

**CDM-EB93-A09-PROC**

## Procedure

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# CDM project cycle procedure for programmes of activities

Version 03.0



**United Nations**  
Framework Convention on  
Climate Change

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## **1. Introduction**

### **1.1. Background**

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

### **1.2. Objectives**

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

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

### **2.1. General**

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

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

4. Version 03.0 of this procedure enters into force on 7 October 2021.

## **3. Terms and definitions**

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

- (c) “May” is used to indicate what is permitted;
- (d) “CPA” (component project activity) and “CPA-DD” (component project activity design document) without prepositive “generic” mean they are of a specific-case CPA.

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

### **4.1. Notification of intention to seek CDM status**

- 6. The coordinating/managing entity may notify the designated national authority(ies) (DNA(s)) of the host Party(ies) of the proposed CDM PoA and the secretariat in writing of the intention to seek CDM status for the PoA, using the “CDM programme of activities prior consideration form” (CDM-PoA-PC-FORM) for the purpose of determining the start date of the PoA.
- 7. The coordinating/managing entity, a CPA implementer, a project participant or any other entity that wishes to develop a CPA shall notify to the secretariat of the intention for the CPA to be included in a registered CDM PoA no later than 180 days after the start date of the CPA, by submitting the intention to the secretariat in accordance with the instructions on the UNFCCC CDM website. If the start date of the CPA is on or after the date of inclusion in a registered CDM PoA, such notification is not necessary. For the CPAs that started before 7 October 2021, such notification is not necessary if the CPAs are included in a registered CDM PoA by 6 October 2022, otherwise the notification shall be submitted by 6 October 2022.

### **4.2. Publication of programme of activities design document**

#### **4.2.1. Submission of programme design document**

- 8. The coordinating/managing entity of a proposed CDM PoA shall complete a programme of activities design document (PoA-DD), in accordance with the “CDM project standard for programmes of activities”, and submit it together with supporting documentation to the DOE contracted by the coordinating/managing entity or the project participants to perform validation of the PoA.
- 9. The PoA-DD shall include a generic CPA-DD part (hereinafter referred to as generic CPA-DD), which:
  - (a) Describes the technologies/measures to be employed and/or implemented by the corresponding CPAs, including a description of their common features;
  - (b) Defines the conditions and circumstances under which technologies/measures may be included as CPAs in the PoA, by establishing eligibility criteria for inclusion of CPAs in the PoA;
  - (c) Specifies how the corresponding CPAs are to be designed to ensure that they comply with all applicable CDM rules and requirements, including the requirements in the “CDM project standard for programmes of activities” and in the applied methodologies, the applied standardized baselines and any other standards, methodologies, methodological tools and guidelines applied in accordance with the applied methodologies (hereinafter “any other standards, methodologies,

methodological tools and guidelines (to be) applied in accordance with the selected(applied) methodologies” are collectively referred to as the other (applied) methodological regulatory documents).

10. If the proposed CDM PoA applies more than one technology/measure or more than one methodology, the generic CPA-DD shall be completed for each technology/measure, each methodology and each combination thereof by replicating the generic CPA-DD part of the PoA-DD form, unless the technologies/measures are included in the positive lists for additionality demonstration under the “Methodological tool: Demonstration of additionality of small-scale project activities” or “Methodological tool: Demonstration of additionality of microscale project activities”. In the latter case, the generic CPA-DD may cover more than one technology/measure.
11. The DOE shall make the PoA-DD publicly available through a dedicated interface on the UNFCCC CDM website for global stakeholder consultation. The duration of the period for submission of comments for the global stakeholder consultation shall be 30 days except with respect to large-scale afforestation and reforestation (A/R) CDM PoAs, for which the duration shall be 45 days.
12. When submitting the PoA-DD through the dedicated interface, the DOE shall provide the following information, to be made publicly available on the UNFCCC CDM website:
  - (a) Reference to any previous publication of the PoA-DD for public comments on the UNFCCC CDM website;
  - (b) The summary report of the comments received from local stakeholders during the local stakeholder consultation and how they have been taken into account, if local stakeholder consultation was conducted at the PoA level;
  - (c) A summary of the environmental impact assessment report of the proposed CDM PoA, if the environmental impact assessment was conducted for the PoA in accordance with the “CDM project standard for programmes of activities”;
  - (d) The CPA inclusion template, using the “Component project activity inclusion (CME inclusion) form” (CDM-CPA-INC-CME-FORM) if:
    - (i) It is indicated in a generic CPA-DD that the corresponding CPAs are deemed automatically additional in accordance with the “Methodological tool: Demonstration of additionality of microscale project activities”; and
    - (ii) The coordinating/managing entity intends to include such CPAs without validation by a DOE prior to inclusion.
13. If the DOE is accredited in all sectoral scope(s)<sup>1</sup> to which the proposed CDM PoA is linked through the application of methodologies, the secretariat, through the CDM information system, shall make the PoA-DD publicly available on the UNFCCC CDM website. The period for submission of comments for global stakeholder consultation on the PoA-DD shall commence at midnight GMT subsequent to the publication of the PoA-DD. The CDM information system shall inform the DOE of the location of the PoA-DD on the UNFCCC

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



CDM website and the opening and closing dates and time of the period for submission of comments.

#### **4.2.2. Changes after publication of programme design document**

##### **4.2.2.1. Change of the coordinating managing/entity**

14. When submitting a request for registration of the proposed CDM PoA in accordance with paragraph 65 below, the coordinating/managing entity shall be listed in the PoA-DD. The coordinating/managing entity or the project participants shall have the contractual relationship with the DOE for validation of the PoA.
15. If the coordinating/managing entity or all the project participants that have a contractual relationship with the DOE for validation at the time of the publication of the PoA-DD for global stakeholder consultation have been replaced, a revised PoA-DD shall be published for global stakeholder consultation in accordance with paragraphs 11–13 above.

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

16. If the coordinating/managing entity wishes to change the DOE after the publication of the PoA-DD, it shall notify the change to the secretariat by e-mail, providing the name of the newly appointed DOE before the submission of the request for registration of the proposed CDM PoA. The secretariat shall obtain a confirmation from both the outgoing and incoming DOEs. Upon receipt of the confirmation from both DOEs, the secretariat shall reflect the change on the UNFCCC CDM website.
17. From the date of change of the DOE reflected on the UNFCCC CDM website, the incoming DOE shall be responsible for all of the roles of a DOE in the validation, including requesting the withdrawal of a published PoA-DD, if applicable. The incoming DOE shall have full responsibility for the validation outcome that will be submitted when requesting registration.
18. The incoming DOE will not need to republish the PoA-DD in accordance with paragraphs 11–13 above but shall take into account the comments received during the global stakeholder consultation of the PoA-DD in its validation.

##### **4.2.2.3. Change to design of programme of activities**

19. If the design of the proposed CDM PoA has undergone changes after the publication of the PoA-DD for global stakeholder consultation, the DOE shall determine whether these changes are significant. If the changes are determined by the DOE as significant the DOE shall make a revised PoA-DD publicly available for global stakeholder consultation. The DOE may seek guidance from the Board on whether a revised PoA-DD shall be published for global stakeholder consultation by submitting such a request to a specified UNFCCC e-mail account.
20. The Board shall expeditiously consider the case, through electronic means where possible, and provide guidance to the DOE. In doing so, the Board shall consider the significance of the changes in terms of the impact on the application of the applied methodologies, the other methodological regulatory documents and local stakeholders.

**4.2.2.4. Application of standardized baseline whose selection is mandatory**

21. If the PoA-DD has been published for global stakeholder consultation when no applicable standardized baseline was valid, and an applicable standardized baseline whose selection is mandatory has become valid after the publication of the PoA-DD for global stakeholder consultation, and if the request for registration of the proposed CDM PoA has not been submitted within 240 days after the standardized baseline became valid, the coordinating/managing entity shall revise the PoA-DD, applying the standardized baseline. In this case, the DOE shall publish the revised PoA-DD for global stakeholder consultation in accordance with paragraphs 11–13 above.

**4.2.2.5. Change of methodologies or standardized baselines**

22. If the coordinating/managing entity wishes to change the methodologies, standardized baselines and/or the combination of methodologies applied in the PoA-DD that has already been published for global stakeholder consultation, then:
- (a) The coordinating/managing entity shall revise the PoA-DD accordingly;
  - (b) The DOE shall subsequently publish the revised PoA-DD for global stakeholder consultation in accordance with paragraphs 11–13 above, except when the following conditions apply:
    - (i) The change only involves the removal and no addition of methodologies and/or standardized baselines;
    - (ii) The removal of the methodologies and/or the standardized baselines does not affect the physical design of, and the end-use services provided by, CPAs corresponding to the generic CPAs that had applied the removed methodologies or, where applicable, the removed standardized baselines.
23. If the PoA-DD applies the previous version of a methodology, methodological tool and/or standardized baseline, and a request for registration of the proposed CDM PoA has not been submitted within the grace period for the use of the previous version as defined in the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” and/or the “Procedure: Development, revision, clarification and update of standardized baselines”, the coordinating/managing entity shall revise the PoA-DD, applying the valid version of the methodology, methodological tool and/or standardized baseline in its entirety or elements of it as required (e.g. in the case of an approved deviation). In this case, the DOE shall not publish the revised PoA-DD for global stakeholder consultation, but shall submit it when it submits a request for registration in accordance with paragraph 65 below, unless otherwise decided by the Board when it approves the revised methodology, methodological tool and/or standardized baseline.

**4.2.3. Submission and treatment of public comments**

24. Parties, stakeholders<sup>2</sup> and UNFCCC accredited observers may submit comments, in English, on the validation requirements for the proposed CDM PoA to the DOE via a dedicated interface on the UNFCCC CDM website. The submitters of the comments shall

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

provide the name and contact details of the individual or organization on whose behalf the comments are submitted. Comments from stakeholders shall:

- (a) Be specific to the proposed CDM PoA;
  - (b) Be related to the compliance with applicable CDM rules and regulations.
25. The secretariat shall make the comments publicly available on the UNFCCC CDM website where the PoA-DD is displayed, and shall remove those that the DOE has determined to be unauthentic in accordance with the "CDM validation and verification standard for programmes of activities".
26. After the completion of the local stakeholder consultation, local stakeholders may submit a complaint to the DNA(s) of the host Party(ies) if they find that the outcome of the local stakeholder consultation is not appropriately taken into account. The DOE shall request the DNA(s) to forward such complaints, if any, to the DOE and promptly forward them to the coordinating/managing entity during the validation in accordance with the "CDM validation and verification standard for programmes of activities".

#### **4.3. Reporting of validation status**

27. On the later of 30 June or 31 December, subsequent to the end of the period for submission of comments on the PoA-DD, and on each 30 June and 31 December thereafter, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update on the status of its validation activity, until it submits a request for registration of the proposed CDM PoA in accordance with paragraph 65 below. The DOE shall include one of the following statuses in the update:
- (a) The validation contract has been terminated. In this case, the DOE shall also provide a reason for the termination on a confidential basis;
  - (b) A revised PoA-DD for the same proposed CDM PoA has been published;
  - (c) The DOE has issued a negative validation opinion;
  - (d) The DOE has raised one or more corrective action requests or clarification requests, to which no response has been received from the coordinating/managing entity, or the DOE is seeking further clarification to the responses received from the coordinating/managing entity. In this case, the DOE shall also provide a summary of the issues raised;
  - (e) The DOE has finalized a positive validation opinion with the exception of the receipt of a valid letter of approval from one or more Party(ies) involved. In this case, the DOE shall also indicate from which Party(ies) involved a valid letter of approval has not been received;
  - (f) The DOE is performing validation activities and it has not yet sent any corrective action or clarification requests to the coordinating/managing entity. In this case, the DOE shall also provide an explanation on the length of time taken.
28. The secretariat shall inform the stakeholders, who submitted comments that were considered authentic by the DOE during the global stakeholder consultation for the proposed CDM PoA, about the update provided by the DOE, by sending them an e-mail to the addresses provided when they submitted the comments.

#### **4.4. Withdrawal of published programme design document**

29. At any time before the submission of a request for registration of the proposed CDM PoA in accordance with paragraph 65 below, the coordinating/managing entity may, through the DOE, withdraw the PoA-DD published for global stakeholder consultation. In this case, the DOE shall submit a request for withdrawal of the PoA-DD to the secretariat by using the "Project or programme design document withdrawal request form" (CDM-PW-FORM). If the form contains all required information, the PoA-DD shall be considered withdrawn and the secretariat shall mark the PoA-DD on the UNFCCC CDM website as "withdrawn".

#### **4.5. Modalities of communication**

30. The project participants of the proposed CDM PoA shall designate one or more focal point entities (hereinafter referred to as focal points) to communicate on their behalf with the Board and the secretariat within the defined scopes of authority referred to in paragraph 33 below and include this information in a modalities of communication (MoC) statement.
31. After the submission of a request for registration of the proposed CDM PoA in accordance with paragraph 65 below, all official communication between the project participants and the Board or the secretariat for the PoA shall be conducted in accordance with the MoC statement with the exception of communications undertaken in accordance with paragraphs 185 and 197(b) below.
32. The coordinating/managing entity shall submit to the DOE at the time of validation of the proposed CDM PoA an MoC statement using the valid version of the "Modalities of communication statement form" (CDM-MOC-FORM), including its annex 1.
33. The project participants shall grant the focal points the authority to:
- (a) Communicate in relation to requests for forwarding of CERs to individual accounts of the project participants (scope (a)); and/or
  - (b) Communicate in relation to requests for addition and/or voluntary withdrawal of the project participants and focal points, as well as changes to company names, legal status, contact details and specimen signatures (scope (b)); and/or
  - (c) Communicate on all other programme-related matters not covered by (a) or (b) above (scope (c)).
34. The project participants may designate separate entities for each scope of authority either in a sole or joint focal point role. The coordinating/managing entity shall be either the sole or a joint focal point for each scope of authority. The number of joint focal points for a PoA shall be limited to five, or equal to the number of host Parties if greater than five.
35. The project participants and the focal points may designate one primary authorized signatory and one alternate authorized signatory. The signature of either the primary or alternate authorized signatory shall suffice for authenticating the project participants' or the focal point's consent or instruction(s).
36. A project participant that is also a focal point for the same proposed CDM PoA may designate different authorized signatories for the project participant status and for the focal point status.

37. The project participants may voluntarily indicate in the MoC statement the end-date of their participation in the proposed CDM PoA. The secretariat shall monitor the end-date of participation and mark the project participants as “withdrawn” on the UNFCCC CDM website on the day after the end-date. The project participant whose participation in the PoA has ended may request inclusion as a project participant of the same PoA any time thereafter in accordance with paragraph 205(a) below.
38. The project participants shall not include or refer to private contractual arrangements in the MoC statement, such as the establishment of conditions for the designation or change of focal points or the purchase and/or sale of CERs. The project participants and focal points shall be solely responsible for honouring such arrangements.
39. The secretariat shall, when conducting the completeness check of the request for registration submission in accordance with paragraphs 72–74 below, consider the contact details included in the MoC statement to be the valid contact details of the project participants whenever such details differ from the details of the project participants and their representatives included in the PoA-DD for the CDM PoA.
40. The secretariat shall publish the MoC statement on the respective CDM PoA webpage on the UNFCCC CDM website following the registration of the PoA.
41. The secretariat shall not make available specimen signatures, contact details and other personal information to anyone other than members and alternate members of the Board, the project participants, the focal points and the DOE involved in the proposed CDM PoA.

#### **4.6. Request for deviation from approved methodologies or methodological tools**

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

42. The DOE may, prior to the publication of the PoA-DD for global stakeholder consultation in accordance with paragraphs 11–13 above, or the submission of a request for registration of the proposed CDM PoA in accordance with paragraph 65 below, seek guidance from the Board on the acceptability of a deviation from a selected approved methodology or methodological tool, if the DOE, when performing validation for a proposed CDM PoA, or upon request from the coordinating/managing entity before the publication of the PoA-DD, finds that, due to a PoA-specific issue, implying that a revision of the selected methodology would not be required to address the issue, the coordinating/managing entity deviated from:
  - (a) The selected methodology or methodological tool; or
  - (b) Sections in the selected methodology or methodological tool that are not standardized by the selected standardized baseline, if the proposed CDM PoA applies a standardized baseline.
43. Alternatively, if the DOE considers that a revision of the selected methodology or methodological tool would be required to address the specific situation of the proposed CDM PoA, it shall follow the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools”.
44. If the DOE cannot determine the applicability of the selected methodology, methodological tool and/or standardized baseline to the proposed CDM PoA, the DOE shall request a clarification on the applicability in accordance with the “Procedure: Development, revision

and clarification of baseline and monitoring methodologies and methodological tools” and/or the “Procedure: Development, revision, clarification and update of standardized baselines”.

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

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

46. The secretariat shall maintain a publicly available list of all submitted requests for deviation on the UNFCCC CDM website, excluding supporting documentation provided by the DOE as confidential. The secretariat shall make publicly available the schedule of processing the requests for deviation, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for deviation in accordance with the secretariat’s operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Board.
47. The secretariat shall commence the processing of the request for deviation in accordance with the schedule. Upon commencement of the processing of the request for deviation, the secretariat shall conduct within seven days a completeness check to determine whether the request submission is complete in accordance with paragraph 45 above.
48. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
49. Upon conclusion of the completeness check, the secretariat shall notify the DOE of the conclusion of the completeness check. If the request submission is found incomplete, the secretariat shall also communicate the underlying reasons to the DOE and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit a request for deviation with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for deviation.
50. Upon positive conclusion of the completeness check, the secretariat shall publish the request for deviation on the UNFCCC CDM website, and the request for deviation shall be deemed received by the Board for consideration.
51. The secretariat shall prepare and send to the Board a summary note on the request for deviation including a recommendation on the course of action, or with a notification that

the case will be placed on the agenda of the next Board meeting, within 14 days of the date of publication of the request for deviation.

52. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE, it shall request the DOE to submit revised documents and/or information to clarify the issues within 14 days of receipt of the request. In this case, the secretariat shall, notwithstanding the provision in paragraph 51 above, finalize the summary note and send it to the Board within 14 days of receipt of the requested documents and/or information from the DOE. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.
53. If the request submission is removed from processing in accordance with paragraph 52 above, the DOE may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to the DOE to provide clarifications on the issues identified if they are not clear enough to them. Only one such request shall be allowed per request for deviation. In this case, the DOE shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
54. If the secretariat, during the preparation of the summary note, identifies issues that require inputs from a relevant panel or working group, it shall place the case on the agenda of the next meeting of the panel or working group. In this case, the secretariat shall, notwithstanding the provisions in paragraphs 51 and 52 above, finalize the summary note and send it to the Board within 14 days of receipt of the inputs from the panel or working group.
55. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 51 above within 20 days of receipt of the summary note, the recommended course of action shall be deemed to be the decision adopted by the Board.
56. 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.
57. If a member of the Board objects to the secretariat's recommendation on the course of action more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

#### **4.6.3. Finalizing request for deviation**

58. If the Board considers the case at its meeting in accordance with paragraph 51 or 57 above, it shall decide on the course of action at the meeting.
59. The course of action shall be:
  - (a) Approve the deviation and allow submission of a request for registration with the deviation; or

(b) Decide that the deviation requires a revision of the selected methodology or methodological tool before submitting a request for registration; or

(c) Reject the request.

60. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision, the reasons thereof and any guidance provided by the Board as applicable, and make the decision, reasons and guidance publicly available on the UNFCCC CDM website by publishing a ruling note within three days of the decision of the Board.

#### **4.7. Application of multiple methodologies in programme of activities**

61. If the proposed CDM PoA applies more than one approved methodology and/or technology or measure, the DOE that performs its validation and the coordinating/managing entity shall follow the process in paragraph 62 or 63 below as applicable.

62. If the proposed CDM PoA applies only small-scale methodologies (including the cases where standardized baselines are applied), and if “cross effects” as defined in the CDM project standard for programmes of activities” exist between the technologies or measures applied, the coordinating/managing entity shall propose methods to account for such cross effects and request an approval by the Board using the process in section 4.6 above mutatis mutandis. Before submitting such request, the coordinating/managing entity may seek clarification on cross effects in the proposed combination of technologies or measures, using the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” by submitting the PoA-DD with completed sections for detailed technical descriptions. Where possible, such clarification requests shall be treated under the “fast track” of the procedure.

63. If the proposed CDM PoA applies a combination of only large-scale methodologies or both large-scale and small-scale methodologies (including the cases where standardized baselines are applied in both options), the DOE may proceed with the publication of the PoA-DD for global stakeholder consultation or the request for registration without a pre-approval by the Board of the application of the multiple methodologies:

(a) If the combination is explicitly permitted in the methodologies: or

(b) If all of the following conditions apply:

(i) The multiple methodologies are used in CPAs to realize the policy or goal of the proposed CDM PoA, and the implementation of the activities through CPAs is integrated through the design of the PoA;<sup>3</sup>

(ii) Each CPA applies only one methodology;

(iii) There is no interaction between the different CPAs. An interaction shall be deemed to occur in the following cases but is not be limited to:

a. One CPA is dependent on the implementation of another CPA, or one CPA impacts the profitability or GHG emission reductions or net anthropogenic GHG removals achieved by another CPA;

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<sup>3</sup> See examples that fall under this condition in the "CDM project standard for programmes of activities".



- b. One CPA is interlinked with another CPA by the technologies applied or economic decisions taken.
64. If the proposed CDM PoA applies a combination of only large-scale methodologies or both large-scale and small-scale methodologies (including the cases where standardized baselines are applied in both options), and if the conditions set out in paragraph 63 above do not apply, the coordination/managing entity or the DOE shall seek clarification on the eligibility of the proposed combination, using the "Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools".

## **5. Registration of programme of activities**

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

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

65. The DOE, after validating that the proposed CDM PoA meets all applicable requirements for registration in the "CDM project standard for programmes of activities" by following the applicable provisions of the "CDM validation and verification standard for programmes of activities" and other applicable CDM rules and requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for registration of the proposed CDM PoA by using the "CDM programme of activities registration request form" (CDM-PoA-REG-FORM) and all the required documents listed in the completeness check checklist for requests for registration.
66. The secretariat shall issue a unique reference number for the submission of the request for registration and a statement of the registration fee due, or confirmation that no registration fee is due, determined in accordance with the provisions on the registration fee, as contained in appendix 1, and shall communicate these to the DOE.
67. The DOE shall communicate the unique reference number, and the registration fee due or a confirmation that no registration fee is due, to the coordinating/managing entity.
68. The secretariat shall inform the stakeholders, who submitted comments during the global stakeholder consultation for the proposed CDM PoA and for whom the comments were considered by the DOE as authentic, that a request for registration has been submitted for the PoA, by sending them an e-mail to the addresses provided when they submitted the comments.
69. The coordinating/managing entity shall pay the registration fee by bank transfer, quoting the unique reference number referred to in paragraph 66 above, within one year of the issuance to the DOE of the statement of the registration fee due. The DOE shall submit proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC CDM website. If the proposed CDM PoA applies:
- (a) A methodology or methodological tool that has been revised, withdrawn, or suspended by the Board, either proof of payment must be uploaded within 20 days or payment must be received by the secretariat within 40 days of the end of the grace period for revision or the date of withdrawal or suspension, as defined in the "Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools"; and/or

- (b) A standardized baseline that has been revised, suspended or has expired, either proof of payment must be uploaded within 20 days or payment must be received by the secretariat within 40 days of the end of the grace period for revision, the date of suspension or expiry, as defined in the “Procedure: Development, revision, clarification and update of standardized baselines”.
70. If the secretariat does not receive the deposit of the registration fee by the one-year deadline referred to in paragraph 69 above, the request for registration is deemed withdrawn. The same or a different DOE may submit a new request for registration of the same proposed CDM PoA anytime thereafter, following the applicable CDM rules and requirements valid at the time of the new submission. In doing so, section 4.2.2 above on addressing any changes after the publication of the PoA-DD for global stakeholder consultation shall apply mutatis mutandis to determine whether it has to undergo a new global stakeholder consultation before the submission of the new registration request. In any case, the original notification of intention to seek the CDM status to determine the start date of the PoA referred to in paragraph 6 above remains valid for the new registration request.

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

71. The secretariat shall maintain a publicly available list of all submitted requests for registration for which the applicable registration fee has been received by the secretariat on the UNFCCC CDM website. The secretariat shall make publicly available the schedule of processing the requests for registration, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for registration in accordance with the secretariat’s operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Board.
72. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within seven days a completeness check to determine whether the request for registration submission is complete in accordance with the completeness check checklist for requests for registration.
73. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
74. Upon conclusion of the completeness check stage, the secretariat shall notify the coordinating/managing entity and the DOE, of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the coordinating/managing entity and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for registration with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.

75. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting check checklist for requests for registration.
76. If the secretariat, during the information and reporting check, identifies issues of an editorial nature or missing basic information, it shall request the DOE by e-mail, copying the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission cannot be processed any further.
77. Upon conclusion of the information and reporting check stage, the secretariat shall notify the coordinating/managing entity and the DOE, of the conclusion of the information and reporting check stage. If the request submission for which the secretariat conducted an information and reporting check does not meet the requirements of the information and reporting check, the secretariat shall conclude that the request submission cannot be processed any further and communicate the underlying reasons to the coordinating/managing entity and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for registration with revised documentation. Upon submission of the revised documentation, the request shall be processed further.
78. Upon positive conclusion of the information and reporting check stage, the secretariat shall publish the request for registration on the UNFCCC CDM website, and the request for registration shall be deemed received by the Board for consideration.
79. If the request cannot be processed any further in accordance with paragraph 77 above, the DOE, or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not clear enough to them. Only one such request, regardless of the requesting party, shall be allowed per request for registration. In this case, the DOE, or the coordinating/managing entity, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
80. For re-submission of a request for registration after the completeness check or the information and reporting check in accordance with paragraph 74 or 77 above, respectively, the proposed CDM PoA may apply the same version of the methodologies, methodological tools and/or standardized baselines applied in the initial submission within 90 days of the initial notification of the negative conclusion of the completeness check or the information and reporting check, even if the version of any of the methodologies, methodological tools or standardized baselines applied is no longer valid. After this period, all re-submissions shall apply the version of the methodologies, methodological tools and/or standardized baselines valid for a new request for registration.
81. The secretariat shall notify the coordinating/managing entity, the DNA(s) of the Party(ies) involved, and the DOE that: the Board has received the request for registration for consideration of registration; the secretariat has published the request for registration on the UNFCCC CDM website; and the last day by which members of the Board or a Party

involved may request a review of the request for registration, as referred to in paragraph 83 below.

82. The secretariat shall, subject to the guidance of the Board, prepare and send to the Board a summary note on the request for registration within 14 days of the date of publication of the request for registration.

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

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

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

87. If the secretariat does not receive a request for review from a Party involved or at least three members of the Board in accordance with section 5.1.3 above, the Board shall register the proposed CDM PoA.
88. For requests for registration, for which the initial submission was made on or after 11 December 2010, the effective date of registration in the case referred to in paragraph 87 above shall be one of the following (hereinafter referred to as the date when the DOE submitted a complete request for registration):
- (a) The date when the request for registration was submitted in accordance with paragraph 65 above, if no registration fee is due in accordance with appendix 1 (if the request for registration was submitted as a new submission after the previous submission had been concluded as incomplete at the completeness check stage in accordance with paragraph 74 above and no additional registration fee is due upon the new submission, it is the date of the new submission); or
  - (b) The date when the deposit of the registration fee was received by the secretariat in accordance with paragraph 69 above and appendix 1 (if the request for registration was submitted as a new submission after the previous submission had been concluded as incomplete at the completeness check stage in accordance

with paragraph 74 above and additional registration fee is due upon the new submission, it is the date when the additional fee was received by the secretariat).

89. For requests for registration for which the initial submission was made before 11 December 2010, the effective date of registration in the case referred to in paragraph 87 above shall be the next day after the 28-day review request period referred to in paragraph 83 above.

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

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

90. If a Party involved in the proposed CDM PoA, or at least three members of the Board, request a review of the request for registration, the secretariat shall:
- (a) Notify the coordinating/managing entity, and the DOE that validated the PoA, that a Party involved in the PoA, or at least three members of the Board, have requested a review of the request for registration;
  - (b) Mark the request for registration as “under review” on the UNFCCC CDM website and make publicly available an anonymous version of each “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM);
  - (c) Establish a team comprising two experts selected from the Registration and Issuance Team (RIT Team) to conduct an assessment of the request for review. The secretariat shall appoint one of the RIT Team members to serve as the lead, who shall be responsible for all communications with the secretariat.
91. The DOE, or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified, if they were not clear enough to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for registration. In this case, the DOE, or the coordinating/managing entity, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
92. The coordinating/managing entity and the DOE shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for review.
93. For each issue (or sub-issue) raised in the request for review, the coordinating/managing entity and the DOE, shall either:
- (a) Respond by making any revisions that they deem necessary to the PoA-DD and/or validation report to ensure, inter alia, that all facts are clearly stated and sufficiently validated; or
  - (b) Respond in writing by addressing why no revisions to the PoA-DD and/or validation report are necessary.
94. The secretariat shall schedule the commencement of the review of the request for registration in accordance with its operational plans and any relevant instructions by the

Board. The secretariat shall make the schedule of reviews publicly available on the UNFCCC CDM website. Upon scheduling the commencement date, or altering it as applicable, the secretariat shall inform the coordinating/managing entity and the DOE, of the scheduled or altered commencement date.

95. The date of commencement of the review shall be the date when the secretariat notifies the coordinating/managing entity, and the DOE, that the review has commenced.

### **5.2.2. Assessment**

96. The secretariat shall conduct an assessment of the request for registration in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM) and the applicable CDM rules and requirements, taking into account the responses from the coordinating/managing entity, and the DOE.

97. Concurrent with and independent from the secretariat’s assessment referred to in paragraph 96 above, the RIT Team established in accordance with paragraph 90(c) above shall conduct an assessment of the request for registration in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities registration request review form” (CDM-REGR-FORM) and the applicable CDM rules and requirements, taking into account the responses of the coordinating/managing entity, and the DOE.

98. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.

99. Both the secretariat and the RIT Team shall, in their assessment reports, include a proposed decision, taking into account appendix 2. Each proposed decision shall suggest either:

- (a) Registering the proposed CDM PoA; or
- (b) Rejecting the request for registration.

100. If a proposed decision is to reject the request for registration, then the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:

- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
- (b) The CDM rules and requirements applied to the facts;
- (c) The interpretation of the CDM rules and requirements as applied to the facts.

101. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significance related to the policies and goals of the CDM arising from the assessment. The secretariat, in consultation with the Chair of the Board, shall bring these issues to the attention of the Board by preparing background notes and policy options and presenting them to the Board at its meetings.

102. The RIT Team shall submit its assessment report to the Board through the secretariat.

103. The secretariat shall inform the Board of the availability of each assessment report, and make each assessment report available to the Board, together with any responses from the coordinating/managing entity and the DOE, and any revision to the PoA-DD, validation report and/or other relevant documentation.

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

104. If the respective assessment reports of the secretariat and the RIT Team contain the same proposed decision (i.e. both are to register the proposed CDM PoA, or both are to reject the request for registration), then the proposed decision shall become the final decision of the Board 20 days after the date when the availability of the assessment report of the secretariat or the RIT Team, whichever was later, was communicated to the Board, unless a member of the Board objects to the proposed decision.
105. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
106. If a member of the Board objects to the proposed decision more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
107. If the assessment reports of the secretariat and the RIT Team contain different proposed decisions (i.e. one is to register the proposed CDM PoA, and the other is to reject the request for registration) and the Board receives both proposed decisions more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise, it shall be placed on the agenda of the subsequent Board meeting.
108. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, decide to either:
- (a) Register the proposed CDM PoA; or
  - (b) Reject the request for registration.

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

109. If the Board's final decision made in accordance with paragraph 104 or 108 above is to register the proposed CDM PoA, the secretariat shall register it as a CDM PoA on the first working day subsequent to the finalization of the decision. The effective date of registration in such cases shall be one of the following:
- (a) The date when the DOE submitted a complete request for registration as referred to in paragraph 88 above, if the response to the request for review was made in accordance with paragraph 93(b) above; or
  - (b) The date when the latest revisions to the PoA-DD and/or validation report were submitted in accordance with paragraph 93(a) above.
110. If the Board's final decision made in accordance with paragraph 104 or 108 above is to reject the request for registration, the secretariat shall update the information on the UNFCCC CDM website accordingly on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the

- secretariat shall provide the Chair of the Board with an information note containing a proposed ruling incorporating the final decision.
111. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The CDM rules and requirements applied to the facts;
  - (c) The interpretation of the CDM rules and requirements as applied to the facts.
112. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.
113. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
114. If a member of the Board objects to the proposed ruling more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
115. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, finalize the ruling.
116. The secretariat shall publish a ruling note on the UNFCCC CDM website no later than three days after the ruling was finalized.
117. After the publication of the ruling note, the DOE or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the ruling. Only one such request, regardless of the requesting party, shall be allowed per ruling. In this case, the DOE or the coordinating/managing entity, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
118. If the coordinating/managing entity wishes to request the registration of a proposed CDM PoA that has been rejected by the Board, the validation activity by the same or a different DOE for the PoA shall restart, including the publication of a revised PoA-DD for global stakeholder consultation in accordance with paragraphs 11–13 above.

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

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

119. For the following cases, the DOE shall submit a request for withdrawal of a request for registration by using the “Registration request withdrawal request form” (CDM-REGW-FORM) and uploading it through a dedicated interface on the UNFCCC CDM website:



- (a) The coordinating/managing entity voluntarily wish to withdraw a proposed CDM PoA for which the DOE is requesting registration;<sup>4</sup>
- (b) The DOE has revised its validation report based on new insights or information.

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

120. Upon receipt of the request for withdrawal of a request for registration, the secretariat shall check the documents submitted as soon as possible, and if the request is complete, take the following actions:
- (a) If the DOE requests the withdrawal prior to the publication of the request for registration made in accordance with paragraph 78 above, the secretariat shall reimburse the registration fee in full to the coordinating/managing entity in accordance with appendix 1. In this case, the secretariat shall not mark the proposed CDM PoA as “withdrawn”, but shall block the unique reference number assigned to the withdrawn PoA from further use;
  - (b) If the DOE requests the withdrawal as from the 28-day period for requesting a review of the request for registration in accordance with paragraph 83 above, the secretariat shall mark the proposed CDM PoA as “withdrawn” on the UNFCCC CDM website.

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

### **6.1. Inclusion of component project activities in programme of activities**

#### **6.1.1. Submission of component project activity design documents**

121. To include a CPA in a registered CDM PoA, the coordinating/managing entity shall forward a completed CPA-DD to a DOE, after having ensured that the proposed CPA complies with the corresponding generic CPA-DD in the latest version of the registered PoA-DD, including the eligibility criteria for inclusion of CPAs in the PoA, and relevant CDM rules and requirements. The coordinating/managing entity may forward more than one CPA-DD at one time.
122. If the DOE confirms that the proposed CPA complies with the requirements for inclusion of CPAs in the registered CDM PoA as referred to in paragraph 121 above, it shall include the CPA in the PoA by uploading the corresponding CPA-DD through a dedicated interface on the UNFCCC CDM website together with the “Component project activity inclusion form” (CDM-CPA-INC-FORM) and the validation report. Such an upload shall be made only after the registration of the PoA.
123. The coordinating/managing entity may directly include a CPA that is deemed automatically additional in accordance with the “Methodological tool: Demonstrating additionality of microscale project activities” in a registered CDM PoA without validation by a DOE. To do this, the coordinating/managing entity shall include the CPA in the PoA by uploading the corresponding CPA-DD through a dedicated interface on the UNFCCC CDM website together with the completed “Component project activity inclusion (CME inclusion) form”

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

(CDM-CPA-INC-CME-FORM). The coordinating/managing entity may upload more than one CPA-DD at one time.

124. The CPA identified in the CPA-DD uploaded by the DOE or the coordinating/managing entity will be automatically included in the registered CDM PoA and displayed on the view page of that PoA. The secretariat shall automatically notify the DOE, the coordinating/managing entity and the DNA of the host Party of the CPA of the change in the status of the PoA, and shall assess, on a sample basis, the inclusion of CPAs in accordance with the process referred to in paragraphs 150–161 below *mutatis mutandis*. Consequent steps and implications of the outcome shall follow the provisions in paragraphs 134–142 below *mutatis mutandis*.
125. For the CPAs directly included by the coordinating/managing entity in accordance with paragraph 123 above, the DOE that performs the first verification for such CPAs shall confirm that they comply with the requirements for inclusion of CPAs in the registered CDM PoA as referred to in paragraph 121 above. If the DOE finds that they do not comply with any of these requirements, it shall exclude them from the PoA.
126. If the methodologies, methodological tools and/or standardized baselines applied to the registered CDM PoA are put on hold or withdrawn for any reason other than for the purpose of including the methodology in a consolidated methodology, no new CPAs shall be included in the PoA, in accordance with the timelines indicated in the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools” and/or the “Procedure: Development, revision, clarification and update of standardized baselines”.
127. If the methodologies, methodological tools and/or standardized baselines applied to the registered CDM PoA are revised subsequent to being placed on hold, the coordinating/managing entity shall revise the PoA-DD by, *inter alia*, updating the eligibility criteria for inclusion of CPAs in the registered CDM PoA to be in line with the revised methodologies, methodological tools and/or standardized baselines, following the process described in section 6.2.1 below. Such revision to the PoA-DD is not required if the methodologies or methodological tools are revised or withdrawn to be included in consolidated methodologies without being placed on hold, unless otherwise indicated in the report of the Board meeting at which the Board approved the revised or consolidated methodologies or methodological tools.
128. Once the revised PoA-DD with the revised eligibility criteria for inclusion of CPAs in the registered CDM PoA has been approved by the Board, the inclusion of all new CPAs shall be based on the new version of the PoA-DD.
129. The CPAs that were included before the revision of the PoA-DD shall apply the latest version of the PoA-DD at the time of the renewal of their crediting periods.

#### **6.1.2. Review of erroneous inclusion of component project activities**

130. If the DNA of a Party involved in the registered CDM PoA or a Board member identifies information that may disqualify the CPA from inclusion in the PoA, they shall request a review of the inclusion of the CPA by notifying the Secretary of the Board within one year after the inclusion of the CPA into the PoA, or within 180 days after the first issuance of CERs for that CPA, by submitting a completed “Component project activity inclusion review form” (CDM-CPA-IR-FORM). Such request for review shall be related to issues

- associated with the compliance of the CPA with the requirements for inclusion of CPAs in the PoA as referred to in paragraph 121 above.
131. If the request is received from a Board member, the Chair of the Board, in consultation with the secretariat, shall assess the information referred to in paragraph 130 above and decide, within 14 days, whether to add the request for review to the agenda of the next Board meeting.
  132. If the Chair of the Board decides not to add the request to the agenda of the next Board meeting, the secretariat shall inform the relevant Board member of the reasons for this decision.
  133. If the Chair of the Board decides to add the request to the agenda of the next Board meeting, or if the request for review of the CPA has been received from the DNA or a Party involved, the secretariat shall accordingly notify the coordinating/managing entity, the DOE referred to in paragraph 122 or 125 above (hereinafter referred to as validating DOE) and the DNAs of all Parties involved. The coordinating/managing entity and the validating DOE shall provide initial comments on the request for review no later than 28 days from the date of notification of the review.
  134. If the request for review is added to the agenda of the next Board meeting in accordance with paragraph 131 or 133 above, the Board, taking into account any comments received from the coordinating/managing entity and the validating DOE, shall either:
    - (a) Confirm the inclusion of the CPA in the registered CDM PoA; or
    - (b) Exclude the CPA from the registered CDM PoA with immediate effect if it determines that the CPA was erroneously included in the PoA.
  135. If the Board determines that the consideration of the request for review raises concerns regarding the processes used to include CPAs in the registered CDM PoA, it shall initiate a full review of the PoA.
  136. If the Board initiates the full review referred to in paragraph 135 above, it shall request the secretariat to contract a DOE that has not performed validation, CPA inclusion or verification functions with regard to this registered CDM PoA, to review the CPAs that have been included in the PoA in the one-year period or have had their first issuance in the 180-day period preceding the request for review. The DOE shall submit a review report to the secretariat within 30 days.
  137. The Board shall establish an assessment team to analyse the DOE's review report and provide findings and recommendations to the Board within 14 days. The assessment team may discuss the findings of the DOE's review report and seek comments from the coordinating/managing entity and validating DOE, as appropriate. Based on this assessment, the assessment team shall make a finding as to:
    - (a) Whether any CPAs have been erroneously included in the registered CDM PoA;
    - (b) Whether the compliance of each of the CPAs reviewed with the requirements for inclusion of CPAs in the registered CDM PoA as referred to in paragraph 121 above was adequately assessed by the validating DOE in accordance with the "CDM validation and verification standard for programmes of activities" and other CDM rules and requirements applicable at the time of the inclusion.

138. The Board shall consider the DOE's review report and the assessment team's finding at the next Board meeting for which the report and the finding have been made available by the 14-day documentation deadline.
139. The Board shall decide to exclude any of the CPAs from the registered CDM PoA if it concludes that they have been erroneously included.
140. A CPA that has been excluded after having been identified as erroneously included in the registered CDM PoA may be re-included in the same or different registered CDM PoA or registered as a CDM project activity. For re-inclusion in the same or different PoA, the relevant requirements in the "CDM project standard for programmes of activities", the "CDM validation and verification standard for programmes of activities" and the process in section 6.1 above shall apply. For registration as a CDM project activity, the relevant requirements in the "CDM project standard for project activities", the "CDM validation and verification standard for project activities" and the relevant process in the "CDM project cycle procedure for project activities" shall apply.
141. Where, for any of the CPAs excluded in accordance with paragraph 134(b) or 139 above, the Board determines that the validating DOE failed to adequately assess their compliance with the requirements for inclusion of CPAs in the registered CDM PoA in accordance with the "CDM validation and verification standard for programmes of activities", the DOE shall acquire and transfer, within 30 days of the exclusion of the CPAs, an amount of emission reduction units (ERUs), CERs, assigned amount units (AAUs) and/or removal units (RMUs) equivalent to the amount of CERs issued for the CPAs as a result of the CPAs having been included, to a cancellation account in the CDM registry maintained by the Board.
142. If any of the excluded CPAs had been directly included by the coordinating/managing entity in accordance with paragraph 123 above, they shall no longer directly include CPAs in the registered CDM PoA from the date of the decision by the Board to exclude the erroneously included CPAs, but shall follow the process of CPA inclusion by a DOE in accordance paragraphs 121 and 122 above.

## **6.2. Changes to registered programme of activities**

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

143. If there are changes that have occurred or are expected to occur to a registered CDM PoA, the coordinating/managing entity shall prepare a revised PoA-DD reflecting the changes and submit it together with supporting documentation to a DOE for validation. The changes shall be within the scope of the following acceptable changes, and meet the associated conditions, as specified in the "CDM project standard for programmes of activities":
  - (a) Permanent changes:
    - (i) Corrections;
    - (ii) Permanent changes to the description of how to develop the monitoring plan for each of the corresponding CPAs as described in the registered PoA-DD, or permanent deviation of monitoring from the applied methodologies the applied standardized baselines or the other applied methodological regulatory documents;

- (iii) Changes to the programme design;
  - (iv) Addition of a CPA inclusion template.
- 144. The DOE, after validating that the changes to the registered CDM PoA meet all applicable requirements for post-registration changes in the “CDM project standard for programmes of activities” by following the applicable provisions of the “CDM validation and verification standard for programmes of activities” and other applicable CDM rules and requirements, shall submit a request for approval by the Board of changes to the registered CDM PoA in accordance with paragraphs 148 and 149 below (prior-approval track) or together with the next request for issuance of CERs in accordance with section 8.1.1 below (issuance track). The DOE may choose the issuance track only if the changes to the registered CDM PoA do not affect the calculation of emission reductions or removal enhancements by the CPAs covered by the issuance request.
- 145. For submitting a request for approval by the Board of changes to the registered CDM PoA under the prior-approval track, the coordinating/managing entity may appoint any DOE for validation of the changes. The coordinating/managing entity may also appoint this DOE to perform verification for the same PoA if it has not performed validation for the registration of the PoA, renewal of the PoA period, or inclusion or renewal of crediting period of CPAs in the PoA, unless the DOE is authorized by the Board to do so in accordance with section 7.1 below.
- 146. Where more than one of the changes referred to in paragraph 143 above have occurred or are expected to occur to the registered CDM PoA, the DOE shall, wherever possible, combine such changes into one request for approval.
- 147. For both the prior-approval track and the issuance track, the DOE shall be accredited in the sectoral scope(s) of the registered CDM PoA in question.
- 148. For both the prior-approval track and the issuance track, the DOE shall submit a request for approval of changes to the secretariat through a dedicated interface on the UNFCCC CDM website.
- 149. The request for approval of changes shall contain:
  - (a) A duly completed “Post-registration changes request form” (CDM-PRC-FORM);
  - (b) A validation report on the changes by the DOE prepared in accordance with the “CDM validation and verification standard for programmes of activities”;
  - (c) A revised PoA-DD (in both clean and track-change versions) or a CPA inclusion template using the “Component project activity inclusion (CME inclusion) form” (CDM-CPA-INC-CME-FORM), as applicable;
  - (d) Letters of approval by the DNAs of the additionally included host Parties in the registered CDM PoA, as applicable;
  - (e) Supplemental documentation, as appropriate.

### **6.2.2. Processing of requests for approval of changes**

- 150. The secretariat shall maintain a publicly available list of all submitted requests for approval of changes to a registered CDM PoA on the UNFCCC CDM website. The secretariat shall

make publicly available the schedule of processing the requests for approval of changes, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for approval of changes in accordance with the secretariat's operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Board.

151. The secretariat shall commence the processing of the request for approval of changes in accordance with the schedule. Upon commencement of the processing of the request for approval of changes, the secretariat shall conduct within seven days the completeness check to determine whether the request submission is complete in accordance with paragraph 149 above.
152. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.
153. Upon conclusion of the completeness check stage, the secretariat shall notify the coordinating/managing entity and the DOE of the conclusion of the completeness check stage. If the request submission is found incomplete, the secretariat shall also communicate the underlying reasons to the coordinating/managing entity, and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit a request for approval of changes with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for approval of changes.
154. Upon positive conclusion of the completeness check stage, the secretariat shall publish the request for approval of changes on the UNFCCC CDM website, and the request shall be deemed received by the Board for consideration.
155. The secretariat shall, within 14 days of the date of publication of the request for approval of changes, prepare and send to the Board a summary note on the request for approval of changes including a recommendation on the course of action, or with a notification that the case will be placed on the agenda of the next Board meeting.
156. If the secretariat, during the preparation of the summary note, identifies issues that require clarifications from the DOE or the coordinating/managing entity, it shall request the DOE by e-mail, copying the coordinating/managing entity, to submit revised documents and/or information to clarify the issues within 14 days of receipt of the request. In this case, the secretariat shall, notwithstanding the provision in paragraph 155 above, finalize the summary note and send it to the Board within 14 days of receipt of the requested documents and/or information from the DOE. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall not process the request submission any further.
157. If the request submission is removed from processing in accordance with paragraph 156 above, the DOE, or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not clear enough to

them. Only one such request, regardless of the requesting party, shall be allowed per request for approval of changes. In this case, the DOE, or the coordinating/managing entity, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.

158. If the secretariat, during the preparation of the summary note, identifies issues that require inputs from a relevant panel or working group, it shall place the case on the agenda of the next meeting of the panel or working group. In this case, the secretariat shall, notwithstanding the provisions in paragraphs 155 and 156 above, finalize the summary note and send it to the Board within 14 days of receipt of the inputs from the panel or working group.
159. If no member of the Board objects to the secretariat's recommendation on the course of action referred to in paragraph 155 above within 20 days of receipt of the summary note, the recommended course action shall be deemed to be the decision adopted by the Board.
160. 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.
161. If a member of the Board objects to the secretariat's recommendation on the course of action more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

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

162. If the Board considers the case at its meeting in accordance with paragraph 155 or 161 above, it shall decide on the course of action at the meeting.
163. For the changes referred to in paragraph 143(a)(iii) above, the course of action shall be:
  - (a) Approve the changes and allow subsequent requests for issuance for the registered CDM PoA;
  - (b) Approve the changes and allow subsequent requests for issuance for the registered CDM PoA, but limit the CERs for the included CPAs up to the level estimated in accordance with the corresponding generic CPA-DD in the registered PoA-DD; or
  - (c) Reject the proposed changes but allow subsequent requests for issuance for the registered CDM PoA only if it is implemented as described in the registered PoA-DD.
164. For the changes referred to in paragraphs 143(a)(i)–(ii) and 143(a)(iv) above, the course of action shall be:
  - (a) Approve the changes; or
  - (b) Reject the changes.
165. Once a decision has been made by the Board, the secretariat shall inform the DOE of the decision, the reasons thereof, and any guidance provided by the Board as applicable, and

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

166. After the publication of the ruling, the DOE, or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the ruling. Only one such request, regardless of the requesting party, shall be allowed per ruling. In this case, the DOE, or the coordinating/managing entity, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
167. The secretariat shall make the revised PoA-DD, and the validation by the DOE, publicly available on the UNFCCC CDM website. This version of the PoA-DD shall be applied for inclusion of new CPAs in the registered CDM PoA.
168. The CPAs that were included before the changes to the registered CDM PoA do not need to be revised to apply the latest version of the PoA-DD immediately, but shall apply the latest version of the PoA-DD at the time of the renewal of their crediting periods.

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

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

### **6.3. Changes to component project activities**

#### **6.3.1. Submission of notification of changes**

170. If there are changes that have occurred or are expected to occur to an included CPA, the coordinating/managing entity shall prepare a revised CPA-DD reflecting the changes and submit it together with supporting documentation to a DOE for validation. The changes shall be within the scope of the following acceptable changes, and meet the associated conditions, as specified in the "CDM project standard for programmes of activities":
  - (a) Temporary deviations from the monitoring plan as described in the included CPA-DD (hereinafter referred to as the registered monitoring plan), the applied methodologies, the applied standardized baselines or the other applied methodological regulatory documents;
  - (b) Permanent changes:
    - (i) Corrections;
    - (ii) Changes to the start-date of the crediting period;



- (iii) Inclusion of the monitoring plan (to the included CPA-DD, if the monitoring plan was not included at the time of inclusion);
  - (iv) Permanent changes to the registered monitoring plan, or permanent deviation of monitoring from the applied methodologies, the applied standardized baselines, or the other applied methodological regulatory documents;
  - (v) Changes to the project design.
171. For the changes referred to in paragraph 170(a) above, the coordinating/managing entity is not required to prepare a revised CPA-DD, but shall describe the proposed changes in the monitoring report.
172. For the changes referred to in paragraph 170(b)(ii) above, if the change is up to one year (up to two years for a CPA hosted by a least developed country), the coordinating/managing entity is not required to prepare a revised CPA-DD, but shall notify the secretariat, by email through a dedicated email address, of the change. The secretariat shall indicate the change and the date of notification on the project view page of the relevant CPA accordingly. If the change is more than one year (more than two years for a CPA hosted by a least developed country), the coordinating/managing entity shall prepare a revised CPA-DD.
173. For submitting a notification of changes to the secretariat, the coordinating/managing entity may appoint any DOE for validation of the changes. The coordinating/managing entity may appoint this DOE to also perform verification for the same registered CDM PoA if it has not performed other validation activities for the PoA (i.e. for registration of the PoA, renewal of PoA period, renewal of crediting period and inclusion of the CPA in the PoA), unless the DOE is authorized by the Board to do so in accordance with section 7.1 below.
174. For notification of changes to a CPA, the DOE shall be accredited in the sectoral scope(s) of the CPA.
175. The DOE shall notify the secretariat of the changes to the included CPA by submitting the revised CPA-DD, after its positive validation, and the following supporting documents to the secretariat through a dedicated interface on the UNFCCC CDM website:
- (a) A duly completed “Post-registration changes notification form” (CDM-CPA-PRC-FORM);
  - (b) A validation opinion on the changes by the DOE prepared in accordance with the “CDM validation and verification standard for programmes of activities”;
  - (c) A revised CPA-DD (in both clean and track-changes versions) or a monitoring report, as applicable;
  - (d) Supplemental documentation, as appropriate.
176. For the changes referred to in paragraph 170(b)(v) above, if the change relates to an increase in the capacity or addition of technologies/measures, the DOE shall submit a

notification of changes to the secretariat within two years of the commissioning or implementation of the changes, whichever is later.

### **6.3.2. Processing notification of changes**

177. The secretariat shall maintain a publicly available list of all submitted notifications of changes to a CPA on the UNFCCC CDM website. The secretariat shall assess the notifications of change on a sample basis.
178. A notification of change to a CPA submitted by the DOE that has not been selected for assessment by the secretariat will be automatically displayed on the view page of the registered CDM PoA. The secretariat shall automatically notify the DOE, the coordinating/managing entity and the DNA of the change to the CPA.
179. For the changes referred to in paragraph 170(b)(v) above, if the change relates to an increase in the capacity or addition of technologies/measures, the secretariat shall, upon publication of the notification of changes, notify the DNAs of the Parties involved that the secretariat has received the notification of such post-registration changes. A Party involved may object to the proposed change within 14 days of receipt of such notification in writing to the secretariat. If the secretariat receives such objection, the case shall be processed in accordance with paragraph 182 below.
180. If the DNA of a Party involved in the registered CDM PoA or a Board member identifies information that may prohibit the notified change, they shall request a review of the notification of change to the CPA by notifying the Secretary of the Board within one year of the notification of change being reflected on the webpage in accordance with paragraph 178 above by submitting a completed "Component project activity inclusion review form" (CDM-CPA-IR-FORM). The review of the notification of change shall follow the provisions of paragraphs 131–134 above mutatis mutandis.
181. For the notifications of changes to CPAs selected for assessment by the secretariat, the secretariat shall make publicly available the schedule of processing the notifications of changes, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the notifications of changes in accordance with the secretariat's operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Board.
182. The notifications of changes selected for assessment by the secretariat shall be further processed, finalized and withdrawn as applicable, by following the provisions of paragraphs 150–168 above mutatis mutandis. If the Board rejects a change to a CPA, the secretariat shall assess all post-registration changes of the same type to CPAs that have been notified, by following the provisions of paragraphs 150–168 above mutatis mutandis.
183. The secretariat shall make the revised CPA-DD and the validation report publicly available on the UNFCCC CDM website. This version of the CPA-DD shall be applied for future requests for issuance.

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

### **6.4.1. General requirements**

184. The focal points for scope (b) of the registered CDM PoA referred to in paragraph 33 above shall request changes to any modalities of the MoC statement to the secretariat within 90 days after the changes become effective.
185. The authorized signatories or the legal representatives of the project participants, the focal points, or the DNAs of the Parties involved may directly notify the secretariat on any issues regarding the MoC statement through a specified e-mail account made available on the CDM Registry section of the UNFCCC CDM website. In this case, the secretariat may request additional clarifications. The secretariat may contact the focal points or the project participants of the respective registered CDM PoA or, in the case of insolvency, liquidators/administrators, in order to request additional clarifications from these entities. The secretariat shall advise on further actions to the parties involved including those referred to in section 6.4.2 below.
186. The secretariat shall request a new submission of an MoC statement through the validating DOE whenever the secretariat identifies inconsistencies or inaccuracies in an initial MoC statement or when inconsistencies or inaccuracies are reported to the secretariat. The secretariat may provide specific guidance for the re-submission and may, after sending a notice to the focal points and the project participants, temporarily put on hold the forwarding of CERs if the inconsistencies or inaccuracies prevent the secretariat from establishing the focal points for scope of authority (a). For any other inconsistencies or inaccuracies, the secretariat may temporarily put on hold the forwarding of CERs, after sending a notice to the focal points and the project participants, if the new submission is not received by the secretariat within 90 days of requesting a new submission.
187. The focal points shall use the valid version of the “Modalities of communication statement form” (CDM-MOC-FORM) to request changes to the modalities of communication and shall submit it to the secretariat through a dedicated interface on the UNFCCC CDM website.
188. The focal points for scope (b) who submit a new MoC statement in accordance with paragraph 197(a) below shall ensure that supporting documentation, including powers of attorney, or extracts from board meeting minutes or company association documentation, or extracts/certificates from national company registries that cannot be verified online, is dated or notarized within two years from the time of submission of a request for change to the modalities of communication. This time limitation does not apply to letters of approval issued by DNAs or to copies of national personal identity documents.
189. The legal representatives signing on behalf of the coordinating/managing entity, the focal points or project participants shall provide written evidence that they are authorized to sign on behalf of the respective entities.
190. The secretariat shall process requests for changes to MoC statements following the steps described in each of the sections 6.4.2–6.4.5 below. Wherever specific steps are not described, the secretariat shall review the requests on the basis of compliance with the documentary requirements. In the absence of clear evidence to support a specific request, the secretariat may request additional information prior to approving or rejecting the

request. In the case of a rejection, the secretariat shall provide reasons for the rejection and additional guidance as appropriate.

191. The secretariat shall make detailed guidance available on the CDM Registry section of the UNFCCC CDM website on how to request changes to the project participants and focal points.
192. The secretariat shall display the effective dates of updated MoC statements on the corresponding registered CDM PoA view pages.

#### **6.4.2. Reported issues resulting from insolvency and/or disputes on modalities of communication**

193. In accordance with paragraph 185 above, the project participants or focal points may notify the secretariat of any issues regarding the MoC statement, including the issues resulting from insolvency and/or of disputes in relation to the MoC statement with regard to the designation or changes to the designation of focal points.
194. The secretariat may engage the DNAs of the Parties involved in the respective registered CDM PoA whenever issues resulting from insolvency and/or disputes over the designation of focal points are communicated to the secretariat. The secretariat may provide information, subject to the confidentiality of such information, and/or administrative assistance to the DNAs if so requested by the respective DNAs.
195. The CDM registry administrator may, after sending a notice to the focal points and the project participants, temporarily put on hold the forwarding of CERs for the registered CDM PoA for which the project participants or the focal points have communicated a case of insolvency and/or a dispute in relation to the MoC statement, pending resolution of the issues resulting from insolvency or resolution of the disputes.
196. The secretariat shall display indicative information, subject to the confidentiality, on the respective registered CDM PoA page on the UNFCCC CDM website, related to the notifications to the secretariat of issues resulting from insolvency and/or of disputes only in the cases where the forwarding of CERs has been temporarily put on hold pending the resolution of the issues.

#### **6.4.3. Changes of focal points**

197. The project participants of a registered CDM PoA may change the designation of any of the focal points for any reason and at any time by submitting a new MoC statement duly signed by the coordinating/managing entity, either through:
  - (a) The focal points for scope of authority (b); or
  - (b) The incoming coordinating/managing entity.
198. For changing the designation of focal points in accordance with paragraph 197 above, the submission shall be made as follows:
  - (a) A new MoC statement for changes related to designation of focal points, with the exception of changes affecting only contact details and specimen signatures;
  - (b) Annex 2 of the MoC statement, for changes related only to contact details and specimen signatures.

199. When a focal point who is not a project participant is added to represent the project participants for any or all scopes of authority, the new MoC statement referred to in paragraph 198(a) above shall be supported by written evidence of:
- (a) The new focal point's corporate identity; and
  - (b) The personal identity and employment status of the new focal point's authorized signatory(ies), including specimen signature(s).
200. The legal representative of a focal point for scope of authority (b) may submit annex 2 of the MoC statement if the authorized signatory(ies) of the focal point concerned is(are) no longer available.

#### **6.4.4. Change of coordinating/managing entity**

201. When the coordinating/managing entity is changing, the incoming coordinating/managing entity shall sign and submit the MoC statement to the secretariat. The incoming coordinating/managing entity shall also attach letter(s) of authorization from each respective host Party stating the change of coordinating/managing entity and a confirmation from the new coordinating/managing entity that the registered CDM PoA will be developed and implemented with the same set framework as originally described in the PoA DD, by using the "Change of coordinating/managing entity for programme of activities form" (CDM-CME-FORM).
202. In addition to the requirements as referred to in paragraphs 184–201 above, if the coordinating/managing entity for a registered CDM PoA has changed after the registration of the PoA, the DOE undertaking the next inclusion of a CPA, the DOE that submits the next request for issuance of CERs or the DOE that submits the next post-registration change request, whichever is earliest, shall submit a validation opinion regarding the compliance of the new coordinating/managing entity with the applicable requirements in the "CDM project standard for programmes of activities".
203. The coordinating/managing entity may also contract a DOE only for the purpose of issuing a validation opinion on the change of the coordinating/managing entity, if it wants to submit the validation opinion before the next inclusion of a CPA under the registered CDM PoA, or submission of the next request for issuance or the next request for post-registration changes. In such case, the DOE shall send the documentation to the secretariat through a specified UNFCCC e-mail address or through a dedicated interface.
204. The secretariat shall assess the validation opinion and, after confirming the compliance of the new coordinating/managing entity with the applicable requirements in the "CDM project standard for programmes of activities", shall upload the validation opinion on the UNFCCC CDM website.

#### **6.4.5. Changes of project participants**

205. If the project participants of a registered CDM PoA have changed after the registration of the PoA, the focal points for scope of authority (b) shall submit annex 2 of the MoC statement for each of the following changes:
- (a) Addition of a project participant. The submission shall be accompanied by a letter of approval from the DNA authorizing participation;

- (b) Changes related to entity names/legal status. The submission shall be accompanied by a letter of approval or validating letter that includes reference to both the old and the new names/legal status of the project participant from the DNA authorizing participation;
  - (c) Withdrawal of a project participant. If a project participant has ceased operations due to bankruptcy or other reasons and is unable to sign annex 2 of the MoC statement, the submission shall be accompanied by evidence of the cessation;
  - (d) Changes related only to contact details and specimen signatures;
  - (e) Addition of, or change to, the end-date of participation of a project participant in the registered CDM PoA.
206. A project participant added to a registered CDM PoA shall accept the existing MoC statement, or a new MoC statement if it is submitted simultaneously.

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

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

207. For verification of the implementation of a registered CDM PoA and monitored GHG emission reductions or net anthropogenic GHG removals, the coordinating/managing entity or the project participants should select a DOE that has not performed validation for registration or renewal of the PoA period of the same PoA, or inclusion or renewal of crediting period of any of the CPAs covered by the verification. If the DOE has performed such validation and wishes to perform verification for the same PoA, it shall submit a request for authorization to do so from the Board by completing the "Validation and verification by same DOE authorization request form" (CDM-VV-FORM) to the secretariat. The same DOE may perform verification without obtaining authorization from the Board to do so for a registered PoA for which it has performed validation of post-registration changes of the PoA or any of the CPAs covered by the verification.
208. When submitting the request for authorization, the DOE shall justify that it would be reasonable for it to do the verification, and attach any relevant information for the justification. Such information shall include, but not be limited to:
- (a) A demonstration that there is a barrier to accessing validation/verification services of DOEs in the host country of the registered CDM PoA based on, for example, the number of requests for registration and issuance submitted for the CDM project activities and PoAs hosted by that country over the last 12 months in that country;
  - (b) Specific measures that the DOE will implement to safeguard its impartiality and integrity in undertaking the verification, including, at a minimum, the exclusion from the verification of those individuals who participated in the validation as a member of the validation team or technical review team, and the evaluation of the impartiality and conflict of interest of the individuals that will participate in the verification.
209. The Board shall decide on the request, taking into account any potential impacts that such a decision could have on the outcome of the verification. The Board may analyse whether the DOE has provided evidence that it will implement measures to safeguard the impartiality and integrity in undertaking the verification, and any other specific

circumstances that would justify the authorization of the Board, such as the barriers to access other DOEs to perform the verification.

210. If the request is received by the secretariat more than 14 days prior to the next Board meeting, the request shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.

211. The decision of the Board on the request shall be recorded in the meeting report.

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

212. The coordinating/managing entity of a registered CDM PoA shall prepare (a) monitoring report(s) in accordance with the "CDM project standard for programmes of activities", and submit it/them together with supporting documentation to the DOE contracted by the coordinating/managing entity or the project participants to perform verification of the implementation of the PoA and monitored GHG emission reductions or net anthropogenic GHG removals.

213. The DOE shall make the monitoring report publicly available through a dedicated interface on the UNFCCC CDM website, at the latest 21 days prior to undertaking the on-site inspection for the verification, if to be conducted.

214. For the monitoring report for the first monitoring period, stakeholders may submit comments, in English, within 14 days of publication of the monitoring report, to the DOE through a dedicated interface on the UNFCCC CDM website. The submitters of the comments shall provide the name and contact details of the individual or organization on whose behalf the comments are submitted. If multiple separate monitoring reports for the first monitoring period for the registered CDM PoA are prepared in accordance with the "CDM project standard for programmes of activities", stakeholders may submit comments on each monitoring report within 14 days of its respective publication. Comments from stakeholders shall:

(a) Be supported with evidence;

(b) Be specific to the registered CDM PoA;

(c) Be related to any impacts that may have been triggered by the implementation of the registered CDM PoA.

215. The secretariat shall make the comments publicly available on the UNFCCC CDM website and shall remove those that the DOE has determined to be unauthentic in accordance with the "CDM validation and verifications standard for programmes of activities".

216. When submitting the monitoring report, the DOE shall, through a dedicated interface on the UNFCCC CDM website:

(a) Select the PoA that the monitoring report concerns from a list of registered CDM PoAs;

(b) Specify the start- and end-dates of the monitoring period covered by the monitoring report.

217. If the DOE is accredited in all sectoral scopes to which the registered CDM PoA is linked through the application of methodologies, the secretariat, through the CDM information system, shall make the monitoring report publicly available on the UNFCCC website.
218. The UNFCCC CDM webpage where the monitoring report is made publicly available shall contain the following information:
- (a) The name and reference number of the registered CDM PoA;
  - (b) A link to the monitoring report;
  - (c) The name of the DOE contracted by the coordinating/managing entity for the verification;
  - (d) The name of the DOE that performed the validation of the registered CDM PoA, and, if this DOE has been authorised by the Board to perform the verification for the PoA, a reference to the meeting report where the authorization was granted.

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

219. If the coordinating/managing entity wishes to change the DOE after the publication of the monitoring report, they shall notify the secretariat of the change by e-mail, providing the name of the newly appointed DOE before the submission of the request for issuance of CERs for the registered CDM PoA. The secretariat shall obtain the confirmation from both the outgoing and incoming DOEs. Upon receipt of the confirmation from both DOEs, the secretariat shall reflect the change on the UNFCCC CDM website.
220. From the date of change of the DOE reflected on the UNFCCC CDM website, the incoming DOE shall be responsible for all the roles of DOE in the verification, including requesting the withdrawal of a published monitoring report, if applicable. The incoming DOE shall have full responsibility for the verification outcome that will be submitted when requesting issuance.
221. The incoming DOE will not need to republish the monitoring report in accordance with paragraph 213 above but, for the first verification for the registered CDM PoA, shall take into account the comments received during the global stakeholder consultation on the monitoring report conducted in accordance with paragraph 214 above.

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

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



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

223. On the later of 30 June or 31 December, subsequent to the publication of the monitoring report, and on each 30 June and 31 December thereafter, the DOE shall provide, through a dedicated interface on the UNFCCC CDM website, an update of the status of its verification activity, until it submits a request for issuance of CERs for the corresponding monitoring period for the registered CDM PoA in accordance with paragraph 224 below. The DOE shall include at least one of the following statuses in the update:
- (a) The verification contract has been terminated. In this case, the DOE shall also provide a reason for the termination to the secretariat on a confidential basis;
  - (b) The DOE has issued a negative verification opinion;
  - (c) The DOE has raised one or more corrective action requests or clarification requests, for which no response has been received from the coordinating/managing entity. In this case the DOE shall also provide a summary of the issues raised;
  - (d) The DOE is still performing the verification activity and has not yet sent any corrective action or clarification requests to the coordinating/managing entity. In this case the DOE shall also provide an explanation on the length of time taken.

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

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

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

224. The DOE, after verifying that the monitored GHG emission reductions or net anthropogenic GHG removals were determined in accordance with all applicable requirements for implementation and monitoring in the “CDM project standard for programmes of activities”, and certifying the quantity of CERs claimed in the monitoring report, by following the applicable provisions of the “CDM validation and verification standard for programmes of activities” and other applicable CDM rules and requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for issuance of CERs by using the “CDM programme of activities issuance request form” (CDM-PoA-ISS-FORM) and all the required documents listed in the completeness check checklist for requests for issuance.
225. The secretariat shall issue a statement of the share of proceeds due, or confirmation that no share of proceeds is due, determined in accordance with the provisions on the share of proceeds, as contained in appendix 1, and shall communicate this to the DOE.
226. The DOE shall communicate to the coordinating/managing entity the share of proceeds due or a confirmation that no share of proceeds is due.
227. The coordinating/managing entity shall pay the share of proceeds by bank transfer, quoting the unique reference number of the PoA referred to in paragraph 66 above, within one year of the issuance to the DOE of the statement of the share of proceeds due. For the requests for issuance submitted before 7 October 2021 for which the payment of the

share of proceeds is due but has not been paid by the same date, the coordinating/managing entity shall pay the share of proceeds by 6 October 2022.

228. If the secretariat does not receive the deposit of the share of proceeds by the one-year deadline referred to in paragraph 227 above, the request for issuance is deemed withdrawn. The same or a different DOE may submit a new request for issuance for the monitoring period covered in the withdrawn request for issuance anytime thereafter, following the applicable CDM rules and requirements valid at the time of the submission of the new request.
229. If the monitoring report submitted with the request for issuance covers a different monitoring period from the period covered by the original monitoring report published on the UNFCCC CDM website in accordance with paragraph 213 above:
- (a) The end-date of the monitoring periods of all the CPAs covered by the revised monitoring report shall be aligned to the end-date of the different monitoring period;
  - (b) The request for issuance shall be for the first batch of CPAs included in the registered CDM PoA, if the coordinating/managing entity has chosen to prepare multiple separate monitoring reports for different batches of CPAs included in the PoA in accordance with paragraph 230(a)(ii) below;
  - (c) The DOE shall indicate the change of monitoring period in the “CDM programme of activities issuance request form” (CDM-PoA-ISS-FORM);
  - (d) If the final date of the changed monitoring period is after the date of the DOE’s on-site inspection referred to in paragraph 213 above, the DOE shall undertake an additional on-site inspection; or decide whether a new on-site inspection is necessary in order to duly perform its verification by following the applicable provisions of the “CDM validation and verification standard for programmes of activities”;
  - (e) The secretariat shall reflect the dates of the revised monitoring report in the view page of that registered CDM PoA.
230. The following applies to the requests for issuance:
- (a) The request for issuance for a specified monitoring period shall:
    - (i) Cover all monitoring results contained in the published single monitoring report;
    - (ii) Cover all monitoring results contained in one of the published multiple monitoring reports for the monitoring period; or
    - (iii) Cover all monitoring results of a batch of the CPAs covered by the published single monitoring report or any of the published multiple monitoring reports.
  - (b) The monitoring periods shall be consecutive. CPAs shall be included in issuance requests in a consecutive manner, that is, a CPA can be included in a request for issuance for the registered CDM PoA for a monitoring period only after the request for issuance for the previous monitoring period that included the particular CPA has been published;

- (c) If the registered CDM PoA applies any of the methodologies listed in appendix 3 as indicating potential accrual of negative GHG emission reductions, a request for issuance for a monitoring period can be submitted only after CERs have been issued for all CPAs included in the PoA for the previous monitoring period.

231. If the DOE submits changes to a registered CDM PoA for acceptance by the Board together with the request for issuance in accordance with paragraph 144 above, it shall also submit the documentation and information listed in paragraph 149 above in addition to those referred to in paragraph 224 above.

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

232. The secretariat shall maintain on the UNFCCC CDM website a publicly available list of all submitted requests for issuance for which the applicable share of proceeds has been received by the secretariat. The secretariat shall make publicly available the schedule of processing the requests for issuance, including the expected date of commencement. The secretariat shall schedule the commencement of the processing of the requests for issuance in accordance with the secretariat's operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Board.

233. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within seven days a completeness check to determine whether the request for issuance submission is complete in accordance with the completeness check checklist for requests for issuance.

234. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete.

235. If a "comments annex" referred to in the "CDM validation and verification standard for programmes of activities" is attached to the verification report, the secretariat shall forward it to the DNAs of the Parties involved.

236. Upon conclusion of the completeness check stage, the secretariat shall notify the coordinating/managing entity and the DOE of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the coordinating/managing entity and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for issuance with revised documentation. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.

237. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Board, conduct within 23 days an information and reporting check in accordance with the information and reporting checklist for requests for issuance.

238. If the secretariat, during the information and reporting check, identifies issues of an editorial nature or missing basic information, it shall request the DOE by e-mail, copying

the coordinating/managing entity, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within two days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission cannot be processed any further.

239. Upon conclusion of the information and reporting check stage, the secretariat shall notify the coordinating/managing entity and the DOE of the conclusion of the information and reporting check stage. If the request submission for which the secretariat conducted an information and reporting check does not meet the requirements of the information and reporting check, the secretariat shall conclude that the request submission cannot be processed any further and communicate the underlying reasons to the coordinating/managing entity and the DOE, and make them publicly available on the UNFCCC CDM website. In this case, the DOE may re-submit the request for issuance with revised documentation. Upon submission of the revised documentation, the request shall be processed further.
240. Upon positive conclusion of the information and reporting check stage, the secretariat shall publish the request for issuance on the UNFCCC CDM website, and the request for issuance shall be deemed received by the Board for consideration.
241. If the request cannot be processed any further in accordance with paragraph 239 above, the DOE, or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they are not clear enough to them. Only one such request, regardless of the requesting party, shall be allowed per request for issuance. In this case, the DOE, or the coordinating/managing entity, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
242. The secretariat shall notify the coordinating/managing entity, the DNA(s) of the Party(ies) involved, and the DOE that: the Board has received the request for issuance for consideration of issuance; the secretariat has published the request for issuance on the UNFCCC CDM website; and the last day by which members of the Board or a Party involved may request a review of request for issuance, as referred to in paragraph 244 below.
243. The secretariat shall, subject to the guidance of the Board, prepare and send to the Board a summary note on the request for issuance within 14 days of the date of publication of the request for issuance.

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

244. Any Party involved in the registered CDM PoA and any member of the Board may request a review of the request for issuance within 42 days of the date of publication of the request for issuance. If a Party involved wishes to request a review, the relevant DNA shall send the request by e-mail to the secretariat, using the "CDM project activity/programme of activities issuance request review form" (CDM-ISSR-FORM). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the same form and in accordance with appendix 2.

245. For a multi-country hosted registered CDM PoA, the request for review raised by a host Party of the PoA shall affect only the CPAs in the territory of that Party.
246. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.
247. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the request for review period referred to in paragraph 244 above following the publication of the request for issuance.
248. A request for review shall provide, inter alia, the reasons for the request for review based on the “CDM project standard for programmes of activities”, “CDM validation and verification standard for programmes of activities” or any other applicable CDM rules and requirements.

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

249. If the secretariat does not receive a request for review from a Party involved or at least three members of the Board in accordance with the modalities described in section 8.1.3 above, the Board shall instruct the CDM registry administrator to issue the quantity of CERs claimed in the request for issuance into the pending account of the Board in the CDM registry in accordance with decision 3/CMP.1, annex, paragraph 66.
250. The secretariat shall inform the coordinating/managing entity of the Board’s instruction to the CDM registry administrator. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.
251. The coordinating/managing entity shall instruct the CDM registry administrator on the distribution of the CERs using the “Certified emission reductions forwarding request form” (CDM-FWD-FORM). After receiving the instruction from the coordinating/managing entity, the secretariat shall forward the CERs to the project participants specified in the CDM-FWD-FORM.
252. For an approved request for issuance for which the share of proceeds has not been paid prior to the start of the completeness check of the request in accordance with a past version of this procedure valid at the time of the submission of the request,<sup>5</sup> the coordinating/managing entity shall pay the share of proceeds and instruct the CDM registry administrator on the distribution of the CERs using the CDM-FWD-FORM. In doing so, the coordinating/managing entity may divide the payment of the share of proceeds in multiple instalments per approved request for issuance, with a minimum of USD 1,500 for each instalment except for the last instalment, which shall be no less than USD 500. In such case, the coordinating/managing entity shall, for each instalment, request the secretariat to issue a payment instruction for the instalment, specifying the quantity of CERs to be released, prior to making the payment. Also in such case, if the monitoring period straddles the first and second commitment periods of the Kyoto Protocol, the coordinating/managing entity may specify the commitment period for which the CERs are to be released. After receiving the payment and the CDM-FWD-FORM from the

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<sup>5</sup> Applicable to all requests for issuance submitted before 1 June 2018, when an amendment to this procedure changed the timing of payment of share of proceeds to prior to the start of the completeness check of requests for issuance.

coordinating/managing entity, the secretariat shall forward the corresponding quantity of CERs to the project participants specified in the CDM-FWD-FORM.

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

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

253. If a Party involved in the registered CDM PoA, or at least three members of the Board, request a review of the request for issuance, the secretariat shall:
- (a) Notify the coordinating/managing entity and the DOE that verified and certified the claimed CERs, that a Party involved in the registered CDM PoA, or at least three members of the Board, have requested a review of the request for issuance;
  - (b) Mark the request for issuance as “under review” on the UNFCCC CDM website and make publicly available an anonymous version of each “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM);
  - (c) Establish a team comprising two experts selected from the RIT Team to conduct an assessment of the request for review. The secretariat shall appoint one of the RIT Team members to serve as the lead, who shall be responsible for all communications with the secretariat.
254. The DOE or the coordinating/managing entity may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the issues identified if they were not clear enough to them. Only one such request, regardless of the requesting party, shall be allowed per review of the request for issuance. In this case, the DOE, or the coordinating/managing entity, shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
255. The coordinating/managing entity, and the DOE, shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for review.
256. For each issue (or sub-issue) raised in the request for review, the coordinating/managing entity, and the DOE, shall either:
- (a) Respond by making any revisions that they deem necessary to the monitoring report and attached spreadsheets, verification report, and/or certification report, and where there is a change to the number of CERs requested, by also submitting a new request for issuance form, to ensure, inter alia, that all facts are clearly stated and sufficiently verified; or
  - (b) Respond in writing by addressing why no revisions to the monitoring report, verification report, and/or certification report are necessary.
257. The secretariat shall schedule the commencement of the review of the request for issuance in accordance with its operational plans and any relevant instructions from the Board. The secretariat shall make the schedule of review publicly available on the UNFCCC CDM website. Upon scheduling the commencement date, or altering it as

applicable, the secretariat shall inform the coordinating/managing entity and the DOE of the scheduled or altered commencement date.

258. The date of commencement of the review shall be the date when the secretariat notifies the coordinating/managing entity, and the DOE, that the review has commenced.

### **8.2.2. Assessment**

259. The secretariat shall conduct an assessment of the request for issuance in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM) and the applicable CDM rules and requirements, taking into account the responses from the coordinating/managing entity and the DOE.

260. Concurrent and independent of the secretariat’s assessment referred to in paragraph 259 above, the RIT Team established in accordance with paragraph 253(c) above shall conduct an assessment of the request for issuance in accordance with the terms of reference of the RIT, and in the context of the reasons for the request for review provided in the “CDM project activity/programme of activities issuance request review form” (CDM-ISSR-FORM) and the applicable CDM rules and requirements, taking into account the responses of the coordinating/managing entity and the DOE.

261. Both the secretariat and the RIT Team shall finalize their assessments no later than 14 days after the commencement of the review.

262. Both the secretariat and the RIT Team shall, in their assessment reports, include a proposed decision taking into account appendix 2. Each proposed decision shall suggest either:

- (a) Issuing the CERs; or
- (b) Rejecting the request for issuance.

263. If a proposed decision is to reject the request for issuance, then the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:

- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
- (b) The CDM rules and requirements applied to the facts;
- (c) The interpretation of the CDM rules and requirements as applied to the facts.

264. In addition, both the secretariat and the RIT Team shall, in their assessment reports, highlight any issues of significance related to the policies and goals of the CDM arising from the assessment. The secretariat, in consultation with the Chair of the Board, shall bring these issues to the attention of the Board by preparing background notes and policy options and presenting them to the Board at its meetings.

265. The RIT Team shall submit its assessment report to the Board through the secretariat.

266. The secretariat shall inform the Board of the availability of each assessment report, and make each assessment report available to the Board, together with any responses from

the coordinating/managing entity and the DOE, and any revision to the monitoring report, verification report and/or other relevant documentation.

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

267. If the assessment reports of the secretariat and the RIT Team contain the same proposed decision (i.e. both are to issue the CERs, or both are to reject the request for issuance), then the proposed decision shall become the final decision of the Board 20 days after the date when the availability of the assessment report of the secretariat or the RIT Team, whichever was later, was communicated to the Board, unless a member of the Board objects to the proposed decision.
268. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
269. If a member of the Board objects to the proposed decision more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
270. If the assessment reports of the secretariat and the RIT Team contain different proposed decisions (i.e. one is to issue the CERs and the other is to reject the request for issuance) and the Board receives both proposed decisions more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise, the case shall be placed on the agenda of the subsequent Board meeting.
271. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, decide either to:
- (a) Issue the CERs; or
  - (b) Reject the request for issuance.

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

272. If the Board's final decision made in accordance with paragraph 267 or 271 above is to issue the CERs, the Board shall instruct the CDM registry administrator to issue the specified quantity of CERs into the pending account of the Board in the CDM registry in accordance with decision 3/CMP.1, annex, paragraph 66.
273. The secretariat shall inform the coordinating/managing entity of the Board's instruction to the CDM registry administrator and of any additional share of proceeds payable by the coordinating/managing entity to cover administrative expenses of the CDM in accordance with the provisions contained in appendix 1. The secretariat shall update the status of the request for issuance on the UNFCCC CDM website accordingly.
274. The coordinating/managing entity shall pay additional share of proceeds, if applicable. The CDM registry administrator shall issue the specified quantity of CERs into the pending account of the Board in the CDM registry. The coordinating/managing entity shall instruct the CDM registry administrator on the distribution of the CERs using the "Certified emission reductions forwarding request form" (CDM-FWD-FORM). After receiving the instruction from the coordinating/managing entity, the secretariat shall forward the CERs to the project participants specified in the CDM-FWD-FORM.



275. For an approved request for issuance for which the share of proceeds has not been paid prior to the start of the completeness check of the request in accordance with a past version of this procedure valid at the time of the submission of the request,<sup>6</sup> the provisions in paragraph 252 above shall apply.
276. If the Board's final decision made in accordance with paragraph 267 or 271 above is to reject the request for issuance, the secretariat shall update the information on the UNFCCC CDM website accordingly on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the secretariat shall provide the Chair of the Board with an information note containing a proposed ruling incorporating the final decision.
277. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The CDM rules and requirements applied to the facts;
  - (c) The interpretation of the CDM rules and requirements as applied to the facts.
278. Once approved by the Chair of the Board, the secretariat shall immediately make the proposed ruling available to the Board. The proposed ruling shall become the final ruling of the Board 10 days after the date when the proposed ruling was made available to the Board, unless a member of the Board objects to the proposed ruling.
279. An objection by a member of the Board shall be made by notifying the Chair of the Board through the secretariat, giving reasons in writing and in accordance with appendix 2. The secretariat shall acknowledge receipt of the objection and make it available to the Board.
280. If a member of the Board objects to the proposed ruling more than 14 days prior to the next Board meeting, the case shall be placed on the agenda of the next Board meeting; otherwise it shall be placed on the agenda of the subsequent Board meeting.
281. At the Board meeting for which the case is placed on the agenda, the Board shall, in accordance with appendix 2, finalize the ruling.
282. The secretariat shall publish a ruling note on the UNFCCC CDM website no later than three days after the ruling was finalized.
283. After the publication of the ruling note, the DOE, or the coordinating/managing entity, may request the secretariat, by e-mail through a dedicated e-mail address, to make a telephone call or an internet-based call to them to provide clarifications on the ruling. Only one such request, regardless of the requesting party, shall be allowed per ruling. In this case, the DOE, or the coordinating/managing entity shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
284. If the request for issuance is rejected in accordance with paragraph 267 or 271 above, the DOE may re-submit the request for issuance with revised documentation if the reasons

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<sup>6</sup> See footnote 5.

for the rejection can be addressed by means of a revised verification report, based on a revised monitoring report as appropriate.

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

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

285. For the following cases, the DOE shall submit a request for withdrawal of a request for issuance by using the “Issuance request withdrawal form” (CDM-ISSW-FORM) and uploading it through a dedicated interface on the UNFCCC CDM website:

- (a) The coordinating/managing entity voluntarily wishes to withdraw the request for issuance for the specified monitoring period;<sup>7</sup>
- (b) The DOE has revised its verification report and/or certification report based on new insights or information.

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

286. Upon receipt of the request for withdrawal of a request for issuance, the secretariat shall as soon as possible check the documents submitted and, if the request is complete, update the information on the project view page of the relevant registered CDM PoA. If the DOE requests the withdrawal after the publication of the request for issuance was made in accordance with paragraph 240 above, the request for issuance shall be marked as “withdrawn”. The DOE may re-submit the request for issuance at any time.

287. If the coordinating/managing entity wishes to change the monitoring period covered by the monitoring report that corresponds to the withdrawn request for issuance, the DOE shall request the withdrawal of the published monitoring report in accordance with paragraph 222 above first, then publish and verify a revised monitoring report. If the final date of the changed monitoring period is after the date of the DOE’s on-site inspection referred to in paragraph 213 above, the DOE shall undertake an additional on-site inspection; or decide whether an on-site inspection is necessary in order to duly perform its verification by following the applicable provisions of the “CDM validation and verification standard for programmes of activities”. After the verification, the DOE may resubmit its request for issuance.

## **9. Renewal of programme of activity and renewal of crediting period of component project activities**

### **9.1. General requirements**

288. A crediting period is defined only at the CPA level, for each CPA individually. A registered CDM PoA, as the framework, is to be renewed every seven years (every 20 years for a registered A/R CDM PoA) for a maximum of three times, that is, a maximum of 28 years in total (for a maximum of two times, that is, a maximum of 60 years in total for A/R PoAs), by updating the PoA-DD in accordance with the “CDM project standard for programmes of activities”.

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<sup>7</sup> In such cases, the DOE shall process the request expeditiously.

289. The new period of a PoA or new crediting period of a CPA shall start on the day immediately after the expiration of the current period regardless of the date when the period is deemed renewed in accordance with paragraph 302 or 316 below, respectively. If the PoA period is deemed renewed after the start of the next PoA period, the coordinating/managing entity shall not include new CPAs or renew the crediting period of included CPAs from the first day of the next PoA period until the last day before the PoA period is deemed renewed.
290. The renewal of the PoA period is not a precondition for issuance of CERs for the CPAs whose crediting periods have not expired at the end of the PoA period. A request for issuance for a PoA may cover the monitoring results of such CPAs in any monitoring period until the expiry of their crediting periods, irrespective of the timing of the renewal of the PoA period.

## **9.2. Request for renewal of programme of activities period**

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

291. For renewal of the PoA period, the coordinating/managing entity shall update the PoA-DD by preparing a new version of the PoA-DD in accordance with the “CDM project standard for programmes of activities”. In doing so, the coordinating/managing entity shall ensure that any changes to the list of project participants in the PoA-DD have been communicated to the secretariat in accordance with section 6.4 above.
292. The coordinating/managing entity shall submit the new version of the PoA-DD to a DOE for its validation. For this purpose, the coordinating/managing entity may not appoint a DOE that has performed verification for the same registered CDM PoA unless the DOE is authorized by the Board to do so in accordance with section 7.1 above, *mutatis mutandis*.
293. If the new version of the PoA-DD cannot apply the methodologies or methodological tools applied in the registered PoA-DD because the registered CDM PoA does not meet the applicability conditions of the valid version of the methodologies or methodological tools at the time of the submission of the request for renewal of the PoA period, or, if applicable, of the consolidated methodologies, the coordinating/managing entity may select other methodologies or, request, through the DOE, a deviation from the selected methodologies or methodological tools for the purpose of the renewal of the PoA period in accordance with section 4.6 above, *mutatis mutandis*.
294. For the purpose of renewal of the PoA period it is not necessary to obtain a new letter of approval from the Parties involved.
295. The DOE, after validating that the new version of the PoA-DD meets all applicable requirements for renewal of the PoA period in the “CDM project standard for programmes of activities” by following the applicable provisions of the “CDM validation and verification standard for programmes of activities” and other applicable CDM rules and requirements, shall submit, through a dedicated interface on the UNFCCC CDM website, a request for renewal of the PoA period using the “Renewal of programme of activities period request form” (CDM-POA-REN-FORM) together with the new version of the PoA-DD and the validation report. Such a submission shall be made no earlier than 270 days prior to the expiry of the PoA period. The secretariat, through the CDM information system, shall send a reminder to the coordinating/managing entity 270 days prior to the expiry of the PoA

period, including the information on the implications of the timing of renewal referred to in paragraph 289 above.

296. No fee is due for requests for renewal of the PoA period.

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

297. For processing of the request for renewal of PoA period, the provisions in section 5.1.2 above shall apply mutatis mutandis.

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

298. A Party involved in the registered CDM PoA and/or any member of the Board may request a review of the request for renewal of the PoA period within 28 days after the date of publication of the request for renewal. If a Party involved wishes to request a review, the relevant DNA shall send the request by e-mail to the secretariat, using the “Renewal request review form” (CDM-RENR-FORM). If a member of the Board wishes to request a review, he/she shall communicate the request to the Board through the secretariat, using the “Renewal request review form” (CDM-RENR-FORM) and in accordance with appendix 2.

299. The secretariat shall acknowledge receipt of a request for review and promptly make it available to the Board.

300. A request for review shall be deemed to be received by the Board on the date it has been received by the secretariat. A request for review shall not be recognized by the Board if it is received after 5 p.m. GMT of the last day of the 28-day period following the publication of the request for renewal.

301. A request for review shall provide, inter alia, the reasons for the request for review based on the “CDM project standard for programmes of activities”, “CDM validation and verification standard for programmes of activities” or any other applicable CDM rules and requirements.

#### **9.2.4. Finalizing request for renewal**

302. The period of the registered CDM PoA shall be deemed renewed 28 days after the publication of the request for renewal of the PoA period on the UNFCCC CDM website, unless a Party involved or at least three members of the Board request a review of the request for renewal, in which case the PoA period is deemed renewed on the day when the Board adopted the relevant decision.

### **9.3. Review of request for renewal of programme of activities period**

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

### **9.4. Withdrawal of request for renewal of programme of activities period**

304. At any time before the decision of the Board on the request for renewal of the PoA period, the coordinating/managing entity, through the DOE, may request withdrawal of the request for renewal by submitting the request to the secretariat using the “Renewal request withdrawal form” (CDM-RENW-FORM). If the DOE requests the withdrawal after the

publication of the request for renewal, the secretariat shall mark the request for renewal on the UNFCCC CDM website as “withdrawn”.

305. For a withdrawal of the request for renewal of the PoA period, the provisions in section 5.3 above shall apply *mutatis mutandis*.

#### **9.5. Submission of request for post-registration changes together with request for renewal of programme of activities period**

306. The coordinating/managing entity may combine a request for approval of a post-registration change to a registered CDM PoA listed in paragraph 143 above with a request for renewal of the PoA period, so that the proposed change can be effective from the first day of the next PoA period. In this case, the DOE contracted for this purpose shall submit the following documentation:

- (a) A duly completed “Post-registration changes request form” (CDM-PRC-FORM);
- (b) A duly completed “Renewal of programme of activities period request form” (CDM-POA-REN-FORM);
- (c) A new version of the PoA-DD including both the updates for the purpose of renewal and the post-registration change (in both clean and track-change versions);
- (d) A validation report on the post-registration change and on the renewal of the PoA period prepared by the DOE in accordance with the “CDM validation and verification standard for programmes of activities”;
- (e) Letters of approval by the DNAs of the added host Parties in the PoA, as applicable;
- (f) Supplemental documentation, as appropriate.

307. If a request for approval of post-registration change for the change that becomes effective from the start of the next PoA period is not combined with a request for renewal of the PoA period, the latter request shall be approved by the Board before the former request may be submitted.

308. If a post-registration change becomes effective during the PoA period prior to or after its renewal, a request for approval of such post-registration change shall not be combined with a request for renewal of PoA period.

309. The combined request shall be processed in accordance with the provisions in sections 9.2 to 9.4 above, *mutatis mutandis*.

310. The decision of the Board shall be to:

- (a) Approve the renewal of the PoA period with the requested post-registration change;
- (b) Approve the renewal of the PoA period without the requested post-registration change; or
- (c) Reject the renewal of the PoA period.

311. If the Board's decision is in accordance with paragraph 310(b) above, the coordinating/managing entity shall, through the DOE, submit an updated PoA-DD, and the DOE shall confirm that the PoA-DD has been correctly updated.
312. No monitoring report may be published for the renewed PoA period until the DOE submits to the secretariat the updated PoA-DD and its confirmation in accordance with paragraph 311 above.

## **9.6. Renewal of crediting period of component project activity**

313. For the renewal of crediting period of an included CPA, the coordinating/managing entity shall prepare a new version of the CPA-DD in accordance with the "CDM project standard for programme of activities".
314. The coordinating/managing entity shall submit the new version of the CPA-DD to a DOE for its validation. For this purpose, the coordinating/managing entity may not appoint a DOE that has performed verification for the same CPA unless the DOE is authorized by the Board to do so in accordance with section 7.1 above, *mutatis mutandis*.
315. For the renewal of crediting period of a CPA, if the DOE issues a positive validation opinion on the renewal, it shall renew the crediting period of the CPA by uploading a new version of the CPA-DD through a dedicated interface on the UNFCCC CDM website together with the "Renewal of crediting period notification form" (CDM-CPA-REN-FORM) and the validation report. Such an upload shall be made no earlier than 270 days prior to, but no later than one year after, the expiry of the crediting period. If an upload misses the deadline, the crediting period of the CPA in question may no longer be renewed. The secretariat, through the CDM information system, shall send a reminder to the coordinating/managing entity 270 days prior to the expiry of the crediting period, including the information on the consequence of missing the deadline.
316. The crediting period of the CPA for which the DOE has uploaded the new version of the CPA-DD on the UNFCCC CDM website in accordance with paragraph 315 above will be automatically renewed after the expiration of its current crediting period, and will be indicated so on the view page of the registered CDM PoA. The secretariat shall automatically notify the DOE, the coordinating/managing entity and the DNA of the change in the status of the PoA, and shall assess, on a sample basis, the renewal of crediting period of CPAs in accordance with the process referred to in paragraphs 150–161 above *mutatis mutandis*. Consequent steps and implications of the outcome shall follow the provisions in paragraphs 134–142 above, *mutatis mutandis*.
317. No fee is due for notifications for the renewal of crediting period of an included CPA.
318. For the review of an erroneous renewal of crediting period of a CPA, the provisions in section 6.1.2 above shall apply *mutatis mutandis*.

## **10. Voluntary exclusion of component project activities**

### **10.1. Submission and processing of request for voluntary exclusion**

319. Any time after the inclusion of a CPA in a registered CDM PoA, the coordinating/managing entity of the PoA may voluntarily request the exclusion of the CPA from the PoA by submitting the "Component project activity exclusion request form" (CDM-CPA-EX-

FORM), attaching evidence that all CPA implementers of the CPA agree with the exclusion, to the secretariat through a specified e-mail account made available on the UNFCCC CDM website.

320. The secretariat shall conduct a completeness check of the documents submitted within five days of receipt of the request, and if the form contains all required information, the secretariat shall mark the CPA as excluded on the UNFCCC CDM website.

## **10.2. Effects of voluntary exclusion**

321. The effective date of voluntary exclusion shall be the date when the secretariat received a complete submission of the request for voluntary exclusion.

322. A DOE may publish a monitoring report in accordance with section 7.2 above, or submit a request for issuance of CERs in accordance with section 8.1.1 above, for the PoA covering the voluntarily excluded CPA provided that the monitoring results for the excluded CPA are restricted to the period prior to the effective date of voluntary exclusion.

323. The secretariat, acting as the CDM registry administrator, shall forward CERs issued in respect of GHG emission reductions or net anthropogenic GHG removals achieved prior to the effective date of voluntary exclusion in accordance with forwarding requests, the modalities of communication and the “CDM project standard for programmes of activities”, and this procedure.

324. A DOE shall not make any monitoring report for the PoA publicly available that includes the monitoring results of the voluntarily excluded CPA for the period on or after the effective date of voluntary exclusion. The secretariat, acting as the CDM registry administrator, shall not issue CERs for the voluntarily excluded CPA for the period from the effective date of voluntary exclusion.

325. A CPA that has been voluntarily excluded from a registered CDM PoA may be re-included in the same or different registered CDM PoA, or registered as a CDM project activity. For re-inclusion in a PoA, the relevant requirements in the “CDM project standard for programmes of activities”, the “CDM validation and verification standard for programmes of activities” and the process in section 6.1 above shall apply. For registration as a CDM project activity, the relevant requirements in the “CDM project standard for project activities”, the “CDM validation and verification standard for project activities” and the relevant process in the “CDM project cycle procedure for project activities” shall apply.

## Appendix 1. Fee schedule

### 1. Background

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

### 2. Share of proceeds and registration fee

3. The share of proceeds to cover administrative expenses for CDM PoAs is:
  - (a) USD 0.10 per certified emission reduction (CER) issued for the first 15,000 tonnes of CO<sub>2</sub> equivalent for which issuance is requested in a given calendar year;
  - (b) USD 0.20 per CER issued for any amount in excess of 15,000 tonnes of CO<sub>2</sub> equivalent for which issuance is requested in a given calendar year;
  - (c) No share of proceeds shall be due for CDM PoAs hosted in least developed countries. In the case of CDM PoAs hosted not exclusively in least developed countries, the exemption from the share of proceeds applies to the issuance of CERs for the greenhouse gas emission reductions occurring in component project activities (CPAs) hosted in least developed countries. The application of this exemption from the share of proceeds shall be based on the status of the country on the date of publication of the request for issuance of CERs.
4. If a proposed CDM PoA only applies small-scale methodologies, the registration fee shall be USD 10,000; otherwise the registration fee shall be USD 20,000. For each CPA which is included subsequently, no registration fee is payable.
5. Upon re-submission of a request for registration of a proposed CDM PoA directly following a determination by the secretariat that the submission is incomplete, no new registration fee shall be payable.
6. No registration fee shall be payable for proposed CDM PoAs hosted exclusively in least developed countries. The registration fee for PoAs hosted not exclusively in least developed countries shall be the same rate referred to in paragraph 4 above. The application of this exemption shall be based on the status of the country on the date of the publication of the request for registration.
7. No registration fee shall be payable until after the date of the first issuance of CERs in countries with fewer than 10 registered CDM project activities and PoAs in total.<sup>1</sup> The application of this exemption shall be based on the number of registered CDM project

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



activities and PoAs in the country on the date of the submission of the request for registration. If a PoA is hosted in multiple countries, no registration fee shall be payable until after the date of the first issuance of CERs if all host Parties are countries with fewer than 10 registered CDM PoAs.

8. The registration fee shall be reimbursed in full if the DOE withdraws the request for registration prior to the date when the secretariat publishes the request for registration on the UNFCCC CDM website. No reimbursement of the registration fee shall be made in any other circumstances.
9. The registration fee shall be deducted from the share of proceeds due for the issuance of CERs. In effect, the registration fee is therefore an advance payment of the share of proceeds.
10. The share of proceeds for a request for issuance paid prior to the start of the completeness check of the request shall be reimbursed in full if the DOE withdraws the request for issuance prior to the date when the secretariat publishes the request on the UNFCCC CDM website.
11. Any portion in excess of USD 30,000 of the share of proceeds for a request for issuance paid prior to the start of the completeness check of the request shall be reimbursed if the DOE withdraws the request subsequent to the date when the secretariat publishes the request on the UNFCCC CDM website, or if the Board rejects the request. Should the share of proceeds paid be USD 30,000 or less, no reimbursement shall be made. No reimbursement of the share of proceeds shall be made in any other circumstances.
12. Upon re-submission of a request for issuance directly following a determination by the secretariat that the submission is incomplete, no new share of proceeds shall be payable unless the re-submission results in an increase in the quantity of CERs claimed in the monitoring report. If the re-submission results in an increase in the quantity of CERs, then the share of proceeds due shall be re-calculated upon re-submission. The share of proceeds due upon re-submission shall be the difference between the re-calculated share of proceeds and the share of proceeds previously paid.
13. If the quantity of CERs specified by the Board for issuance is different from the quantity claimed in a request for issuance based on which the coordinating/managing entity paid the share of proceeds prior to the start of the completeness check of the request, and the difference corresponds to more than USD 200 of the share of proceeds, the difference shall be settled between the secretariat and the coordinating/managing entity. In such case, if more than USD 200 is additionally payable by the coordinating/managing entity, it shall be settled before the CDM registry administrator issues the specified quantity of CERs into the pending account of the Board in the CDM registry in accordance with paragraph 272 of the main part of this procedure.

### **3. Specific provisions for afforestation/reforestation programmes of activities**

14. For the purpose of calculating the share of proceeds for A/R CDM PoAs, CERs referred to in section 2 above shall be read as Temporary CERs (tCERs) or Long-term CERs (ICERs). Paragraphs 15 and 16 below shall apply in addition to paragraphs 1–13 above.

15. The share of proceeds to cover administrative expenses for A/R CDM PoAs shall be calculated based on one of the following:
  - (a) If the selected approach for addressing non-permanence is tCERs, the share of proceeds is based on the difference between the tCERs for which issuance is requested for a given verification period and the highest amount of tCERs previously issued in a verification period;
  - (b) If the selected approach for addressing non-permanence is ICERs, the share of proceeds is based on the difference between the ICERs for which issuance is requested for a given verification period added to the sum of all previous issuances and reversals,<sup>2</sup> and the highest among the sums of the issuances and reversals since the start of the project calculated for each previous verification period.
16. The share of proceeds to cover administrative expenses for A/R CDM PoAs is due only if the amount calculated according to paragraph 15 above is positive.

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

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

### **1. Background**

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

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

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

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

#### **3.1. General**

5. In accordance with paragraphs 83, 244 and 298 of this procedure, any members of the Board may request a review of any request for registration of a proposed CDM programme of activities (PoA), issuance of certified emission reductions (CERs) or renewal of PoA period of a registered CDM PoA.
6. In accordance with paragraphs 82, 243 and 297 of this procedure, the Board may be provided by the secretariat with a summary note on the request for registration, issuance or renewal of PoA period for its consideration of the request. It remains the responsibility of individual members of the Board to determine whether a request for review is appropriate.

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

7. It is expected that members of the Board will request a review when the request for registration, issuance or renewal of PoA period would raise the concern of a reasonable reader regarding whether the proposed CDM PoA, or the registered CDM PoA for the new period, complies with the applicable CDM rules and requirements.

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

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

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

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

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

10. In accordance with paragraph 108 of this procedure, the Board shall, at its meeting where the case of request for registration is placed on the agenda, decide on the registration.
11. The Board shall reject the request for registration in situations where the request for registration does not contain sufficient information to demonstrate to a reasonable reader that the PoA complies with the applicable CDM rules and requirements for the registration of proposed CDM PoAs.
12. The Board shall reject the request for registration if it:
  - (a) Contains information which indicates that the proposed CDM PoA does not comply with the applicable requirements;
  - (b) Contains information which indicates that the validation activity has not been conducted in a manner that complies with the applicable requirements of the “CDM accreditation standard”, “CDM project standard for programmes of activities” or the “CDM validation and verification standard for programmes of activities”;
  - (c) Contains contradictory facts regarding the compliance of the proposed CDM PoA with the applicable CDM rules and requirements;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the coordinating/managing entity within the PoA-DD, but without evidence regarding whether or how such facts have been validated.
13. The reason for rejection of a request for registration should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for registration when the responses by the DOE or the coordinating/managing entity to the request for review raise new critical concerns of the Board regarding whether the request

for registration complies with other applicable CDM rules and requirements to register the proposed PoA. Prior to rejecting a request for registration based on exceptional circumstances, the Board may, at its prerogative, have a teleconference with the DOE and/or the coordinating/managing entity during the Board meeting at which it considers the request for registration, in an attempt to clarify the concerns.

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

14. In accordance with paragraph 271 of this procedure, the Board shall, at its meeting where the case of request for issuance of CERs is placed on the agenda, decide on the issuance.
15. The Board shall reject the request for issuance in situations where the request for issuance does not contain sufficient information to demonstrate to a reasonable reader that the request for issuance complies with the applicable CDM rules and requirements for the issuance of CERs.
16. The Board shall reject the request for issuance if it:
  - (a) Contains information which indicates that the registered CDM PoA has not complied with the applicable requirements for operating and monitoring registered CDM PoAs;
  - (b) Contains information which indicates that the verification activity has not been conducted in a manner that complies with the applicable requirements of the “CDM accreditation standard”, “CDM project standard for programmes of activities” or the “CDM validation and verification standard for programmes of activities”;
  - (c) Contains contradictory facts regarding the compliance of the monitoring or operation of the registered CDM PoA with the applicable CDM rules and requirements;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the project participant(s) within the monitoring report, but without evidence regarding whether or how such facts have been verified.
17. The reason for rejection of a request for issuance should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for issuance when the responses by the DOE or the coordinating/managing entity to the request for review raise new critical concerns of the Board regarding whether the request for issuance complies with other applicable CDM rules and requirements for the issuance of CERs. Prior to rejecting a request for issuance based on exceptional circumstances, the Board may, at its prerogative, have a teleconference with the DOE and/or the coordinating/managing entity during the Board meeting at which it considers the request for issuance, in an attempt to clarify the concerns.

#### **4.4. Requests for renewal of programme of activities period**

18. In accordance with paragraph 108 effected by paragraph 303 of this procedure, the Board shall, at its meeting where the case of request for renewal of PoA period is placed on the agenda, decide on the renewal of PoA period.
19. The Board shall reject the request for renewal of PoA period in situations where the request for renewal of PoA period does not contain sufficient information to demonstrate to a reasonable reader that the registered CDM PoA complies with the applicable CDM rules and requirements for the registration of PoAs for the new period.
20. The Board shall reject the request for renewal of PoA period if it:
  - (a) Contains information which indicates that the registered CDM PoA does not comply with the applicable requirements for the new PoA period;
  - (b) Contains information which indicates that the validation activity has not been conducted in a manner that complies with the applicable requirements of either the “CDM accreditation standard”, “CDM project standard for programmes of activities” or the “CDM validation and verification standard for programmes of activities”;
  - (c) Contains contradictory facts regarding the compliance of the registered CDM PoA with the applicable CDM rules and requirements in the new PoA period;
  - (d) Does not contain sufficient facts or evidence to confirm compliance with the applicable CDM rules and requirements;
  - (e) Contains facts relevant to demonstrating compliance with an applicable CDM rule or requirement, put forward by the coordinating/managing entity within the new PoA design document (PoA-DD) and its new generic component project activity design document (CPA-DD) part, but without evidence regarding whether or how such facts have been validated.
21. The reason for rejection of a request for registration should be limited to the requirements specified in the request for review. In exceptional cases, the Board may reject the request for renewal of PoA period when the responses by the DOE or the project participants to the request for review raise new critical concerns of the Board regarding whether the request for renewal of PoA period complies with other applicable CDM rules and requirements to renew the PoA period of the registered CDM PoA. Prior to rejecting a request for renewal of PoA period based on exceptional circumstances, the Board may, at its prerogative, conduct a teleconference with the DOE and/or the coordinating/managing entity during the Board meeting at which it considers the request for renewal of PoA period, in an attempt to clarify the concerns.

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

22. In accordance with paragraphs 105, 268 and 303 of this procedure, any members of the Board may object to a proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team regarding the request for registration, issuance or renewal of PoA period under review.

23. It is expected that members of the Board will only object to a proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team in situations where both assessments:
- (a) Do not consider a fact (or set of facts) that, if considered, would result in different proposed decision;
  - (b) Contain an erroneous finding of fact (or set of facts) that, if corrected, would result in a different proposed decision;
  - (c) Contain an unreasonable interpretation of an applicable CDM rule or requirement that, if corrected, would result in a different proposed decision; or
  - (d) Contain an unreasonable application of an applicable CDM rule or requirement to the facts that, if corrected, would result in a different proposed decision.

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

24. In accordance with paragraphs 113, 279 and 303 of this procedure, any members of the Board may object to a proposed ruling prepared by the secretariat subsequent to a decision by the Board to reject a request for registration, issuance or renewal of PoA period.
25. It is expected that members of the Board will only object to the proposed ruling prepared by the secretariat in the following situations:
- (a) The proposed ruling does not contain a sufficient basis or explanation for the decision contained in the ruling; and
  - (b) The ruling differs from the assessment that formed the basis of the decision. These differences include the following:
    - (i) The findings of fact;
    - (ii) The interpretation of an applicable CDM rule or requirement;
    - (iii) The application of a CDM rule or requirement as applied to the facts.

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

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

26. In accordance with paragraphs 107, 270 and 303 of this procedure, if the proposed decisions contained in the assessment reports prepared by the secretariat and the RIT Team differ, the case shall be considered at a Board meeting.
27. The Board should apply the following process to its consideration of the case:
- (a) The secretariat presents whichever assessment has recommended the rejection of the request for registration, issuance or renewal of PoA period, outlining the requirement being questioned and the facts considered in the assessment;
  - (b) Members and alternate members of the Board may seek clarifications regarding the facts and evidence contained in the relevant request for registration, issuance or renewal of PoA period, including the response by the DOE or the

coordinating/managing entity to the request for review; and the applicable requirements;

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

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

28. In accordance with paragraphs 106 and 269 and 303 of this procedure, if a member of the Board objects to the proposed decision contained in the assessment reports prepared by the secretariat and the RIT Team, the case shall be considered at a Board meeting.

29. The Board should apply the following process to its consideration of the case:

- (a) The member(s) of the Board who made an objection should present the reasons for the objection, making reference to the additional facts or interpretations relied on beyond the assessments;
- (b) Members and alternate members of the Board may seek clarifications regarding the presentation;
- (c) The secretariat may provide any clarifications of the facts and evidence contained in the relevant request for registration, issuance or renewal of PoA period, including the response by the DOE or the coordinating/managing entity to the request for review, and the applicable requirements;
- (d) Once members have received the necessary clarifications the Chair of the Board should invite its members and alternate members to express their opinion regarding the objection;
- (e) After this discussion, the Chair of the Board shall determine and propose to the Board whether the objection should be further considered;
- (f) If consensus with the Chair's proposal is not achieved, the Chair of the Board may proceed to seek adoption of a decision via a vote in accordance with the "Rules of procedure of the Executive Board of the clean development mechanism".

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

30. In accordance with paragraphs 115 and 281 and 303 of this procedure, the Board shall, at its meeting where the case of a proposed ruling is placed on the agenda, finalize the ruling.



31. The Board should apply the following process to its consideration of the case:
- (a) The member(s) of the Board who made an objection should present the reasons for the objection, making reference to the precise areas of concern within the draft and proposing an alternative;
  - (b) Members and alternate members may seek clarifications regarding the presentation;
  - (c) The secretariat may provide any clarifications of a factual nature;
  - (d) Once members have received the necessary clarifications, the Chair of the Board should invite its members and alternate members to express their opinion regarding the objection;
  - (e) After this discussion, the Chair of the Board shall determine and propose to the Board whether the objection should be accounted for in the final revision;
  - (f) If the objection is upheld by the Board, the Chair of the Board shall request the secretariat to revise the ruling for adoption at the same meeting of the Board.

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

1. The baseline and monitoring methodologies that indicate potential accrual of negative greenhouse gas emission reductions and are therefore subject to conditions in the submission of requests for issuance of certified emission reductions as referred to in paragraph 230(c) of this procedure are the following:
  - (a) ACM0005 Increasing the blend in cement production;
  - (b) ACM0006 Consolidated methodology for electricity and heat generation from biomass;
  - (c) ACM0017 Production of biodiesel for use as fuel;
  - (d) ACM0018 Electricity generation from biomass residues in power-only plants;
  - (e) ACM0020 Co-firing of biomass residues for heat generation and/or electricity generation in grid connected power plants;
  - (f) ACM0022 Alternative waste treatment processes;
  - (g) AM0036 Fuel switch from fossil fuels to biomass residues in heat generation equipment;
  - (h) AM0057 Avoided emissions from biomass wastes through use as feed stock in pulp and paper, cardboard, fibreboard or bio-oil production;
  - (i) AM0061 Methodology for rehabilitation and/or energy efficiency improvement in existing power plants;
  - (j) AM0094 Distribution of biomass based stove and/or heater for household or institutional use;
  - (k) AM0108 Interconnection between electricity systems for energy exchange;
  - (l) Any other methodologies that include specific provisions under the section “project activity under a programme of activities”.

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## Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
03.0	9 September 2021	<p>EB 111, Annex 11.</p> <p>Revision to</p> <ul style="list-style-type: none"> <li>• Incorporate the “Amendments to version 02.0 of the CDM project cycle procedure for programmes of activities” (CDM-EB104-A07-AMEN) (version 01.0);</li> <li>• Incorporate the “Amendments to version 02.0 of the CDM project cycle procedure for programmes of activities on the payment of share of proceeds” (CDM-EB106-A14-AMEN) (version 01.0);</li> <li>• Introduce a requirement to notify the secretariat of the intention for a CPA to be included in a registered PoA no later than 180 days of the start date of the CPA;</li> <li>• Remove the reference to “the validation function” or “the verification function” when referring to the accreditation status of DOEs;</li> <li>• Introduce a deadline for the payment of the registration fee and the share of proceeds, and clarify the consequence of missing the deadline;</li> <li>• Reflect the fact that, for a PoA, the monitoring plan is to be prepared only at the specific CPA level, while at the PoA level, the generic CPA is to contain a description of how to develop the monitoring plan for each specific CPA, including the deletion of the provisions that allowed delayed submission of the “monitoring plan” at the PoA level as a post-registration change;</li> <li>• Clarify that, a request for approval of post-registration changes to a PoA may be submitted under the issuance track only if the changes do not affect the calculation of emission reductions or removals by the CPAs covered by the issuance request;</li> <li>• Correct the error of missing option for the Board decision on requests for approval of post-registration changes of design change;</li> <li>• Add a provision describing the process of notification to the secretariat of the change to the start date of the crediting period of a CPA;</li> <li>• Remove the outdated provision on the deadline for requesting for post-registration changes that occurred before 31 August 2018;</li> <li>• Improve the clarity on the types of validation activities regarding which the restriction for a DOE performing both validation and verification for the same activity applies;</li> <li>• Clarify how a single or multiple monitoring reports may be prepared for the publication and the subsequent requests for issuance for a PoA;</li> </ul>

<i>Version</i>	<i>Date</i>	<i>Description</i>
		<ul style="list-style-type: none"> <li>• Remove the outdate reference to the payment of the share of proceeds after the request for issuance is deemed approved by the Board after no request for review;</li> <li>• Re-position the provision on the process for requesting the forwarding of CERs for approved requests for issuance for which the share of proceeds has not been paid prior to the start of the completeness check, to clarify that the process is applicable to both cases where the request for issuance was approved with or without undergoing a review by the Board;</li> <li>• Add a requirement to pay additional share of proceeds in case the approved amount of CERs is higher than requested;</li> <li>• Correct the titles of the forms CDM-RENR-FORM and CDM-RENW-FORM;</li> <li>• Make editorial improvements.</li> </ul>
02.0	29 November 2018	EB 101, Annex 17 Revision to: <ul style="list-style-type: none"> <li>• Incorporate the “Amendments to version 01.0 of the CDM project cycle procedure for programmes of activities” (CDM-EB96-A12-AMEN) (version 01.0);</li> <li>• Introduce a process to notify the DNAs involved in the PoA for post-registration changes of increase in the capacity or addition of technologies/measures, and introduce a deadline for the submission of requests for approval of changes;</li> <li>• Change the consequence of the gap period resulting from a delay in submitting the notification of renewal intention from a non-claimable period for the issuance of certified emission reductions for the PoA to a period when no new CPA may be included and the crediting period of included CPA may not be renewed;</li> <li>• Delete the temporary deviation from a possible post-registration change at the PoA level;</li> <li>• Clarify that for a temporary deviation from the registered monitoring plan, the deviation shall be described in the monitoring report, not in the revised CPA-DD;</li> <li>• Align the requirement of submission of a summary of the environmental impact assessment with the current practice;</li> <li>• Restructure the provisions relating to erroneous renewal of the crediting period of CPAs;</li> <li>• Include addition of a CPA inclusion template to a PoA-DD as one type of post-registration changes to a registered PoA;</li> <li>• Change from “project participants” to “CPA implementers” from whom the agreement needs to be obtained for voluntary exclusion of a CPA;</li> <li>• Streamline the process of renewal of PoA period and renewal of crediting period of CPAs;</li> <li>• Introduce a window for submission of a request for renewal of PoA period and uploading renewed CPA-DD;</li> </ul>

<i>Version</i>	<i>Date</i>	<i>Description</i>
01.0	3 March 2017	<p>EB 93, Annex 9</p> <p>Initial adoption.</p> <p>This document, together with the “CDM project cycle procedure for project activities” (CDM-EB93-A06-PROC), was part of a single document titled “CDM project cycle procedure” (CDM-EB65-A32-PROC) until version 09.0.</p> <p>This document, together with the “CDM project standard for project activities” (CDM-EB93-A04-STAN), “CDM validation and verification standard for project activities” (CDM-EB93-A05-STAN), “CDM project cycle procedure for project activities” (CDM-EB93-A06-PROC), “CDM project standard for programmes of activities” (CDM-EB93-A07-STAN) and “CDM validation and verification standard for programmes of activities” (CDM-EB93-A08-STAN), supersedes and replaces the following documents on the date when these six documents enter into force:</p> <ul style="list-style-type: none"> <li>• “Standard: Demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities” (CDM-EB65-A03-STAN) (version 04.0);</li> <li>• “Standard: General principles for bundling” (CDM-EB21-A21-STAN) (version 03.0);</li> <li>• “Amendment to version 09.0 of the CDM project standard” (CDM-EB86-A05-AMEN) (version 01.0);</li> <li>• “Amendment to version 09.0 of the CDM project cycle procedure” (CDM-EB86-A06-AMEN) (issued at EB 86);</li> <li>• “Clarification: Renewal of crediting period of registered CDM project activity that has not been implemented in the first crediting period” (CDM-EB82-A16-CLAR) (version 01.0);</li> <li>• “Clarification: New project activity in the same physical or geographical location at which a project activity whose crediting period has expired existed” (CDM-EB83-A01-CLAR) (version 02.0).</li> </ul> <p>This document also reflects various changes for simplifying and streamlining the CDM as agreed by the Board during EB 86–EB 93.</p>

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