



Annex 14

TERMS OF REFERENCE AND PROCEDURE FOR A REGISTRATION AND ISSUANCE TEAM (RIT) (version 5.1)

I. INTRODUCTION

1. This document contains the terms of reference of a “Registration and Issuance Team” (RIT) and procedures for its operation. The RIT is established to assist Board members in their task to consider requests for registration of project activities and requests for issuance of CERs submitted to the Board by DOEs.
2. The registration by the Executive Board shall be deemed final eight weeks (four weeks for small-scale) after the date of receipt by the executive board of the request for registration, unless a Party involved in the project activity or at least three members of the Executive Board request a review of the proposed CDM project (para 41, Annex, Decision 3/CMP.1 and para 24, Annex II, Decision 4/CMP.1).
3. The issuance shall be considered final 15 days after the date of receipt of the request for issuance, unless a Party involved in the project activity or at least three members of the executive board request a review of the proposed issuance of CERs (para 65, Annex, Decision 3/CMP.1).
4. This document updates and replaces “Terms of References and Procedure for a Registration Team (version 04)” (Annex 43 to EB25 Report).

II. TERMS OF REFERENCE

A. Areas of work

5. The RIT, serves the following purpose of assisting the Executive Board in its task referred to in Paragraph 1 above, by:
 - (a) To prepare appraisals of requests for registration submitted by DOEs assessing whether the validation requirements are met and/or appropriately dealt with by DOEs;
 - (b) To prepare appraisals of requests for issuance of CERs submitted by DOEs assessing whether the verification and certification requirements are met and/or appropriately dealt with by DOEs; and
 - (c) Identify general issues related to registration and issuance for consideration by the Board.

B. Modalities of work

6. The RIT shall operate under the guidance of the Executive Board. The mandate of the RIT is determined by these terms of reference, general guidelines for panels of the Executive Board, as applicable, the rules of procedure of the Board (in particular section VII on committees, panels and working groups) and additional guidance provided by the Board.
7. The RIT is composed of not less than twenty (20) members
8. The use of electronic means of communication is essential for the operation.



C. Services to be provided

9. Appraisals of requests for registration shall be prepared by one RIT member.
10. Appraisals of requests for issuance shall be prepared by one RIT member.
11. An RIT member shall:
 - (a) Be available to undertake frequently appraisals of requests for registration and issuance and participate in electronic discussions (e-mail and/or phone);
12. A member shall:
 - (a) Prepare the agreed substantive inputs in good quality¹ and on time including tasks;
 - (b) Treat with strict confidentiality any of the information which s/he receives in the context of the work for the RIT which is not public;
 - (c) Declare on each specific case she/he is requested to work on whether or not she/he is in a situation of perceived conflict of interest;
 - (d) Be available to participate in review teams.

D. Membership

Competence requirements and selection process

13. In addition to requirements contained in the general guidelines for panels², a member shall:
 - (a) Demonstrate relevant working experience, of at least four years on methodological issues and/or monitoring and verification related to project-based mechanisms;
 - (b) Demonstrate technical/scientific expertise, *inter alia* through publications, in at least one of the following areas:
 - (i) Baseline and/or monitoring methodologies;
 - (ii) Project activity implementation, including monitoring and verification;
 - (c) Have excellent drafting skills, strong operational and analytical skills, and ability to work as a member of a team;
 - (d) Have an advanced university degree in economics, energy, social, environmental studies, natural sciences, engineering, development studies, or any related discipline.
14. Members of the RIT shall be selected by the Executive Board based on applications to a public call for experts. For this purpose, the secretariat shall post, on the UNFCCC CDM web site, an invitation to experts to submit their applications. It shall compile a list of applications and a short-list of applicants,

¹ To assist RIT members in achieving a high quality performance the Board's key requirements are to be presented as an annex to these terms of reference immediately after the CDM Joint Workshop, to be held in Bonn on 24th and 25th March 2007.

² See <http://cdm.unfccc.int/Reference/Guidclarif/pnlguide.pdf>.



including from the UNFCCC roster of experts, on the basis of which the Executive Board shall select members, taking fully into account the consideration of regional balance.

15. The term of all members is expected to end by the end of the first quarter 2008.
16. The secretariat shall report to the Board periodically regarding the operation of the RIT and the performance of members.
17. The Chair of the Board shall decide if fee payment or other issues arise regarding the quality of delivery.

Compensation

18. In accordance with UN rules and regulations, subject to fulfillment of conditions in an written agreement with the secretariat, members will be compensated for the work undertaken, in quality and on time, with fees (USD400 a day).
19. For each appraisal task³, if the appraisal is delivered in good quality and on time, the equivalent of one daily fee shall be paid to the member.
20. Regarding the timing of payments, in order to reduce transaction costs, each member shall be paid after every ten appraisal cases, delivered on time and in good quality. At the end of each quarter, all completed but unpaid tasks will be settled.

III. PROCEDURE TO PREPARE APPRAISAL OF REQUEST FOR REGISTRATION

A. Assignment of task

21. The secretariat shall identify for each request for registration the RIT member taking into consideration the sectoral scope(s) of the activity to be appraised.
22. With the announcement of a request for registration, as defined in the procedure “Procedures for registration of a proposed CDM project activity”⁴, the member assigned to undertake the task will be informed and shall have a maximum of 2 days to indicate whether they have or not a conflict of interest, which should be described. If a conflict of interest situation exists another person shall be assigned.

B. Preparation of an appraisal

23. The appraisal shall indicate whether validation requirements have been met and/or appropriately dealt with by the DOE and provide reasons in case these conditions are not fulfilled. The appraisal shall also cover whether additional guidance/clarification/revisions could avoid re-occurrence of the issues identified. The appraisal should assess in particular the application of the baseline and monitoring methodology, additionality, and determination of baseline.

³ By appraisal task it is meant: (i) an appraisal of a request for registration or issuance; or (ii) an appraisal of inputs received in response to a request for review from the CDM Executive Board or a Party involved in the project activity.

⁴ For latest version please refer to UNFCCC CDM website in the section “Reference – Procedures”
<<http://cdm.unfccc.int/Reference/Procedures/>>



24. The member shall prepare an appraisal using the form “Appraisal of registration requests (F-CDM-REGappr)” submit it within 20 (15 for small-scale) calendar days to the secretariat through a dedicated interface on the UNFCCC CDM website.

C. Finalization of an appraisal

25. The secretariat shall prepare, on the basis of the member’s appraisal, a summary note of the request for registration and forward this, together with the member’s appraisal, to the Board within 10 (5 for small-scale) calendar days of receiving the member’s appraisal.

26. In case the Secretariat or Board members identify relevant elements in the RIT appraisal on which they do not agree the Secretariat will provide direct and suitable feedback to the RIT member.

IV. PROCEDURE TO PREPARE APPRAISAL OF REQUEST FOR ISSUANCE

A. Assignment of task

27. The secretariat shall identify for each request for issuance the RIT member, taking into consideration the sectoral scope(s) of the activity to be appraised.

28. With the announcement of a request for issuance, as defined in the procedure “Procedures relating to verification report and certification report/request for issuance of CERs”⁵, the member will be informed and shall have a maximum of 1 day to indicate whether he/she has or not a conflict of interest which should be described. If a conflict of interest situation exists another person shall be assigned.

B. Preparation of an appraisal

29. The appraisal shall indicate whether verification and certification requirements have been met and/or appropriately dealt with by the DOE and provide reasons in case these conditions are not fulfilled. The appraisal shall also cover whether additional guidance/clarification/revisions could avoid re-occurrence of the issues identified. The appraisal should assess in particular the application of both the monitoring methodology and the monitoring plan.

30. The member shall prepare an appraisal using the form “Appraisal of issuance requests (F-CDM-ISSappr)” and submit it to the secretariat within 6 calendar days through a dedicated interface on the UNFCCC CDM website.

31. If the appraisal task is delivered in good quality and on time, a member shall be compensated in accordance with the terms of reference of the RIT.

C. Finalization of an appraisal

32. The secretariat shall prepare, on the basis of the member’s appraisal, a summary note of the request for issuance and forward this, together with the member’s appraisal, to the Board within 3 calendar days of receiving the member’s appraisal.

⁵ For latest version please refer to UNFCCC CDM website in the section “Reference – Procedures”
<<http://cdm.unfccc.int/Reference/Procedures/>>



33. In case the Secretariat or Board members identify relevant elements in the RIT appraisal on which they do not agree the Secretariat will provide direct and suitable feedback to the RIT member.

V. INPUT TO REQUESTS FOR REVIEWS AND REVIEWS

34. The secretariat will prepare briefing notes, incorporating where necessary input from an RIT member, with respect to each request for review.

35. In cases of requests for registration or requests for review which are placed Under review by the Executive Board the lead member of the review team shall decide whether or not to seek the input of a member of the RIT.

36. Where the input of a member is sought under paragraph 34 or 35 above it shall be delivered within two (2) working days.
