



## Annex 35

### PROCEDURE FOR REQUESTS OF ISSUANCE OF CERS

#### Version 01.2

##### A. Background

1. This document is adopted in accordance with decision 3/CMP.1, annex, paragraphs 19, 62–64 and 66; and decision 2/CMP.5, paragraph 37. In particular, decision 2/CMP.5, paragraph 37 requests the Executive Board to adopt as soon as possible, and subsequently apply on an interim basis, revised procedures for issuance, under which alternative timelines to those defined in decision 3/CMP.1, annex, paragraph 65, can be applied.
2. This document prescribes the procedures that a designated operational entity (DOE) shall comply with to submit a request for issuance of certified emissions reductions (CERs), specifies the procedures that the secretariat will take in processing a request for issuance, prescribes when a request for issuance will be published and received by the Executive Board for consideration, and prescribes the procedures for consideration of request for issuance.
3. This document replaces the “Procedures Relating to Verification Report and Certification Report/Request for Issuance of CERs” (electronically approved on 20 December 2006).

##### B. Submitting a Request for Issuance of CERs

4. The following prescribes the procedures that DOE must comply with to submit a request for issuance of certified emissions reductions (CERs).
5. The DOE shall submit the request for issuance of CERs only after it verifies the monitoring report and certifies the quantity CERs claimed in the monitoring report, by following and meeting the requirements prescribed in the latest version of the “Clean Development Mechanism Validation and Verification Manual” and other CDM requirements.
6. The DOE shall submit the required documents listed in latest applicable version of the completeness checklist for requests for issuance, which the secretariat will make publicly available by publishing it on the UNFCCC CDM website. The DOE shall submit the required documents using the electronic, internet-based, submission tool provided by the secretariat to the DOE.

##### C. Processing a Request for Issuance of CERs

7. The following specifies the procedures that the secretariat will take in processing a request for issuance, and prescribes when a request for issuance will be published and received by the Executive Board for consideration.
8. The secretariat shall maintain a publicly available list of all submitted requests for issuance. The schedule of requests for issuance to be processed, including the expected date of commencement, shall be made publicly available. The commencement of the processing of these requests for issuance shall be scheduled in accordance with the secretariat’s operational plans, i.e. monthly quotas. The secretariat’s operational plans will also incorporate any relevant instructions from the Executive Board.
9. Upon commencement of the processing of the request for issuance the secretariat will conduct within 7 calendar days a completeness check to determine whether the request for issuance is complete in accordance with latest applicable version of the completeness checklist for requests for issuance.



10. Upon conclusion of the completeness check, the secretariat will notify the project participant(s), as identified in the Modalities of Communication form, and the DOE of the result of the completeness check, including an elaboration of the underlying reasons, and the secretariat shall make the result of the completeness check publicly available by publishing it on the UNFCCC website. If the request for issuance does not meet the requirements of the completeness check, then upon submission of the revised documentation the request for issuance shall be treated as a new submission of a request for issuance.

11. Upon a determination by the secretariat that the request for issuance meets the requirements of the completeness checklist, the secretariat will conduct within 23 calendar days an information and reporting check in accordance with the latest applicable version of the information and reporting checklist for request for issuance, which secretariat shall make publicly available by publishing it on the UNFCCC website.

12. Upon conclusion of the information and reporting check, the secretariat will notify the project participant(s), as identified in the Modalities of Communication form, and the DOE of the result of the information and reporting check, including an elaboration of the underlying reasons, and the secretariat shall make the result of the information and reporting check publicly available by publishing it on the UNFCCC website. If the request for issuance does not meet the requirements of the information and reporting check, then upon submission of the revised documentation the request for issuance shall be treated as a new submission of a request for issuance.

13. Upon a determination by the secretariat that the request for issuance meets the requirements of the information and reporting check, the secretariat will publish the request for issuance on the UNFCCC website, and the request for issuance shall be deemed received by the Executive Board for consideration of issuance.

14. The secretariat will notify the project participant(s), as identified in the Modalities of Communication form, the designated national authority(ies) of the Party(ies) involved, and the DOE that: the request for issuance has been received by the Executive Board for consideration of issuance; the secretariat has published the request for issuance; and, the last date by which members of the Executive Board or a Party involved may request a review of request for issuance, which shall be 28 calendar days after the date of publication of the request for issuance.

15. The secretariat will prepare and send to the Executive Board a summary note on the request for issuance, within 14 days calendar days of date of publication of the request for issuance.

#### **D. Requesting a Review of a Request for Issuance**

16. A request for review by a Party involved in the CDM project activity shall be sent by the relevant designated national authority to the Executive Board, through the secretariat, using official means of communication (such as recognized official letterhead and signature or an official dedicated e mail account). A request for review by any member of the Executive Board shall be made by notifying the Executive Board through the secretariat.

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

18. A request for review shall be considered to be received by the Executive Board on the date it has been received by the secretariat. A request for review will not be considered by the Executive Board if it is received after 17:00 GMT of the last day of the 28 day period following the publication of the request for issuance.



19. A request for review shall:
- (a) include the latest CDM project activity issuance review form (F-CDM-IR) adopted by the Executive Board,
  - (b) provide reasons for the request for review, based on the latest version of the “Clean Development Mechanism Validation and Verification Manual” and other CDM requirements, and any supporting documentation.
20. If a Party involved in a CDM project activity or at least three Executive Board members request a review of the request for issuance, the secretariat shall:
- (a) notify the project participants and the DOE that conducted the verification that a Party involved in a CDM project activity or at least three Executive Board members have requested a review of the request for issuance,
  - (b) mark the request for issuance as “under review” on the UNFCCC CDM website.

#### **E. Finalizing a Request for Issuance if no Request for Review**

21. The request for issuance will be deemed finalized if the secretariat does not receive a request for review, as prescribed above, from a Party involved or at least three members of the Executive Board.
22. The Executive Board shall instruct the CDM registry administrator to issue a specified quantity of CERs into the pending account of the Executive Board of the CDM registry, in accordance with decision 3/CMP.1, annex, paragraph 66.
23. The Executive Board’s instructions to the CDM registry administrator shall be communicated to the project participant(s), as identified in the Modalities of Communication form. The secretariat will make the instructions publicly available on the UNFCCC website.

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#### **History of the document**

<b>Version</b>	<b>Date</b>	<b>Nature of revision</b>
01.2	20 August 2010	Editorial revisions to title, sub-titles and paragraph 14.
01.1	06 July 2010	Small editorial revisions to paragraph 14 including: -inserting the word “published” in line 3 -replacing the last word in the sentence from “registration” to “issuance” Small editorial revision to paragraph 18; the word “calendar” was inserted after the number 28.
01	EB 54, Annex 35 28 May 2010	Initial adoption. This document incorporates, and thus replaces, the document: Procedures relating to verification report and certification report/request for issuance of CERS (version 01.1; 20 December 2006)
<b>Decision Class:</b> Regulatory <b>Document Type:</b> Procedure <b>Business Function:</b> Issuance		