



CHECKLIST FOR REQUESTS FOR ISSUANCE FOR PROGRAMMES OF ACTIVITIES (VERSION 02.0)

PS: Standard: CDM project standard for programmes of activities (version 02.0)
VVS: Standard: CDM validation and verification standard for programmes of activities (version 02.0)
PCP: Procedure: CDM project cycle procedure for programmes of activities (version 02.0)

1. Completeness check

Item No.	Description of item	Reference
1.1 Documentation		
1.1.1	Is a duly completed request for issuance form using the valid version of the form (CDM-PoA-ISS-FORM) submitted?	PCP para 220
1.1.2	Is a monitoring report using the valid version of the form (CDM-PoA-MR-FORM) submitted?	PCP para 220
1.1.3	Is a spreadsheet containing the calculations of emission reductions or net anthropogenic removals submitted?	PCP para 220
1.1.4	Is a verification and certification report using the valid version of the form (CDM-PoA-VCR-FORM) submitted?	PCP para 220
1.1.5	Are all documents prepared in English or do they contain a full translation of relevant sections into English?	PS para 26
1.1.6	Is the spreadsheet submitted in an accessible and verifiable (unprotected) format?	PS para 26
1.2 Monitoring report		
1.2.1	Does the crediting period of each CPA covered by the monitoring report start on or after the date of inclusion of the CPA in the PoA?	PS para 188
1.2.2	If a single monitoring report is submitted for the monitoring period (i.e. the request for issuance relates to all CPAs included in the PoA), does the monitoring report contain all monitoring results of all CPAs included in the PoA as of the end of the monitoring period?	PS para 255(a), PCP para 225(a)(i)
1.2.3	If multiple monitoring reports are planned to be submitted for this monitoring period, is each CPA contained only in one monitoring report (i.e. it is not included in any other monitoring reports previously submitted for this monitoring period)?	PS para 255(b), PCP para 225(a)(ii)
1.2.4	Is the format of the monitoring report, including heading, logos and tables, unaltered? Are all sections of the monitoring report filled, or indicated as intentionally left blank (e.g. "Not applicable")?	PS para 26
1.3 Verification and certification report		
1.3.1	Does the verification and certification report indicate that the verification and certification were conducted in accordance with a valid version of the VVS?	VVS para 20



1.3.2	Does the verification and certification report contain details of the verification team members, technical experts, internal technical reviewers, together with their roles in the verification activity and, details of who conducted the on-site inspection, if conducted, for the PoA?	VVS para 374(b)
1.4 Basic requirements		
1.4.1	If the DOE performing the verification is the DOE that performed a validation for the same PoA (i.e. validation for registration, for renewal of PoA period, for inclusion of CPAs in the PoA and/or renewal of crediting period of the CPAs covered by the verification, with the exception of post-registration changes to the PoA or to CPAs under the PoA), has the DOE been authorized by the Board to perform the verification? Is a reference to the meeting report where the authorization was granted provided?	PCP para 143, 203-207
1.4.2	If, subsequent to the registration of the PoA, the coordinating/managing entity has changed, has the DOE submitted a validation opinion regarding the compliance of the new coordinating/managing entity with the requirements that it: (a) obtained a new letter of authorization from each host Party stating the change and confirming the authorization of its coordination of the PoA; (b) provided a confirmation that the PoA will be developed and implemented with the same framework as described in the registered PoA-DD; and (c) demonstrated the compliance with requirements related to the operational and management arrangement?	VVS para 290
1.5 Consistency of information		
1.5.1	Are the PoA title and the UNFCCC reference number consistent in the following documents? <ul style="list-style-type: none">• Project view page• Request for issuance form (CDM-PoA-ISS-FORM)• Monitoring report (CDM-PoA-MR-FORM), spreadsheet• Verification and certification report (CDM-PoA-VCR-FORM)• Post-registration change request form (CDM-PRC-FORM)*• Post-registration change validation report (CDM-PoA-PRCV-FORM)* <i>* Applicable if a request for post-registration changes to the PoA is submitted together with this request for issuance.</i>	
1.5.2	Are the UNFCCC reference numbers of the CPAs covered by this request for issuance consistent in the following documents? <ul style="list-style-type: none">• Project view page• Request for issuance form (CDM-PoA-ISS-FORM)• Monitoring report (CDM-PoA-MR-FORM), spreadsheet• Verification and certification report (CDM-PoA-VCR-FORM)• Post-registration change request form (CDM-PRC-FORM)*• Post-registration change validation report (CDM-PoA-PRCV-FORM)* <i>* Applicable if a request for post-registration changes to the PoA is submitted together with this request for issuance.</i>	



1.5.3	<p>Are the number of CERs and, where applicable, the breakdown of CERs for the period up to 31 December 2012 and for the period from 1 January 2013 consistent in the following documents?</p> <ul style="list-style-type: none">• Project view page• Request for issuance form (CDM-PoA-ISS-FORM)• Monitoring report (CDM-PoA-MR-FORM), spreadsheet• Verification and certification report (CDM-PoA-VCR-FORM)
1.5.4	<p>Are the monitoring period number, duration (start and end dates) and, if multiple monitoring reports for different batches of CPAs are to be published, monitoring report number for this monitoring period, consistent in the following documents?</p> <ul style="list-style-type: none">• Project view page• Request for issuance form (CDM-PoA-ISS-FORM)• Monitoring report (CDM-PoA-MR-FORM), spreadsheet• Verification and certification report (CDM-PoA-VCR-FORM)
1.5.5	<p>Are the date of completion and the version of the monitoring report consistent in the following documents?</p> <ul style="list-style-type: none">• Request for issuance form (CDM-PoA-ISS-FORM)• Monitoring report (CDM-PoA-MR-FORM), spreadsheet• Verification and certification report (CDM-PoA-VCR-FORM)
1.5.6	<p>Are the versions of the PoA-DD and CPA-DDs consistent in the following documents?</p> <ul style="list-style-type: none">• Request for issuance form (CDM-PoA-ISS-FORM)• Monitoring report (CDM-PoA-MR-FORM), spreadsheet• Verification and certification report (CDM-PoA-VCR-FORM)• Post-registration change validation report (CDM-PoA-PRCV-FORM)* <p><i>* Applicable if a request for post-registration changes to the PoA is submitted together with this request for issuance.</i></p>
1.5.7	<p>Are the titles, versions and UNFCCC reference numbers of the applied methodologies and, where applicable, of the applied standardized baselines consistent in the following documents?</p> <ul style="list-style-type: none">• Project view page• Request for issuance form (CDM-PoA-ISS-FORM)• Monitoring report (CDM-PoA-MR-FORM), spreadsheet• Verification and certification report (CDM-PoA-VCR-FORM)
1.5.8	<p>Are the date of registration of the PoA, the dates of inclusion of the CPAs covered by this request for issuance and the crediting periods consistent in the following documents?</p> <ul style="list-style-type: none">• Project view page• Request for issuance form (CDM-PoA-ISS-FORM)• Monitoring report (CDM-PoA-MR-FORM), spreadsheet• Verification and certification report (CDM-PoA-VCR-FORM)



1.5.9	<p>Are sign-off dates consistent/logical in the following documents?</p> <ul style="list-style-type: none"> Request for issuance form (CDM-PoA-ISS-FORM) Monitoring report (CDM-PoA-MR-FORM), spreadsheet Verification and certification report (CDM-PoA-VCR-FORM) Post-registration change request form (CDM-PRC-FORM)* Post-registration change validation report (CDM-PoA-PRCV-FORM)* <p><i>* Applicable if a request for post-registration changes to the PoA is submitted together with this request for issuance.</i></p>
1.5.10	<p>Are the calculations of baseline emissions/baseline net removals, project emissions/actual net removals, leakage emissions and emission reductions/net anthropogenic removals consistent in the following documents?</p> <ul style="list-style-type: none"> Monitoring report (CDM-PoA-MR-FORM), spreadsheet Verification and certification report (CDM-PoA-VCR-FORM)

2. Information and reporting check

Item No.	Description of item	Reference
2.1 Monitoring report		
2.1.1 Implementation status	Does the monitoring report contain a description of the implementation status of the PoA and the CPAs covered by the monitoring report (including a description of the implementation of the management system of the PoA, the installed technologies, technical processes and equipment, relevant dates of implementation and actual operation, e.g. dates of construction, commissioning, start of operation) during the monitoring period under consideration?	PS paras 259(a), (c), (d)
2.1.2 Post-registration changes	Does the monitoring report indicate whether there are any post-registration changes to the PoA and/or any CPA covered by the monitoring report, and does the monitoring report indicate the dates of approval of the changes by the Board or of notification to the secretariat, if applicable?	PS para 260
2.1.3 Monitoring system	Does the monitoring report contain a description of the monitoring system of the CPAs covered by the monitoring report, including, for example, data collection procedures (information flow including data generation, aggregation, recording, calculations and reporting), organizational structure, roles and responsibilities of personnel, emergency procedures for the monitoring system? Does the monitoring report contain line diagrams showing all relevant monitoring points?	PS para 261
2.1.4 Data and parameters	Does the monitoring report contain the values of all parameters used to calculate the baseline emissions/baseline net removals, project emissions/actual net removals, and leakage emissions, as well as other parameters required by the registered monitoring plan, the applied methodologies, the applied standardized baselines and the other applied methodological regulatory documents? Does the monitoring report contain a description of how the parameters have been monitored including the sources of data? Does the monitoring report provide the calculation method of the parameters, where relevant? Does the monitoring report contain a description of the QA/QC procedures applied if applicable as per the registered monitoring plan?	PS paras 262, 263(a), (c), (d), (e), (f)



2.1.5	Equipment used to monitor	Does the monitoring report describe the equipment used to monitor each parameter, including details on accuracy class and calibration information (frequency, dates of calibration and validity), if applicable as per the registered monitoring plan and/or applied methodologies?	PS para 263(b)
2.1.6	Factors and default values	Does the monitoring report contain information about appropriate emission factor, IPCC default value, and any other reference value for each parameter?	PS para 263(g)
2.1.7	Sampling	If data and parameters monitored have been determined by a sampling approach, does the monitoring report contain a description of how the sampling has been conducted in accordance with the sampling plan in the registered monitoring plan?	PS para 264
2.1.8	Standardized baseline	If the CPAs covered by the monitoring report apply an approved standardized baseline that standardizes baseline emissions, does the monitoring report apply the most conservative value(s) of the parameter(s) in accordance with the PS?	PS paras 266, 267
2.1.9	Calculations	Does the monitoring report contain, for each of the CPAs covered by the monitoring report, the formula used for, and the calculations of, the baseline emissions/baseline net removals, project emissions/actual net removals, leakage emissions (if any), and emission reductions or net anthropogenic removals?	PS para 268
2.1.10	Monitoring period starting before 1 January 2013	If the monitoring period starts before 1 January 2013, does the monitoring report calculate emission reductions or net anthropogenic removals in accordance with the PS?	PS para 269
2.1.11	Comparison with estimate in the included CPA-DD	Does the monitoring report contain a comparison of the emission reductions or net anthropogenic removals achieved in the monitoring period with the estimate in the CPA-DDs, and if there is an increase in the actual emission reductions from those estimated in any of the CPA-DDs of non-A/R CPAs, does the monitoring report contain explanation on the cause of the increase, including all information (i.e. data and/or parameters) that is different from that stated in the registered CPA-DDs?	PS paras 270, 271
2.1.12	Compliance with small-scale threshold	If there are small-scale CPAs covered by the monitoring report, does the monitoring report demonstrate that the scale of the activity of each small-scale CPA remained under the small-scale limit in accordance with the provision indicated in the reference column?	PS para 272
2.2 Spreadsheet			
2.2.1	Parameters	Does the spreadsheet contain all parameters required to be monitored and reported at the intervals required by the registered monitoring plan and the applied methodologies?	
2.2.2	Formulae	Does the spreadsheet contain the formulae for the calculation of emission reductions or net anthropogenic removals as required by the registered monitoring plan, the applied methodologies, the applied standardized baselines and the other applied methodological regulatory documents?	
2.2.3	Explanation	Does the spreadsheet contain any other explanation with regard to the application of formulae in the spreadsheet?	



2.3 Verification and certification report		
2.3.1 Implementation status and phased-implementation delay	Does the verification and certification report describe the implementation status of the PoA and the CPAs covered by the monitoring report and confirm that the implementation and operation of the PoA and the CPAs are in accordance with the registered PoA-DD and the included CPA-DDs? (if a CPA consists of more than one site, does the verification and certification report clearly describe the status of implementation and starting date of operation for each site? If a CPA undergoes phased implementation, does the verification and certification report describe the progress of the implementation of the CPA achieved in each phase under verification?) In case there is any deviation or proposed or actual changes in the implementation or operation of the PoA and the CPAs, does the report confirm that they comply with the relevant requirements in the PS? In case there is a delay in the phased-implementation of a CPA, does the report describe the reasons and present the expected implementation dates?	VVS paras 340, 342(a)
2.3.2 Actual operation	Does the verification and certification report describe the actual operation of the CPAs?	VVS para 342(b)
2.3.3 Different data and variables compared to registered PoA-DD and CPA-DDs	Does the verification and certification report provide information on data and variables in the monitoring report that is different from that stated in the registered PoA-DD and the CPA-DDs or any approved revised PoA-DD or notified revised CPA-DDs, and has caused an increase in the estimate of emission reductions or net anthropogenic removals in the current monitoring period or is highly likely to increase the estimates of emission reductions or net anthropogenic removals in the future monitoring periods?	VVS para 342(c)
2.3.4 Increase in actual emission reductions	Does the verification and certification report provide an opinion on the cause of any increase of the actual emission reductions in the current monitoring period?	VVS para 342(d)
2.3.5 Monitoring plan	Does the verification and certification report state that the registered monitoring plan is in accordance with the applied methodologies, the applied standardized baselines and the other applied methodological regulatory documents?	VVS para 345
2.3.6 Monitoring activities	Does the verification and certification report state whether the monitoring has been carried out in accordance with the registered monitoring plans in the CPA-DDs?	VVS para 349
2.3.7 Parameters and conclusion	Does the verification and certification report list each parameter required by the registered monitoring plans in the CPA-DDs and state how the DOE verified the information flow (from data generation, aggregation, to recording, calculation and reporting) for these parameters including the values in the monitoring report? Does the verification and certification report state how the values in the monitoring report have been verified?	VVS paras 350, 374(e)
2.3.8 Record keeping	Does the verification and certification report describe how the DOE has verified and certify the correct implementation and operation of the record keeping system of the CPAs?	VVS para 331(d)
2.3.9 Monitoring period	In the case of a single monitoring report, does the verification and certification report indicate that the request for issuance corresponds to all CPAs included in the PoA, or in the case of multiple monitoring reports, the request corresponds to one of the batches of CPAs included in the PoA? Does the verification report further confirm that monitoring periods have been consecutive and that CPAs have been included in requests for issuance in a consecutive manner?	VVS paras 333, 335



2.3.10 Negative emission reductions	If the PoA applies any of the methodologies listed in the PCP as potentially accruing negative emission reductions in a monitoring period, does the verification and certification report confirm that the CERs, tCERs or ICERs have been issued for all CPAs included in the PoA for the previous monitoring period?	VVS para 336
2.3.11 Calibration	Does the verification and certification report state whether the calibration of measuring equipment that has an impact on the claimed emission reductions or net anthropogenic removals is conducted at the frequency specified in the applied methodologies, the applied standardized baselines, the other applied methodological regulatory documents or the registered monitoring plans?	VVS para 357
2.3.12 Missing data	Does the verification and certification report indicate whether a complete set of data for the monitoring period was not available because activity levels or non-activity parameters were not monitored in accordance with the registered monitoring plans, and if so, whether the most conservative values approach was applied or alternative monitoring arrangements were proposed or have been approved by the Board or notified to the secretariat?	VVS para 360(a)
2.3.13 Cross-checking data	Does the verification and certification report provide the information on how the DOE cross-checked the reported data?	VVS para 360(b)
2.3.14 Calculation of emission reductions	Does the verification and certification report confirm that appropriate methods and formulae for calculating baseline emissions/baseline net removals, project emissions/actual net removals, and leakage emissions have been followed? Does the verification and certification report provide a conclusion on the verified amount of emission reductions or net anthropogenic removals achieved?	VVS paras 360(c), 374(k)
2.3.15 Justification of assumptions	Does the verification and certification report provide an opinion on whether assumptions, emission factors and default values that were applied in the calculations have been justified?	VVS para 360(d)
2.3.16 Pro-rata approach	If the monitoring period starts before 31 December 2012 and ends anytime thereafter, does the verification and certification report confirm that the pro-rata approach or the specific approach for A/R project activities was correctly applied to the calculations of the emission reductions or net anthropogenic removals?	VVS para 360(e)
2.3.17 Sustainable development co-benefit report	If the coordinating/managing entity has monitored sustainable development co-benefits of the PoA and requested the DOE to verify them, does the verification and certification report provide a description of how the DOE has conducted the assessment of reported sustainable development co-benefits, and findings from the assessment?	VVS para 362
2.3.18 Global stakeholder consultation	If the monitoring report covers the first monitoring period for the PoA, does the verification and certification report provide a description of how the DOE conducted the global stakeholder consultation and took due account of all authentic and relevant comments in the verification?	VVS paras 370, 371
2.3.19 Process, scope and conclusion	Does the verification and certification report provide a summary of the verification process, the scope of verification and the conclusion?	VVS para 374(a)
2.3.20 Verification team	Does the verification and certification report provide details of the verification team, technical experts, internal reviewers involved, together with their roles in the verification activity and, if an on-site inspection is conducted, details of who conducted the on-site inspection? Does the verification and certification report provide information on quality control within the team and in the verification process?	VVS paras 374(b), (j)



2.3.21 Findings of desk review, on-site visit and sampling approach	Does the verification and certification report provide the findings of the desk review, sampling approach used by the DOE, and if an on-site inspection is conducted, the findings of the on-site inspection? Where the DOE applied a sampling approach to on-site inspection, does the verification and certification report describe how the sample size was determined and field check carried out? Does the verification and certification report describe how possible existence of included CPAs complying with different versions of the PoA-DD was taken into consideration for its sampling approach?	VVS paras 331(c), 374(c)
2.3.22 Findings and conclusion	Does the verification and certification report contain information on the applied approaches, findings and conclusions on the requirements related to: (a) Compliance of the monitoring report with the monitoring report form; (b) Compliance of the programme implementation with the registered PoA-DD; (c) Compliance of the registered monitoring plan with applied methodologies and the standardized baselines; (d) Compliance of monitoring activities with the registered monitoring plan; (e) Compliance with the calibration frequency requirements for measuring instruments; (f) Assessment of data and calculation of emission reductions or net anthropogenic removals.	VVS para 374(d)
2.3.23 Post-registration changes	Does the verification and certification report provide a statement on whether post-registration changes to the registered PoA-DD have been approved by the Board or will be submitted together with the request for issuance, and on whether any post-registration changes to the included CPAs have been positively validated by a DOE and revised CPA-DDs have been included?	VVS paras 374(f), (g)
2.3.24 CARs, CLs, FARs	Does the verification and certification report provide an assessment and close-out of any CARs, CLs or FARs issued to the coordinating/managing entity? Does the verification and certification report provide an assessment of remaining issues from the previous verification period, if appropriate?	VVS paras 374(h), (i)
2.3.25 Materiality	Does the verification and certification report contain information on the application of the concept of materiality in planning and conducting the verification, if applicable?	VVS para 375
2.3.26 Certification statement	Does the verification and certification report certify that the verified amount of emission reductions or net anthropogenic removals achieved by the CPAs during the monitoring period corresponds to that requested for issuance?	VVS para 377

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

The table below lists “issues of an editorial nature or consistency”, for which the secretariat may request the DOE to submit the missing or revised documents and/or information during the completeness check of a request for issuance in accordance with paragraph 229 of the PCP.

Issue No.	Description of issue
1.	Inconsistencies are clearly attributable to typographical errors and/or documents containing blank pages.
2.	Documents and appendices (including spreadsheets) are not readable or contain part of text not in English. A spreadsheet containing the calculations of emission reductions or net anthropogenic removals is missing.
3.	Information in the request for issuance is not consistent (e.g. dates of the monitoring period, dates and version of the monitoring report, titles and reference numbers of the CPAs, date and version of the post-registration change validation report, sign-off dates, valid version of the VVS).
4.	Information of the PoA (e.g. versions and completion dates of the PoA-DD and CPA-DDs, PoA registration and CPA inclusion dates, crediting period, PoA and CPA titles and reference numbers) is not consistent.
5.	Versions of the forms submitted are not valid at the time of the submission of the request for issuance.
6.	The post-registration change validation report and the revised PoA-DD are duly submitted, but the post-registration change request form is not provided.
7.	Information on the post-registration changes is not consistent (e.g. type of post-registration changes, sign-off dates, valid version of the VVS). The revised PoA-DD is submitted only in clean or tracked change version.
8.	Signatures are missing in the relevant documents.

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



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

The table below lists “issues of an editorial nature or missing basic information” for which the secretariat may request the DOE to submit the missing or revised documents and/or information during the information and reporting check of a request for issuance in accordance with paragraph 233 of the PCP.

Issue No.	Description of issue
1.	Any issue of an editorial nature that is not picked at the completeness check stage.
2.	Typographical errors in the monitoring report or verification and certification report.
3.	The start date of operation is missing in the monitoring report or verification and certification report, except for the first request for issuance and CPAs with phased implementation.
4.	The organisational/management structure is missing in the monitoring report.
5.	The verification and certification report does not include the reporting of parameters at the frequency required by the monitoring plan or the applied methodologies.

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

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**Document information**

<i>Version</i>	<i>Date</i>	<i>Description</i>
02.0	23 August 2019	<p>Revision to:</p> <ul style="list-style-type: none">• Adjust the text in the “Description of item” column and the paragraph numbers of the PS, VVS, PCP and the sampling standard in the “Reference” column to their latest versions;• Make editorial improvement.
01.0	30 August 2017	<p>Initial publication.</p> <p>This document consolidates the “Programme of activities (PoA) request for issuance and post registration changes: Completeness check checklist” (version 03.0) and the “Programme of activities (PoA) request for issuance and post registration changes: Information and reporting check checklist” (version 02.0), but removes elements of post-registration changes.</p> <p>This document also reflects the “CDM project standard for programmes of activities” (version 01.0), “CDM validation and verification standard for programmes of activities” (version 01.0) and “CDM project cycle procedure for programmes of activities” (version 01.0) adopted in EB93.</p>
<p>Decision Class: Regulatory Document Type: Information note Business Function: Issuance Keywords: certification, completeness check, programme of activities</p>		