

CDM-EB66-A13-GUID

Guideline

Completing the programme design document form for small-scale CDM programmes of activities

Version 03.0



United Nations
Framework Convention on
Climate Change

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1. Introduction

1.1. Background

1. The Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board) adopted at its sixty-fifth meeting the “Clean development mechanism project standard” (hereinafter referred to as the Project standard) along with other regulatory documents as deliverables of objective 3(b) (“Clarification, consolidation and enhancement of the consistencies of all the existing regulatory decisions of the Board that relate to validation and verification of project activities”) of the “CDM management plan 2011”.
2. The Project standard and the “Standard for demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities”(hereinafter referred as the PoA standard) contains requirements for coordinating and/or managing entities (CMEs) and project participants¹ to comply with in designing as well as in implementing any type of CDM programme of activities (PoA) and monitoring greenhouse gas (GHG) emission reductions by sources or GHG removals by sinks.
3. The Project standard requires CMEs to prepare a PoA design document (PoA-DD) for the proposed small-scale CDM PoA (hereinafter referred to as the PoA) and the related generic small-scale component project activity (hereinafter referred to as the CPA) by completing a PoA-DD form, and providing all necessary information and documentation to demonstrate compliance of the PoA with all applicable CDM rules and requirements.

1.2. Objectives

4. The objectives of the “Guidelines for completing the programme design document form” (hereinafter referred to as this guideline) are to:
 - (a) Assist CMEs in completing the “Programme design document form for small-scale CDM programmes of activities” (F-CDM-SSC-PoA-DD) for their PoAs;
 - (b) Improve the quality and consistency of PoA-DDs prepared by CMEs and submitted in the CDM project cycle.

2. Scope and applicability

5. This guideline and the F-CDM-SSC-PoA-DD are applicable to small-scale CDM PoAs other than large-scale PoAs and afforestation or reforestation (A/R) PoAs. Separate guidelines and forms are applicable to large-scale PoAs, A/R PoAs, small-scale A/R PoAs and project activities.
6. This guideline contain recommendations for CMEs on how to complete the F-CDM-SSC-PoA-DD.

¹ CMEs are responsible for identifying project participants involved in the proposed PoA.

7. The CMEs may optionally use the procedure: “Development, revision and clarification of baseline and monitoring methodologies and methodological tools” to seek clarifications on cross effects in the proposed combinations of technologies/measures and/or methodologies for the PoA. The CME is required to submit a fully completed “Approved baseline and monitoring methodology/ methodological tool clarification request form (CDM-AMC-FORM)”, together with F-CDM-SSC-PoA-DD and F-CDM-SSC-CPA-DD with sections for detailed technical descriptions completed.

3. Terms and definitions

8. In addition to the definitions contained in the “Glossary of CDM terms”, the following terms are used in this guideline:
 - (a) “Should” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
 - (b) “May” is used to indicate what is permitted.

4. General guidelines

9. When designing a PoA and completing the F-CDM-SSC-PoA-DD, and in addition to applying the Project standard, the PoA standard and the selected approved baseline and monitoring methodology(ies) (hereinafter referred to as the selected methodology(ies)), CMEs should also consult the “Rules and References” section on the UNFCCC CDM website <<http://cdm.unfccc.int/>>. This section contains all regulatory documents for the CDM, such as standards (including methodologies and tools), procedures, guidelines, clarifications, forms and the “Glossary of CDM terms”.
10. Where a PoA-DD contains information that the CMEs wish to be treated as confidential/proprietary, CMEs are required to submit the documentation in two versions:
 - (a) One version where all parts containing confidential/proprietary information are made illegible (e.g. by covering those parts with black ink) so that the version can be made publicly available without displaying confidential/proprietary information;
 - (b) A second version containing all information that is to be treated as strictly confidential/proprietary by all parties handling this documentation (designated operational entities (DOEs) and applicant entities (AEs); Board members and alternate members; panel/committee and working group members; external experts requested to consider such documents in support of work for the Board; the secretariat).
11. Information used to: (a) demonstrate additionality; (b) describe the application of selected baseline and monitoring methodology(ies); and (c) support the environmental impact assessment, is not considered proprietary or confidential. Any data, values and formulae included in electronic spreadsheets provided must be accessible and verifiable.
12. The F-CDM-SSC-PoA-DD must be completed in English, and all attached documents must be in English or contain a full translation of relevant sections into English.
13. The F-CDM-SSC-PoA-DD must be completed using the same format without modifying its font, headings or logo, and without any other alteration to the form.

14. Tables and their columns in the F-CDM-SSC-PoA-DD may not be modified or deleted, but rows may be added, as needed. Additional appendices may be added.
15. If a section of the F-CDM-SSC-PoA-DD is not applicable, it must be explicitly stated that the section is left blank intentionally.
16. The format used for presentation of values in the F-CDM-SSC-PoA-DD should be in an internationally recognized format, for example digits grouping should be done in thousands and a decimal point should be marked with a dot (.), not with a comma (,).

5. Specific guidelines

PART I. Programme of activities (PoA)

SECTION A. General description of PoA

A.1. Title of the PoA

Indicate:

- (a) The title of the proposed PoA;
- (b) The current version number of the PoA-DD;
- (c) The date the PoA-DD was completed (DD/MM/YYYY).

A.2. Purpose and general description of the PoA

Include a description of the:

- (a) Policy/measure or stated goal that the PoA seeks to promote;
- (b) Framework for the implementation of the proposed PoA.

Include a confirmation that the PoA is a voluntary action by the CME.

Include a brief description of how the proposed PoA contributes to sustainable development (not more than one page).

A.3. CMEs and participants of PoA

Include:

- (a) Identity of the CME of the proposed PoA, as the entity which communicates with the Board;
- (b) Project participants to the PoA (project participants may or may not be involved in one of the component project activities (CPAs) related to the PoA).

A.4. Party(ies)

List in the table below Party(ies) and CMEs involved in the proposed PoA and provide contact information in appendix 1 below.

Name of Party involved (host) indicates a host party	Private and/or public entity(ies) project participants (as applicable)	Indicate if the Party involved wishes to be considered as project participant (Yes/No)
Name A (host)	Private entity A Public entity A	
Name B	Private entity B Public entity B	
...	...	

A.5. Physical/geographical boundary of the PoA

Provide details of the defined boundary of the proposed PoA in terms of a geographical area (e.g. municipality, region within a country, country or several countries) within which all CPAs to be included in the PoA will be implemented.

A.6. Technologies/measures

Describe the technologies and/or measures to be employed and/or implemented by the CPAs in the PoA.

For the description of above, where relevant, consider applicable provisions for application of selected baseline and monitoring methodology for small-scale project activities in the Project standard.

Do not provide information that is not essential to understanding the purpose of the PoA and how it reduces GHG emissions. Information related to equipment, systems and measures that are auxiliary to the main scope of the CPAs in the PoA and do not affect directly or indirectly GHG emissions and/or mass and energy balances of the processes related to the CPAs in the PoA should not be included.

A.7. Public funding of PoA

Indicate whether the PoA receives public funding from Parties included in Annex I. If so:

- (a) Provide information on Parties providing public funding;
- (b) Attach in appendix 2: the affirmation obtained from such Parties in accordance with applicable provisions related to official development assistance in the Project standard.

SECTION B. Demonstration of additionality and development of eligibility criteria

B.1. Demonstration of additionality for PoA

Describe how in the absence of CDM, none of the implemented CPAs would occur.

B.2. Eligibility criteria for inclusion of a CPA in the PoA

Describe the eligibility criteria in accordance with the applicable provisions in the PoA standard.

B.3. Application of methodologies

Describe the technology/measures and indicate the methodology chosen. In cases where multiple technologies/measures or multiple methodologies are being applied, list all the combinations of technologies/measures and methodologies that will be used in the PoA. If applicable, provide a description of the sampling plan and demonstrate how it meets applicable provisions in the “Standard for sampling and surveys for CDM project activities and programme of activities”.

SECTION C. Management system

Describe the management system in accordance with applicable provisions in the PoA standard.

SECTION D. Duration of the PoA

D.1. Start date of the PoA

Describe how the start date was determined.

D.2. Length of the PoA

State the length of the proposed PoA in years.

SECTION E. Environmental impacts

E.1. Level at which environmental analysis is undertaken

Indicate whether the analysis of environmental impacts is performed at the PoA and/or the CPA level, and justify the choice of level at which the analysis is undertaken.

E.2. Analysis of the environmental impacts

If applicable, provide a summary of analysis of the environmental impacts and reference to all related documentation in accordance with applicable provisions related to environmental impacts for PoAs in the Project standard.

SECTION F. Local stakeholder comments

F.1. Solicitation of comments from local stakeholders

Indicate whether the local stakeholder consultation process is performed at the PoA and/or the CPA level, and justify the choice of level at which the local stakeholder consultation is undertaken.

Describe the process by which comments from local stakeholders were invited and compiled.

F.2. Summary of comments received

Identify stakeholders that have made comments and provide a summary of these comments.

F.3. Report on consideration of comments received

Provide information demonstrating that all comments received have been considered.

SECTION G. Approval and authorization

Indicate whether the letter(s) of approval from Party(ies) which wishes to be involved in the PoA, is available at the time of submitting the PoA-DD to the validating DOE.

If so, provide along with the PoA-DD the letter(s) of approval of the:

- (a) Party(ies) involved in the proposed PoA;
- (b) CME letters of authorization of its coordination of the PoA from each Party.

PART II. Generic component project activity (CPA)

Use this section to demonstrate the application of the PoA framework to implement generic CPAs and to demonstrate that each type of CPA meets the requirements.

Where multiple technologies/measures and/or multiple methodologies are being applied, the demonstration of the application of the PoA framework to implement generic CPAs must be done for each of the combinations of technologies/measures and/or methodologies. Therefore, repeat all of Part II of this guideline for each generic CPA-DD such that one completed Part II represents one generic CPA-DD, and collate all the generic CPA-DDs, not mixing the sections thereof (cross-referencing to avoid repetition of information is permissible).

SECTION A. General description of a generic CPA

A.1. Purpose and general description of generic CPAs

Provide a description of each generic CPA within the PoA

SECTION B. Application of a baseline and monitoring methodology

B.1. Reference of the approved baseline and monitoring methodology(ies) selected

Indicate exact reference (number, title, version) of:

- (a) The selected methodology (e.g. "AMS-I.A: Electricity generation by the user" (Version 14.0)) or multiple methodologies (see "Standard for demonstration of additionality, development of eligibility criteria and application of multiple methodologies for programme of activities");
- (b) Any tools and other methodologies to which the selected methodology refers (e.g. "Tool to calculate the emission factor for an electricity system" (Version 02.2.1)).

Refer to the UNFCCC CDM website for the exact reference of approved baseline and monitoring methodologies and tools.

Note: Confirm that the selected methodology(ies) is(are) approved for application to CPAs under PoAs by the Board.

B.2. Application of methodology(ies)

Justify the choice of the selected methodology(ies) by showing that each generic CPA meets each applicability condition of the methodology(ies). If applicable, provide a general description of the sampling plan.

Demonstrate that the CPA qualifies as Type I, II, and/or III during every year of the crediting period in accordance with applicable provisions for project activity eligibility in the Project standard.

Explain documentation that has been used as a basis of justification and provide references or include the documentation in appendix 3 below.

B.3. Sources and GHGs

Describe the sources and GHGs included in each generic CPA boundary.

Where possible, present a flow diagram physically delineating each generic CPAs, based on the descriptions provided in section A.6 “Technologies/measures” of Part I above.

Include in the flow diagram all the equipment, systems and flows of mass and energy described in that section. In particular, indicate in the diagram the emissions sources and GHGs included in the project boundary and the data and parameters to be monitored.

B.4. Description of baseline scenario

Describe how the baseline scenario is identified for each generic CPA.

Explain how the baseline scenario is established in accordance with the selected methodology(ies) and applicable provisions for establishment and description of baseline scenarios in the Project standard. Where the procedure in the selected methodology(ies) involves several steps, describe how each step is applied and transparently document the outcome of each step. Explain and justify key assumptions and rationales. Provide and explain all data used to establish the baseline scenario (variables, parameters, data sources, etc.). Provide all relevant documentation and/or references.

Provide a transparent description of the baseline scenario as established above.

Note: The full description of the technology of the baseline scenario is to be provided in section A.6 of Part I above.

B.5. Demonstration of eligibility for a generic CPA

Demonstrate how each generic CPA meets the eligibility criteria of the PoA including confirmation of additionality of the generic CPA for its inclusion into the PoA.

B.6. Estimation of emission reductions of a generic CPA**B.6.1. Explanation of methodological choices**

Explain how the methods or methodological steps, in the selected methodology, for calculating baseline emissions, project emissions, leakage emissions and emission reductions are applied to each generic CPA. Clearly state which equations will be used in calculating emission reductions.

B.6.2. Data and parameters that are to be reported ex ante

Include a compilation of information on the data and parameters that are not monitored during the crediting period but are determined before the validation and remain fixed throughout the crediting period. Data that become available only after the registration/inclusion of the CPAs in the PoA (e.g. measurements after the implementation of the CPAs in the PoA) should not be included here but in the table in section B.7.1 below.

The compilation of information may include data that are measured or sampled, and data that are collected from other sources (e.g. official statistics, expert judgment, proprietary data, IPCC, commercial and scientific literature, etc.). Data that are calculated with equations provided in the selected methodology(ies) or default values specified in the methodology(ies) should not be included in the compilation.

For each piece of data or parameter, complete the table below, following these instructions:

- (a) “Value(s) applied”: provide the value applied. Where a time series of data is used, where several measurements are undertaken or where surveys have been conducted, provide detailed information in appendix 4 below. To report multiple values referring to the same data or parameter, use one table. If necessary, reference(s) to electronic spreadsheets may be used;

(b)	“Choice of data”: indicate and justify the choice of data source. Provide clear and valid references and, where applicable, additional documentation in appendix 4 below;
(c)	“Measurement methods and procedures”: where values are based on measurement, include a description of the measurement methods and procedures applied (e.g. which standards have been used), indicate the responsible person/entity that undertook the measurement, the date of the measurement and the measurement results. More detailed information can be provided in appendix 4 below;
(d)	“Purpose of data”: choose one of the following: <ul style="list-style-type: none"> (i) Calculation of baseline emissions; (ii) Calculation of project emissions; (iii) Calculation of leakage.

(Copy this table for each data and parameter)

Data / Parameter:	
Unit:	
Description:	
Source of data:	
Value(s) applied:	
Choice of data or Measurement methods and procedures:	
Purpose of data:	
Additional comment:	

B.6.3. Ex ante calculations of emission reductions

<p>Provide a transparent ex ante calculation of project emissions, baseline emissions(or, where applicable, direct calculation of emission reductions) and leakage emissions expected during the crediting period, applying all relevant equations provided in the selected methodology. For data or parameters available before validation, use values contained in the table in section B.6.2 above.</p> <p>For data/parameters not available before validation and monitored during the crediting period, use estimates for parameters contained in the table in section B.7.1 below. If any of these estimates has been determined by a sampling approach, provide a description of the sampling efforts in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”.</p> <p>Document how each equation is applied, in a manner that enables the reader to reproduce the calculation. Where relevant, provide additional background information and/or data in appendix 4, including relevant electronic spreadsheets.</p> <p>Provide a sample calculation for each equation used, substituting the values used in the equations.</p>

B.7. Application of the monitoring methodology and description of the monitoring plan

B.7.1. Data and parameters to be monitored by each generic CPA

Include specific information on how the data and parameters that need to be monitored would actually be collected during monitoring. Include here data that are determined only once for the crediting period but that will become available only after registration/inclusion of the CPAs in the PoA (e.g. measurements after the implementation of the CPAs in the PoA).

For each piece of data or parameter, complete the table below, following these instructions:

- (a) "Source of data": indicate the source(s) of data that will be used for the CPAs in the PoA (e.g. which exact national statistics). Where several sources may be used, justify which data sources should be preferred;
- (b) "Value(s) applied": the value applied is an estimate of the data/parameter that will be monitored during the crediting period, but is used for the purpose of calculating estimated emission reductions. To report multiple values referring to the same data or parameter, use one table. If necessary, reference(s) to electronic spreadsheets may be used;
- (c) "Measurement methods and procedures": where data or parameters are to be monitored, specify the measurement methods and procedures, standards to be applied, accuracy of the measurements, person/entity responsible for the measurements, and, in case of periodic measurements, the measurement intervals;
- (d) "QA/QC procedures": describe the Quality Assurance (QA)/Quality Control (QC) procedures to be applied, including the calibration procedures, where applicable;
- (e) "Purpose of data": choose one of the following:
 - (i) Calculation of baseline emissions;
 - (ii) Calculation of project emissions;
 - (iii) Calculation of leakage.

Provide any relevant further background documentation in appendix 5 below.

(Copy this table for each data and parameter)

Data / Parameter:	
Unit:	
Description:	
Source of data:	
Value(s) applied:	
Measurement methods and procedures:	
Monitoring frequency:	
QA/QC procedures:	
Purpose of data:	
Additional comments:	

B.7.2. Description of the monitoring plan for a generic CPA

Describe the monitoring plan for a generic CPA developed in accordance with the approved monitoring methodology(ies).

If data and parameters monitored in section B.7.1 above are determined by a sampling approach, provide a description of the sampling plan in accordance with the recommended outline for a sampling plan in the “Standard for sampling and surveys for CDM project activities and programme of activities”.

Provide any relevant further background information in appendix 5 below.

Appendix 1. Contact information on entity/individual responsible for the PoA

For each organisation listed in section A.4 above, complete the table below, with the following mandatory fields: Organization, Street/P.O. Box, City, Postcode, Country, Telephone, Fax and E-mail, and Name of contact person. Copy and paste the table as needed.

Organization	
Street/P.O. Box	
Building	
City	
State/Region	
Postcode	
Country	
Telephone	
Fax	
E-mail	
Website	
Contact person	
Title	
Salutation	
Last name	
Middle name	
First name	
Department	
Mobile	
Direct fax	
Direct tel.	
Personal e-mail	

Appendix 2. Affirmation regarding public funding

If applicable, attach the affirmation obtained from Parties included in Annex I providing public funding to the PoA.

Appendix 3. Application of methodology(ies)

Provide any further background information on the applicability of the selected methodology(ies).

Appendix 4. Further background information on ex ante calculation of emission reductions

Provide any further background information on the ex ante calculation of emission reductions. This may include data, measurement results, data sources, etc.

Appendix 5. Further background information on the monitoring plan

Provide any further background information used in the development of the monitoring plan. This may include tables with time series data, additional documentation of measurement equipment, procedures etc.

Document information

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03.0	26 July 2013	EB 74, Annex 8 Revision to include the requirements for programme of activities and to allow cross referencing of CPA-DDs.
02.1	1 April 2013	Editorial revision to replace the titles of the form and procedure to be in line with the " <i>Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools</i> " (CDM-EB70-A36-PROC) in paragraph 7.
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