or any other entity under agreement with the DNA.
148. The secretariat shall make every effort to inform the DNA(s) in advance of the period for requesting update of the approved standardized baseline. It remains the responsibility of the DNA(s) to ensure that all actions are taken in accordance with this section of the Procedure in a timely manner.
149. No fee shall be payable to the secretariat for the submission of the proposed updated standardized baseline.

#### **8.1.2. Initial assessment**

150. The secretariat shall undertake an initial assessment of the submission using the “Approved standardized baseline update request initial assessment form (CDM-ASUA-FORM)” within 21 days of receipt of the submission. The secretariat shall assess whether:
- (a) The CDM-ASU-FORM, including the name and contact details of the proponent, has been duly completed;
  - (b) The proposed updated standardized baseline was derived from the same approach as the one used in the approved standardized baseline that is being proposed to be updated;
  - (c) The proposed updated standardized baseline, if developed using the approach referred to in paragraph 10(b) or 10(c) above, does not require revision to the underlying approved methodology or methodological tool. If it requires such revision, the secretariat shall propose that the Board carry out the revision through the top-down process in accordance with the “Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools”;

- (d) The DNA has submitted all the information required for consideration of the proposed updated standardized baseline (e.g. studies referred to in the proposed updated standardized baseline documents);
  - (e) An assessment report was submitted containing the information as referred to in paragraph 17 above.
151. The secretariat shall inform the DNA and the proponent of the outcome of the initial assessment. If the secretariat finds that the required documentation or information is incomplete, it shall notify the DNA and the proponent accordingly. In this case, the DNA should provide the missing documents or information within 42 days of the notification.
152. The secretariat shall conclude the initial assessment within 14 days of receipt of missing documents or information and inform the DNA and the proponent of the conclusion of the initial assessment. If the DNA fails to provide the missing documents or information within the deadline, the secretariat shall suspend processing the submission until it receives the missing documents or information.
153. Upon successful conclusion of the initial assessment, the secretariat shall assign a reference number to the proposed updated standardized baseline and make the submitted documentation publicly available on the UNFCCC CDM website with the exception of information declared confidential and/or proprietary by the DNA. Aggregated data and information used to derive the standardized baseline shall not be considered confidential or proprietary.

### **8.1.3. Preparation of draft recommendation**

154. Within 28 days of the successful conclusion of the initial assessment, the secretariat shall prepare a draft recommendation on the proposed updated standardized baseline using either:
- (a) The “Approved standardized baseline update recommendation form” (CDM-ASUR-FORM) for a recommended course of action referred to in paragraph 155(a) or 155(c) below; or
  - (b) The CDM-ASU-FORM for a recommended course of action referred to in paragraph 155(b) below.
155. The secretariat shall include in its draft recommendation one of the following courses of action:
- (a) To approve the proposed updated standardized baseline;
  - (b) To request further input (e.g. additional information or modification to the submitted documentation) from the DNA and the proponent; or
  - (c) Not to approve the proposed updated standardized baseline.
156. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the proposed updated standardized baseline and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.

157. The secretariat shall select two members of a relevant panel or working group and forward its draft recommendation to them.

#### **8.1.4. Consideration by selected members of panel or working group**

158. The two selected members of the relevant panel or working group shall, within seven days of receipt of the draft recommendation, independently assess the proposed updated standardized baseline and the draft recommendation, and inform the secretariat of the outcome of their assessment.
159. If both of the selected members of the relevant panel or working group agree to the draft recommendation to approve or not to approve the proposed updated standardized baseline, the secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.
160. If both of the selected members of the relevant panel or working group agree to the draft recommendation that the proposed updated standardized baseline requires further input from the DNA, the secretariat shall notify the DNA and the proponent accordingly using the CDM-ASU-FORM. The DNA should submit the requested input within 28 days of the notification. All the input shall be highlighted in the CDM-ASU-FORM. If the DNA fails to provide the requested input within the deadline, the secretariat shall suspend processing the submission until it receives the requested input.
161. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to recommend that the proposed updated standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or telephone conference to clarify remaining issues.
162. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the two selected members of the relevant panel or working group for their consideration. In this case, the steps in paragraphs 159 or 163–167 below shall follow.

#### **8.1.5. Consideration by panel or working group**

163. If at least one selected member of the relevant panel or working group disagrees with the draft recommendation or requests that it be considered by the relevant panel or working group, the secretariat shall forward the draft recommendation to the relevant panel or working group. The relevant panel or working group shall consider the proposed updated standardized baseline and the draft recommendation at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the subsequent meeting.
164. The relevant panel or working group shall finalize its consideration within two meetings, unless it finds that further input from the DNA or guidance from the Board is required. In case further input from the DNA or guidance from the Board is sought, the relevant panel or working group shall finalize its consideration at the meeting immediately following receipt of such input or guidance. In its finalization of consideration, the relevant panel or working group shall conclude to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.

165. If the relevant panel or working group finds that further input from the DNA is required, the secretariat shall notify the DNA and the proponent accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA fails to submit the requested input within the deadline, the secretariat shall suspend processing the submission until it receives the requested input.
166. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to recommend that the proposed updated standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or telephone conference to clarify remaining issues.
167. The secretariat shall revise the draft recommendation taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the relevant panel or working group for its final consideration. The relevant panel or working group shall conclude to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Board and make it publicly available on the UNFCCC CDM website.

#### **8.1.6. Preparation of draft updated standardized baseline**

168. If the draft recommendation is to approve the proposed updated standardized baseline in accordance with paragraph 159, 164 or 167 above, the secretariat shall, before forwarding it as the recommendation to the Board, reformat the proposed updated standardized baseline and send it to the two selected panel or working group members or to the relevant panel or working group, whichever considered it last. Upon receipt of an agreement on the reformatted updated standardized baseline from the two selected panel or working group members, or from the relevant panel or working group, as applicable, the secretariat shall communicate the reformatted updated standardized baseline to the DNA and the proponent. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt thereof. If the DNA does not respond by this deadline, the forwarding of the recommendation to the Board may be delayed accordingly. If the DNA does not accept the reformatted updated standardized baseline and/or requests modification to it in its response, the secretariat shall forward the reformatted updated standardized baseline and the response from the DNA to the two selected panel or working group members, or to the relevant panel or working group, whichever considered the draft recommendation last. In this case, taking into account the DNA's response, the two selected panel or working group members shall finalize the reformatted updated standardized baseline within seven days of receipt thereof, or the relevant panel or working group shall finalize the reformatted updated standardized baseline at its next meeting, as applicable.

#### **8.1.7. Consideration by the Board**

169. If no member of the Board objects to the recommendation received in accordance with paragraphs 159, 164 or 167 above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Board.
170. 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.

171. If a member of the Board objects to the recommendation 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.
172. If the Board considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
- (a) To approve the proposed updated standardized baseline;
  - (b) Not to approve the proposed updated standardized baseline;
  - (c) To continue the consideration of the proposed baseline at the next Board meeting; or
  - (d) To request a relevant panel or working group to review the recommendation and provide guidance on the issues for the review.
173. Once a decision has been made by the Board, the secretariat shall inform the DNA and the proponent of the decision and any guidance provided by the Board as applicable, and make the decision and guidance publicly available on the UNFCCC CDM website.
174. If the proposed updated standardized baseline is not approved, the DNA or any other DNA of Parties for which the updated standardized baseline is proposed may at any time resubmit a proposed updated standardized baseline with revised documentation. Upon submission of the revised documentation, the submission shall be treated as a new submission of a proposed updated standardized baseline.

## **9. Validity of new, updated and revised standardized baselines**

175. The reference number of an approved new standardized baseline shall indicate the year when the standardized baseline comes into force (e.g. ASB0003-2013). The approved new or revised standardized baseline shall come into force from the date of its publication on the UNFCCC CDM website. From this date, a project activity or PoA may apply the approved new or revised standardized baseline for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period, in accordance with the “CDM project cycle procedure”.
176. The year indicated in the reference number of an approved standardized baseline shall be replaced by the year when an updated standardized baseline comes into force (e.g. ASB0003-2013 replaced by ASB0003-2016) if the Board approves the updated standardized baseline in accordance with paragraph 172(a) above. The version number of the updated standardized baseline shall also be reset to 01.0 (e.g. from 02.1 to 01.0). The updated standardized baseline shall come into force immediately after the expiry of the validity of the standardized baseline for the previous period for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period in accordance with the “CDM project cycle procedure”. If a PDD or PoA-DD applying the standardized baseline for the previous period has already been published for global stakeholder consultation, the project participants or the coordinating/managing entity shall revise the PDD or PoA-DD applying the updated standardized baseline. In this case, the DOE shall not publish the revised PDD or PoA-DD for global stakeholder consultation, but



submit it when it submits a request for registration unless otherwise decided by the Board when it approves the updated standardized baseline.

177. The version number of an approved standardized baseline shall increase by one whole number (e.g. from 01.0 to 02.0) if the Board approves a revised standardized baseline indicating that it is a major revision in accordance with paragraph 100(a)(i) or 122(a)(i) above. In this case, for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period in accordance with the “CDM project cycle procedure”:

- (a) A project activity or PoA may still apply the previous version:
  - (i) Until the 240<sup>th</sup> day from the date when the revised version becomes effective unless the previous version has been put on hold by the Board in accordance with paragraph 103(a) or 103(b) above, if the remaining validity—of the standardized baseline for the current period is longer than this 240-day period; or
  - (ii) Until the validity of the standardized baseline for the current period expires unless the previous version has been put on hold by the Board in accordance with paragraph 103(a) or 103(b) above, if the remaining validity of the standardized baseline for the current period is no longer than this 240-day period; and
- (b) A project activity or PoA shall apply the revised version after this 240-day period, or immediately after its adoption if the previous version has been put on hold in accordance with paragraph 103(a) or 103(b) above, as applicable, for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period in accordance with the “CDM project cycle procedure”. If a PDD or PoA-DD applying the previous version has already been published for global stakeholder consultation, the project participants or coordinating/managing entity shall revise the PDD or PoA-DD applying the revised version. In this case, the DOE shall not publish the revised PDD or PoA-DD for global stakeholder consultation, but submit it when it submits a request for registration unless otherwise decided by the Board when it approves the revised standardized baseline.

178. The version number of an approved standardized baseline shall increase by one fractional number in the first decimal place (e.g. from 01.0 to 01.1) if the Board approves a revised standardized baseline indicating that it is a minor revision in accordance with paragraph 100(a)(ii) or 122(a)(ii) above, or if an editorial revision to an approved standardized baseline has been made in accordance with paragraph 124 above. In this case, for the purpose of publication of a PDD or PoA-DD for global stakeholder consultation, submission of a request for registration, or submission of a request for renewal of crediting period in accordance with the “CDM project cycle procedure”, a project activity or PoA may still apply the previous version or any earlier version of minor revision:

- (a) Until the 240<sup>th</sup> day from the date when the next major revision becomes effective unless the previous or earlier version(s) has been put on hold by the Board in accordance with paragraph 103(a) or 103(b) above, if the remaining validity of the standardized baseline for the current period after the next major revision is longer than this 240-day period; or

- (b) Until the validity of the standardized baseline for the current period expires unless the previous version has been put on hold by the Board in accordance with paragraph 103(a) or 103(b) above, if the remaining validity of the standardized baseline after the next major revision is no longer than this 240-day period.

## **Appendix 1. Modalities for publication of sector-specific data templates for establishing standardized baselines**

### **1. General**

1. Parties, project participants, designated operational entities (DOEs), international industry organizations or admitted observer organizations (hereinafter referred to as the proponent) may propose a new sector-specific data template, or request a revision to, or clarification of, any currently valid sector-specific data template published on the UNFCCC CDM website, for the purpose of proposing a new, revised or updated standardized baseline.

### **2. Proposal of new sector-specific data template**

2. If a proposed standardized baseline is developed using the approach of the “Guidelines for the establishment of sector specific standardized baseline” in accordance with paragraph 10(a) of (the main part of) this Procedure, and if no applicable sector-specific data template is available on the UNFCCC CDM website at the time of data collection for the proposed standardized baseline, a proponent shall submit a proposed new sector-specific data template to the secretariat through a specified e-mail account made available on the UNFCCC CDM website prior to the submission of the standardized baseline.
3. The proposed data template shall be developed based on sector-specific situations and mitigation measures. The proposed data template shall consist of the following sections:
  - (a) Introduction – definitions of key terminologies, assumptions and/or approaches used for the development of the data template as well as its applicable sectors;
  - (b) Input data – lists of relevant data and, if applicable, measurement procedures and instrumentation, with consistent format and clear description in accordance with the “Standard: Determining coverage of data and validity of standardized baselines” and the “Guideline: Quality assurance and quality control of data used in the establishment of standardized baselines”;
  - (c) Reference – name(s) of reference(s) or reviewers if reference(s) are used or expert reviews are conducted for the development of the data template.
4. The proponent may include in the data template the algorithm and/or processing of input data for the establishment of a standardized baseline.
5. The secretariat shall conduct an initial assessment using the “Data template initial assessment” form (CDM-DT-IA-FORM) within seven days of receipt of the submission, to determine whether:
  - (a) The proposed data template contains all the sections specified in paragraph 3 of this appendix;
  - (b) Complex sectoral and/or technical issues are involved.

6. If the submission is deemed incomplete, the secretariat shall request the proponent to submit the missing information or revise the data template. The proponent shall submit to the secretariat the missing information or revised data template within 14 days of receipt of the request.
7. Once the submission is deemed complete, and if considered necessary, the secretariat may select a maximum of two experts from the Methodologies Roster of Experts and forward the submission to the expert(s). If the secretariat does not find any suitable and available expert on the roster, it may use the services of experts not included on the roster. The expert(s) and the secretariat shall jointly prepare a recommendation on the proposed data template within 28 days of the successful conclusion of the initial assessment. If the secretariat does not select an expert, it shall prepare a recommendation within 21 days of the successful conclusion of the initial assessment.
8. The recommendation shall include one of the following courses of action:
  - (a) Publish the proposed data template;
  - (b) Request modifications to the data template with recommended modifications; or
  - (c) Reject the proposed data template.
9. If the recommendation is to request modifications to the data template, the secretariat shall communicate the recommendation to the proponent. The proponent shall submit to the secretariat a modified data template based on the recommended modifications within 14 days of receipt of the recommendation.
10. Within 14 days of receipt of the modified data template, the secretariat shall make a final decision: either the publication or the rejection of the proposed data template. If no response is received from the proponent within the deadline referred to in paragraph 9 of this appendix and no further communication with the proponent is feasible (e.g. due to withdrawal or no response), the secretariat may decide to modify the data template without consultation with the proponent if the data template has a broad applicability.
11. The secretariat shall communicate the final decision to the proponent. If the decision is to publish the proposed or modified data template, the secretariat shall make it publicly available on the UNFCCC CDM website.

### **3. Request for revision to published sector-specific data template**

12. A proponent may submit to the secretariat through a specified e-mail account made available on the UNFCCC CDM website a request for revision to a published sector-specific data template.
13. The proponent shall provide the secretariat with a proposed revised data template and explain the reasons that initiated the revision request.
14. The secretariat shall conduct an assessment on whether the proposed revised data template contains all the sections specified in paragraph 3 of this appendix within seven days of receipt of the submission.
15. If the submission is deemed incomplete, the secretariat shall request the proponent to submit missing information or revise the data template. The proponent shall submit to the

- secretariat the missing information or revised data template within 14 days of receipt of the request.
16. Once the submission is deemed complete, and if considered necessary, the secretariat may select one expert from the Methodologies Roster of Experts and forward the submission to the expert. If the secretariat does not find any suitable and available expert on the roster, it may use the services of an expert not included on the roster. The expert and the secretariat shall jointly prepare a recommendation on the revision to the data template within 21 days of successful conclusion of the assessment. If the secretariat does not select an expert, it shall prepare a recommendation within 14 days of the successful conclusion of the assessment.
  17. The recommendation shall include one of the following courses of action:
    - (a) Publish the proposed revision of the data template;
    - (b) Request modifications to the revised data template with recommended modifications; or
    - (c) Reject the proposed revision of the data template.
  18. If the recommendation is to request modifications to the revised data template, the secretariat shall communicate the recommendation to the proponent. The proponent shall submit to the secretariat a modified revised data template based on the recommended modification within 14 days of receipt of the recommendation.
  19. Within seven days of receipt of the modified revised data template, the secretariat shall make a final decision: either the publication or rejection of the proposed revised data template. If no response is received from the proponent within the deadline referred to in paragraph 18 of this appendix and no further communication with the proponent is feasible, the secretariat may decide to modify the data template without consultation with the proponent.
  20. The secretariat shall communicate the final decision to the proponent. If the decision is to publish the proposed or modified revised data template, the secretariat shall make it publicly available on the UNFCCC CDM website.

#### **4. Request for clarification of published sector-specific data template**

21. A proponent may submit to the secretariat through a specified e-mail account made available on the UNFCCC CDM website a request for clarification of a published sector-specific data template.
22. The secretariat shall provide the proponent with a response within 14 days of receipt of the clarification request.
23. The secretariat shall make publicly available all clarifications issued by the secretariat on the UNFCCC CDM website.

## **Appendix 2. Modalities for funding for preparation of assessment reports for establishment of standardized baselines**

### **1. Selection of designated operational entity to prepare assessment report**

1. A designated national authority (DNA) of a Party that had 10 or fewer registered clean development mechanism (CDM) project activities as of 31 December 2010, or represents a group of Parties, each of which had 10 or fewer registered CDM project activities as of 31 December 2010, that wishes to receive funding for the preparation of the assessment report referred to in paragraph 15(c) of (the main part of) this Procedure shall request funding by submitting the following documentation to the secretariat:
  - (a) A duly completed "Request for funding for assessment report form" (CDM-RF-FORM);
  - (b) Copies of letters sent to at least three designated operational entities (DOEs), either by the DNA or the entity under the agreement with the DNA, inviting them to present an offer to prepare the assessment report. The letters of invitation shall request the DOEs to include in the offer a breakdown of estimated time assigned to the task, personnel costs for their services and any other estimated expenses to be incurred by the DOE in preparing the assessment report. The letters of invitation shall also set a closing date for the receipt of the offers;
  - (c) The responses to the letters received and/or, if applicable, confirmation that no response was received on time from any one or more of the DOEs invited to present offers;
  - (d) A justification for the selection of one of the DOEs that made an offer to prepare the assessment report;
  - (e) Contact data (including payment details) of the DOE selected by the DNA for preparation of the assessment report.
2. Within 21 days of receipt of the submission from the DNA, the secretariat shall check whether the submission is complete.
3. If the secretariat finds that the submission is incomplete, it shall accordingly inform the DNA and request it to submit any missing documents or information to the secretariat within 10 days.
4. If the missing documents or information are not submitted within the deadline referred to in paragraph 3 of this appendix, the secretariat shall suspend processing the request for funding until it receives the missing documents or information.
5. The secretariat shall grant the funding for the first three funding requests for each Party that is eligible for funding in accordance with paragraph 1 of this appendix.
6. The secretariat shall grant the funding for all funding requests for a group of Parties wherein all are eligible for funding in accordance with paragraph 1 of this appendix.

7. The secretariat shall monitor the operation of the modalities in this appendix, and report to the Board thereon. Based on this information, the Board may at any time, and shall in any event no later than two years after the adoption of the modalities, review the progress on the development of standardized baselines, and if appropriate, may modify the provisions set out in paragraphs 5 and/or 6 of this appendix with a view to establishing criteria for further funding, taking into account the applicability of standardized baselines and resource implications.
8. The maximum funding shall be USD 20,000 for each funding request. For a funding request submitted for a group of Parties, the maximum funding shall be USD 20,000 plus USD 5,000 per additional Party.

## **2. Agreement between DNA and the secretariat**

9. Within 14 days of receipt of the complete submission of the documentation, the secretariat shall prepare an "Agreement for funding for preparation of assessment report for submission of standardized baseline" (CDM-FA-FORM) (the Agreement), including the provisions on the amount to be funded and the deadline for the submission by the DNA of the documents referred to in paragraph 11 of this appendix.
10. The Agreement shall be signed by the DNA, by the Party if appropriate, and by the secretariat to make the funding effective.

## **3. Submission of assessment report and payment of funding**

11. The secretariat shall disburse the approved funding to the DOE's bank account notified by the DNA in accordance with paragraph 1 of this appendix within 14 days of the DNA's submission to the secretariat of all of the following documents:
  - (a) The assessment report;
  - (b) Final invoice for the preparation of the assessment report, issued by the DOE and addressed to the DNA;
  - (c) A duly completed "Proposed standardized baseline submission form" (CDM-PSB-FORM) referred to in paragraph 11 of (the main part of) this Procedure (if the assessment report contains a positive assessment opinion as referred to in paragraph 17 of (the main part of) this Procedure);
  - (d) All additional documentation supporting the submission as per paragraph 15(b) of (the main part of) this Procedure (if the assessment report contains a positive assessment opinion as referred to in paragraph 17 of (the main part of) this Procedure).
12. If the DNA does not submit the documents referred to in paragraph 11 of this appendix within the deadline specified in the Agreement, the secretariat may grant an additional period of 30 days to proceed with the submission. If the DNA still does not submit the documents within the extended deadline, the secretariat shall not disburse the funding and notify the DNA accordingly.
13. For any disbursed funding regardless of the conclusion (positive or negative assessment opinion) of the assessment report, or no disbursement of funding due to the DNA's failure to submit the documents in accordance with paragraph 12 of this appendix, the

corresponding application for funding made by the DNA shall be counted as one of the three submissions of standardized baselines that can qualify for funding in accordance with paragraph 5 of this appendix.



## **Appendix 3. Principles for revision and clarification of standardized baselines**

### **1. Background**

1. This appendix provides guiding principles for initiating a revision to an approved standardized baseline and for initiating a (request for) clarification of an approved standardized baseline.

### **2. Principle for revision**

2. A revision is the modification of an approved standardized baseline in order to improve it or broaden its scope and applicability.
3. A revision of an approved standardized baseline may be initiated if one or more of the following conditions apply:
  - (a) New or generally accepted scientific evidence indicates that emission reductions or removal enhancements will be overestimated or underestimated based on the approved standardized baseline or that the reductions or enhancements may not be real, measurable and verifiable;
  - (b) The applicability conditions require broadening to include more potential project activity types or conditions for use;
  - (c) There are identified inconsistencies, errors and/or ambiguities in the language and/or formulae used within the approved standardized baseline;
  - (d) Further simplification (e.g. default values) is required to improve the user-friendliness of the approved standardized baseline;
  - (e) Key issues clarified through a request for clarification of the approved standardized baseline in accordance with section 7 of this Procedure are required to be incorporated in the approved standardized baseline;
  - (f) There are changes to the additionality demonstration, baseline and/or baseline emission factors as determined in the approved standardized baseline.

### **3. Principles for clarification**

4. A clarification on an approved standardized baseline is to clarify:
  - (a) The applicability of the approved standardized baseline;
  - (b) Various procedures provided in the approved standardized baseline, inter alia, for identifying the baseline scenario, demonstrating additionality and estimating baseline emission factors; or
  - (c) Monitoring data and procedures provided in the approved standardized baseline.

5. A clarification on an approved standardized baseline may be requested if:
- (a) Any of the provisions of the approved standardized baseline are unclear or ambiguous, and there is room for interpretation of the provisions; and/or
  - (b) Rationale or further background information is needed regarding conditions under which the approved standardized baseline is to be applied.

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### Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
04.1	1 September 2017	Revision to remove reference to small-scale working group.
04.0	28 May 2015	EB 84, Annex 10 Revision to: <ul style="list-style-type: none"> <li>• Add a new process to submit a request for deviation from the approved approach to develop standardized baselines together with the submission of proposed standardized baselines;</li> <li>• Prepare appendix 3 to procedure clarifying principles for revision and clarification;</li> <li>• Clarify the scope of assessment report;</li> <li>• Reflect lessons learned including:               <ul style="list-style-type: none"> <li>o Allowing simultaneous submission of new/revised methodology/methodological tool and standardized baseline;</li> <li>o Allowing proponents to request for top-down development/revision of methodology or tool;</li> <li>o Allowing the DNA to use other available data templates in accordance with the approved methodologies/methodological tools;</li> <li>o Include the steps for preparation of an assessment report by the secretariat.</li> </ul> </li> </ul>
03.1	1 December 2013	Editorial revision to include: <ul style="list-style-type: none"> <li>• Correction in paragraph 66;</li> <li>• Editorial improvement in paragraphs 5, 16, 19, 68 and 140.</li> </ul>

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<i>Version</i>	<i>Date</i>	<i>Description</i>
03.0	4 October 2013	<p>EB 75, Annex 33</p> <p>The document title has changed from “<i>Procedure for the submission and consideration of standardized baselines</i>” to “<i>Procedure: Development, revision, clarification and update of standardized baselines</i>”.</p> <p>Revision to:</p> <ul style="list-style-type: none"> <li>• Reflect lessons learnt since the initial adoption to the bottom up process for development of standardized baselines;</li> <li>• Add new processes for top-down development, bottom-up and top-down revision, bottom-up and top-down clarification and bottom-up update of standardized baselines;</li> <li>• Add provisions on validity of new, updated, revised and previous versions;</li> <li>• Editorial improvement.</li> </ul>
02.0	20 July 2012	<p>EB 68, Annex 32</p> <p>Revision to:</p> <ul style="list-style-type: none"> <li>• Expand countries eligible for funding for preparation of assessment reports to those with 10 registered CDM project activities as of 31 December 2010;</li> <li>• Add a process for proposing and publishing sector-specific data templates to be used for proposing standardized baselines;</li> <li>• Elaborate the process of funding for preparation of assessment reports for proposing a standardized baseline.</li> </ul>
01.0	29 September 2011	<p>EB 63, Annex 28</p> <p>Initial adoption.</p>

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