



Annex 4

PROCEDURES FOR THE SUBMISSION AND CONSIDERATION OF A PROPOSED NEW METHODOLOGY FOR AFFORESTATION AND REFORESTATION PROJECT ACTIVITIES UNDER THE CDM

(Version 07)

I. BACKGROUND

1. This document contains the procedures for the submission and consideration of proposed new A/R methodologies which operationalize the provisions of paragraph 13 of the modalities and procedures for afforestation and reforestation project activities under the clean development mechanism (hereafter referred as modalities and procedures for CDM A/R project activities).
2. The modalities and procedures for CDM A/R project activities¹ stipulate that if a designated operational entity (DOE)² determines that a proposed CDM A/R project activity intends to use a new baseline or monitoring methodology, it shall, prior to the submission for registration of this project activity, forward the proposed methodology to the Executive Board for review, i.e. consideration and approval, if appropriate.
3. The Executive Board shall expeditiously, if possible at its next meeting but not later than four months after the date of receipt of the proposed new A/R methodology, review the proposed new A/R methodology in accordance with the modalities and procedures for CDM A/R project activities. Once approved by the Executive Board, it shall make the approved methodology publicly available and the designated operational entity may proceed with the validation of the proposed CDM A/R project activity and submit the project design document (CDM-AR-PDD) for registration.

II. SUBMISSION OF A PROPOSED NEW METHODOLOGY FOR AFFORESTATION AND REFORESTATION PROJECT ACTIVITIES UNDER THE CDM

4. If project participants intend to propose a new A/R baseline and monitoring methodology for consideration and approval by the Executive Board, they shall prepare the **current** A/R methodologies form for baseline and monitoring methodologies (CDM-AR-NM) along with a draft project design document (CDM-AR-PDD) and as a minimum, complete sections A to D, including relevant annexes, following its respective current guidelines.
5. Having checked that the “CDM: Proposed new A/R methodology form” (F-CDM-AR-PNM) has been duly filled by the DOE and documentation provided by the DOE is complete, the secretariat shall prepare a draft pre-assessment using the latest version of the “CDM: Proposed new AR methodology assessment form” (F-CDM-AR-NMas)³ to assess the quality of the submission and forward it along with the documentation submitted by the project participant (CDM-AR-NM & CDM-

¹ Paragraph 13 of the modalities and procedures for afforestation and reforestation project activities under the clean development mechanism contained in the Annex to decision 5/CMP.1.

² An applicant entity which has a confirmed CDM assessment team may forward a proposed methodology in accordance with these procedures if it produces documentary evidence (procedural report) of work undertaken (see <http://cdm.unfccc.int/DOE/index.html> <http://unfccc.int/cdm/listaenm.html>).

³ The current version of the form (F-CDM-AR-NMas) is available on the UNFCCC CDM web site (section “Forms”).



AR-PDD) to one member of the A/R Working Group for consideration. This member is to assess the quality of the submission and grade it between 1 and 2 and substantiate the appraisal (one paragraph). If the member grades the documentation as being 2, the documentation is to be sent back to the project participants. If the grade is 1, the documentation shall be considered as received by the Board and be forwarded by the secretariat for consideration of the Board and the A/R Working Group. The A/R Working Group shall finalize its recommendation to the Board within two meetings of the panel. The member responsible for pre-assessing a proposed new methodology shall receive a half-day fee as remuneration.

6. A DOE/AE may voluntarily undertake a pre-assessment of a newly proposed methodology before submitting it. If a voluntary pre-assessment has been undertaken, no pre-assessment by the A/R Working Group, as referred in paragraph 5 above, is needed. The submitted methodology may be in such case be considered as received once the secretariat has confirmed that the “CDM: Proposed new A/R methodology form” has been duly filled by the DOE and documentation provided by the DOE is complete.

7. At the same time, in accordance with the practice of the Executive Board to invite public input on technical documentation developed by the Executive Board and its panels and working groups, the secretariat shall make the proposed new A/R methodology publicly available on the UNFCCC CDM website and invite public inputs for a period of 15 working days. Public inputs on a proposed new A/R methodology shall be made using the “Proposed new A/R methodology - public comment form”(F-CDM-AR-NMpu)⁴. Comments shall be forwarded to the A/R Working Group at the moment of receipt and made available to the public at the end of the 15 working day period.

III. ANALYSIS/RECOMMENDATION BY THE A/R WORKING GROUP AND CONSIDERATION/APPROVAL BY THE BOARD

8. A proposed new A/R methodology shall be available to the A/R Working Group at least ten weeks prior to its next meeting. The secretariat shall make public, through the UNFCCC CDM website, the date of a meeting and the corresponding deadline at least ten weeks prior to the meeting.

9. In case more than ten (10) proposed new A/R methodologies are submitted by the deadline for submissions of proposed new A/R methodologies, the Chair of the A/R Working Group shall ascertain how many proposals shall be analyzed at the next meeting of the A/R Working Group and decide to postpone the analysis of some submissions to the subsequent meeting of the A/R Working Group. Submissions received and confirmed to be completed by the secretariat shall be treated on a “first come first served” basis.

10. The Board may decide to change a deadline for submissions of proposed new A/R methodologies taking into account the workload of the A/R Working Group.

11. Whenever a proposed new A/R methodology is submitted to the A/R Working Group in accordance with paragraph 8 and 9 above, it shall analyze it and, if possible at its next meeting, make a recommendation regarding the approval of the proposed new A/R methodology to the Executive Board.

⁴ The current version of the form (F-CDM-AR-NMpu) is available on the UNFCCC CDM website (section “Forms”).



12. Upon receipt of a proposed new methodology, four members⁵ of the A/R Working Group, one as lead who will be responsible for presenting the case at the meetings, shall be selected on a rotational basis in alphabetical order to independently review the draft recommendation prepared by the secretariat. The secretariat shall be responsible for compiling different inputs, including those from other members of the A/R Working Group, public and desk reviewers, and prepare a draft recommendation for consideration by the A/R Working Group. The secretariat may seek guidance of the Chair of the working group, as required. The secretariat may request the project participants, copying the selected members and the DOE, to make available additional technical information necessary to further clarify or assist in analyzing the proposed new methodology with a deadline for responding. The four selected panel members shall be paid a fee for one (1) working day for the review of the draft recommendations as prepared by the secretariat.

13. The Chair and the Vice-Chair of the A/R Working Group, with the assistance of the secretariat and in consultation with the four selected A/R Working Group members, shall, no later than seven working days after the receipt of the proposed new A/R methodology, select two experts from a roster of experts⁶ (lead and second reviewers) who are to undertake a desk review to appraise the validity of the proposed new A/R methodology. The lead reviewer is to be paid a three (3) days fee and the second reviewer a two (2) days fee for the first 100 pages of the proposed new methodology (CDM-NM) and for each additional 30 pages, or part thereof, a (1) one day fee. The two reviewers should provide inputs independently.

14. Each desk reviewer shall prepare, under the guidance of the Chair of the A/R Working Group and in accordance with taking into account the provisions of the modalities and procedures for CDM A/R project activities, his/her recommendation to the A/R Working Group. He/she shall forward it, wherever possible, within 10 working days after having received a proposed methodology using the respective current version of the forms “CDM: Proposed new A/R methodology – lead expert desk review form”(F-CDM-AR-NMex_3d) and “CDM: Proposed new A/R methodology – second expert desk review form”(F-CDM-AR-NMex_2d).

15. The A/R Working Group, taking into consideration public comments and the recommendations by the desk reviewers, shall prepare its preliminary recommendation regarding the approval of the proposed new A/R methodology to the Executive Board using the form “CDM: Proposed New Methodology – working group recommendation summary to the Executive Board” (F-CDM-AR-NMSUMar)⁷ based on the draft prepared by the secretariat and independently reviewed by the four selected members of the A/R working group. The recommendations used for consultations with project participants shall be documented in the latest version of the “CDM: Proposed New Methodology for A/R (CDM-AR-NM)” form.

(a) Prior to preparing the preliminary recommendation, the secretariat may request on behalf of the A/R Working Group, copying the selected members and the DOE, the project participants to make available additional technical information necessary to further clarify or assist in analyzing the proposed new methodology with a deadline for response. Any additional technical information provided by project participants to the A/R Working Group shall be made available to the Executive Board and to the public soon after its receipt by the secretariat.

⁵ This number may be less than four if the number of cases to be considered is larger than 10 cases for a particular meeting, however the number of members assigned to each case may shall not be less than two.

⁶ The roster of experts is to be maintained by the secretariat.

⁷ The current versions of the form F-CDM-AR-NMSUMmp is available on the UNFCCC CDM website (section “Forms”).



(b) The A/R Working Group shall, through the secretariat, copying the DOE, forward its preliminary recommendation to project participants.

(c) Within a timeframe stipulated by the Chair of the A/R Working Group (but not exceeding 4 weeks), after the receipt of the preliminary recommendation of the A/R Working Group by the project participants, the project participants may submit (copying the DOE), clarifications to the A/R Working Group, through the secretariat, on technical issues concerning the proposed new methodology raised in the preliminary recommendation by the A/R Working Group. Technical clarifications provided by the project participants shall include the revisions, in the form for baseline and monitoring methodologies (CDM-AR-NM) in a highlighted form. Clarifications provided by the project participants shall be made available to the Executive Board and to the public soon after they have been received by the secretariat.

(d) If project participants provide clarifications related to the preliminary recommendation by the A/R Working Group, the A/R Working Group shall consider these clarifications at its next meeting and prepare its final recommendation to the Executive Board. The final recommendation shall be forwarded to the Executive Board and made publicly available.

(e) If project participants do not provide clarification related to preliminary recommendation by the A/R Working Group within the timeframe of three (3) months, the case will be considered as withdrawn.

16. The Executive Board shall consider a proposed new A/R methodology at the next meeting following the receipt of the recommendation regarding the approval (“A” case) or non-approval (“C” case) of the proposed new A/R methodology by the A/R Working Group.



Appendix 1

Provisions and criteria for including experts in the “UNFCCC roster of experts – CDM A/R”

1. An expert who is to be included in the roster of experts and who may be selected to undertake a desk review of a proposed new baseline and/or monitoring methodology shall:
 - (a) Be familiar with the modalities and procedures for afforestation and reforestation project activities under the CDM and relevant decisions of the COP (or CMP);
 - (b) Have demonstrated relevant working experience related to project activities;
 - (c) Have demonstrated technical/scientific expertise related to afforestation and reforestation baseline and/or monitoring methodologies, *inter alia* through publications;
 - (d) Good analytical and drafting skills;
 - (e) Have an advanced university degree in economics, energy, social, environmental studies, natural sciences, engineering, development studies, or any related discipline;
 - (f) Good working knowledge in English. Working knowledge of other UN languages desirable;
 - (g) Be free from any interest that might cause him/her to act in other than an impartial and non-discriminatory manner.
2. An expert applying for the roster of experts to undertake desk reviews of proposed new A/R methodologies shall complete, in addition to the P11, a table on detailed working and/or scientific and technical experience.
3. An expert selected to undertake a desk review and appraise the validity of a proposed new A/R methodology shall be compensated in accordance with the rules and regulations of the UNFCCC and based on an “independent contractual agreement”.

**History of the document**

Version	Date	Nature of revision
07	EB 37, Annex 4, 1 February 2008	Methodologies will be considered as withdrawn if project participants do not provide clarification related to preliminary recommendation by the A/R WG within the timeframe of three (3) months.
06	EB 32, Annex 18, 22 June 2007	To reflect the modification to the methodology consideration process.
05	EB 25, Annex 24, 28 July 2006	To reflect the change in the fees structure for lead and second reviewers.
04	EB 23, 24 February 2006	To extend the timeframe for project participants to provide technical clarifications to the preliminary recommendation of the Meth Panel from 10 working days to 4 weeks.
03	EB 21, Annex 18, 30 September 2005	To reflect the decisions of the Board agreed at the twentieth and twenty-first meetings: <ul style="list-style-type: none">• Methodologies are to be considered as withdrawn if a proposal is not re-submitted within the stipulated timeframe of five (5) months after the Board had agreed that a proposed methodology may be resubmitted with required changes (i.e. rated as "B");• A proposed methodology may be resubmitted to the Board with required changes (i.e. rated as "B" by the Board) only once;• A DOE/AE may voluntarily undertake a pre-assessment of a newly proposed methodology. If a voluntary pre-assessment has been done, no additional pre-assessment by the A/R working group is needed. If no voluntary pre-assessment is undertaken by the DOE/AE, the A/R working group should undertake the pre-assessment;• Remuneration fee for a working group member responsible for pre-assessing a proposed new methodology.
02	EB 16, 22 October 2004	Correction of paragraph referring to which sections of the draft CDM-AR-PDD are to be completed as part of the submission process for a new A/R baseline or A/R monitoring methodology.
01	EB 15, Annex 10, 03 September 2004	Initial adoption