



Annex 17

**GUIDELINES FOR COMPLETING THE COMPONENT PROJECT DESIGN DOCUMENT
FORM FOR SMALL-SCALE COMPONENT PROJECT ACTIVITIES****(Version 01.0)****CONTENTS**

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I. Introduction

A. 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 the entity/individuals responsible for the component project activity (CPA) (hereinafter referred to as the CPA implementer(s)) 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 CPA design document (CPA-DD) for the actual small-scale CPA (hereinafter referred to as the CPA) in a proposed or registered PoA (hereinafter referred to as the PoA) by completing a CPA-DD form and providing all necessary information and documentation to demonstrate compliance of the CPA with all applicable CDM rules and requirements.

B. Objectives

4. The objectives of the “Guidelines for completing the component project design document form for small-scale component project activities” (hereinafter referred to as these guidelines) are to:

- (a) Assist CPA implementer(s) in completing the “Component project design document form for small-scale component project activities” (F-CDM-SSC-CPA-DD) for their CPA;
- (b) Improve the quality and consistency of CPA-DDs prepared by CPA implementer(s) and submitted in the CDM project cycle.

II. Scope and applicability

5. These guidelines and the F-CDM-SSC-CPA-DD are only applicable to small-scale CPAs other than large-scale CPAs and afforestation or reforestation (A/R) CPAs. Separate guidelines and forms are applicable to large-scale CPAs, A/R CPAs, small-scale A/R CPAs and CDM project activities.

6. These guidelines contain recommendations for CPA implementer(s) on how to complete the F-CDM-SSC-CPA-DD

III. Terms and definitions

7. In addition to the definitions contained in the “Glossary of CDM terms”, the following terms are used in these guidelines:

- (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.



IV. General Guidelines

8. When designing an actual CPA and completing the F-CDM-SSC-CPA-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)), CPA implementer(s) should also consult the “Rules and Reference” section of 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”.
9. When designing an actual CPA, the CPA implementer(s) must apply the provisions specified in the PoA.
10. At the time of requesting registration, a PoA must be accompanied by an actual CPA¹ using these guidelines. Once the PoA is registered, any subsequent CPA that is added to the registered PoA must be submitted with a completed F-CDM-SSC-CPA-DD using these guidelines and the PoA specified provisions.
11. Where a CPA-DD contains information that the CPA implementer(s) wish to be treated as confidential/proprietary, CPA implementer(s) are required to submit 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 alternates; panel/committee and working group members; external experts requested to consider such documents in support of work for the Board; the secretariat).
12. 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.
13. The F-CDM-SSC-CPA-DD must be completed in English, and all attached documents must be in English or contain a full translation of relevant sections into English.
14. The F-CDM-SSC-CPA-DD must be completed using the same format without modifying its font, headings or logo, and without any other alteration to the form.
15. Tables and their columns in the F-CDM-SSC-CPA-DD may not be modified or deleted, but rows may be added, as needed. Additional appendices may be added.
16. If a section of the F-CDM-SSC-CPA-DD is not applicable, it must be explicitly stated that the section is left blank intentionally.

¹ At the time of requesting validation, the CME is required to submit to the DOE a completed F-CDM-SSC-PoA-DD, which includes the generic small-scale CPA, and a completed F-CDM-SSC-CPA-DD for the actual CPA.



17. The format used for presentation of values in the F-CDM-SSC-CPA-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 (,).



V. Specific Guidelines

SECTION A. General description of CPA

A.1. Title of the proposed or registered PoA

Provide the reference and title of the PoA to which this CPA is included.

A.2. Title of the CPA

Indicate:

- (a) The title of the CPA and the unique identification of the CPA;
- (b) The current version number of the CPA-DD;
- (c) The date the CPA-DD was completed (DD/MM/YYYY).

A.3. Description of the CPA

Describe the technology(ies) and/or measures to be used by the CPA in accordance with the proposed or registered PoA, and in accordance with the applicable provisions in the Project standard.

A.4. Entity/individual responsible for CPA

Provide information on the CPA implementer(s). CPA implementers can be project participants of the PoA, under which the CPA is submitted, provided the name is included in the registered PoA.



A.5. Technical description of the CPA

Describe the technologies and/or measures to be employed and/or implemented by the CPA including a list of the facilities, systems and equipment that will be installed and/or modified by the CPA. This includes:

- (a) A list and the arrangement of the main manufacturing/production technologies, systems and equipment involved. Include in the description information about the age and average lifetime of the equipment based on manufacturer's specifications and industry standards, and existing and forecast installed capacities, load factors and efficiencies. The monitoring equipments and their location in the systems are of particular importance;
- (b) Energy and mass flows and balances of the systems and equipment included in the CPA;
- (c) The types and levels of services (normally in terms of mass or energy flows) provided by the systems and equipment that are being modified and/or installed under the CPA and their relation, if any, to other manufacturing/production equipment and systems outside the project boundary. The types and levels of services provided by those manufacturing/production systems and equipment outside the project boundary may also constitute important parameters of the description. The description should clearly explain how the same types and levels of services provided by the CPA would have been provided in the baseline scenario;

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.

Also provide a list of:

- (a) Facilities, systems and equipment in operation under the existing scenario prior to the implementation of the CPA;
- (b) Facilities, systems and equipment in the baseline scenario.

If the baseline scenario is a continuation of current practice, thus identical to the scenario existing prior to the implementation of the CPA, there is no need to repeat the description of the scenarios, but only to state that both are the same.

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

A.6. Party(ies)

List in the following tabular format Party(ies) and CPA implementer(s) involved in the CPA and provide contact information in Appendix 1:



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

A.7. Geographic reference or other means of identification

Provide geographic reference or other means of identification that allows for the unique identification of the CPA (maximum one page). For identification: in case of stationary CPAs provide geographic reference (e.g. map that identifies the location of the CPA); and in case of mobile CPAs provide means such as registration number of GPS devices.

A.8. Duration of the CPA**A.8.1. Start date of the CPA**

Indicate the start date (DD/MM/YYYY) and describe how the start date was determined.

A.8.2. Expected operational lifetime of the CPA

State the expected operational lifetime of the CPA in years and months.

A.9. Choice of the crediting period and related information

State the type of crediting period chosen i.e. fixed or renewable.

A.9.1. Start date of the crediting period

State the expected start date of the crediting period of the CPA (DD/MM/YYYY).

A.9.2. Length of the crediting period

Indicate the length of the crediting period. In case a renewable crediting period is chosen, indicate the length of the first crediting period and the number of renewal periods. Ensure that the total renewal periods do not exceed the PoA validity period.

Note: The duration of crediting period, fixed or renewable, of any CPA is limited to the end date of the PoA regardless of when the CPA was added.

**A.10. Estimated amount of GHG emission reductions**

Provide the estimate of annual GHG emission reductions for each year of the crediting period and, the annual average and the total GHG emission reductions over the chosen crediting period (or the first crediting period) in the table below.

Emission reductions during the crediting period	
Years	Annual GHG emission reductions (in tonnes of CO₂e) for each year
Year A	
Year B	
Year C	
Year ...	
Total number of crediting years	
Annual average GHG emission reductions over the crediting period	
Total estimated reductions (tonnes of CO₂e)	

A.11. Public funding of the CPA

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.

A.12. Debundling of small-scale component project activities

Demonstrate that the CPA is not a debundled component of a large-scale activity, in accordance with the applicable provision of the “Guidelines on assessment of debundling for SSC project activities”.

A.13. Confirmation for CPA

Include a confirmation that the CPA is neither registered as an individual CDM project activity nor is part of another registered PoA.

SECTION B. Environmental analysis**B.1. Analysis of the environmental impacts**

Where the analysis of the environmental impacts is undertaken, provide a summary of analysis of the environmental impacts and reference to all related documentation, in accordance with the PoA.



SECTION C. Local stakeholder comments

C.1. Solicitation of comments from local stakeholders

Describe the process by which comments from local stakeholders have been invited for the CPA.

C.2. Summary of comments received

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

C.3. Report on consideration of comments received

Provide information demonstrating that all comments received have been considered.

Note: If the stakeholder consultation information is provided at the PoA level, sections C.1 and C.2 should not be left blank but indicate here that the stakeholder consultation is provided at the PoA level.

SECTION D. Eligibility of CPA and Estimation of emissions reductions

D.1. Title and reference of the approved baseline and monitoring methodology(ies) selected:

Identify the exact reference and title of the approved methodology(ies).

D.2. Application of methodology(ies)

Demonstrate how the applicability conditions are met in accordance with the approved methodology(ies) and the PoA.

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 and provide references or include the documentation in Appendix 3:.

D.3. Sources and GHGs

Describe the sources and GHGs included in the CPA boundary in accordance with the PoA.

Provide proof that the CPA is located within the geographical boundary of the proposed or registered PoA.

Present a flow diagram physically delineating the CPA, based on the descriptions provided in section A.5. "Technical description of the CPA" above. Include in the flow diagram 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.

D.4. Description of the baseline scenario

Describe how the baseline scenario is identified for the CPA in accordance with the PoA.



D.5. Demonstration of eligibility for a CPA

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

D.6. Estimation of emission reductions

D.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 the CPA. Clearly state which equations will be used in calculating emission reductions in accordance with the PoA.

D.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 registration and remain fixed throughout the crediting period. Data that become available only after the registration of the CPA (e.g. measurements after the implementation of the CPA) should not be included here but in the table in section D.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 and 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:
 - (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	

D.6.3. Ex-ante calculation of emission reductions

Provide a transparent ex ante calculation of project emissions, baseline emissions, project 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 D.6.2 above.

For data/parameters not available before validation and monitored during the crediting period, use estimates for parameters contained in the table in section D.7.1 below. If any of these estimates has been determined by a sampling approach, provide a description of the sampling efforts undertaken in accordance with the “Standard for sampling and surveys for CDM project activities and programme of activities”.

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: below, including relevant electronic spreadsheets.

Provide a sample calculation for each equation used, substituting the values used in the equations.

D.6.4. Summary of the ex-ante estimates of emission reduction

Year	Baseline emissions (t CO₂e)	Project emissions (t CO₂e)	Leakage (t CO₂e)	Emission reductions (t CO₂e)
Year A				
Year B				
Year C				
Year ...				
Total				
Total number of crediting years				
Annual average over the crediting period				

**D.7. Application of the monitoring methodology and description of the monitoring plan****D.7.1. Data and parameters to be monitored**

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 CPA in the PoA (e.g. measurements after the implementation of the CPA).

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 CPA (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 in section D.6 above. To report multiple values referring to the same data and 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 comment	

**D.7.2. Description of the monitoring plan**

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

If data and parameters monitored in section D.7.1 above are determined by 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”.

SECTION E. Approval and authorization

Indicate whether the letter(s) of approval from each Party that wishes to be involved in the CPA, is available at the time of submitting the CPA-DD to the validating DOE. If so, provide along with the CPA-DD the letter(s) of approval of the Party(ies).

**Appendix 1: Contact information on entity/individual responsible for the CPA**

For each organisation listed in section A.6 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 providing public funding to the CPA.

Appendix 3: Applicability of the selected 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 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.

History of the document

Version	Date	Nature of revision(s)
01.0	EB 66, Annex 17 2 March 2012	Initial adoption.
Decision Class: Regulatory Document Type: Guideline Business Function: Registration		