

**A6.4-SBM015-AA-A06**

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# Revision of activity cycle regulatory documents for projects and programmes of activities

Version 01.0



**United Nations**  
Framework Convention on  
Climate Change

## COVER NOTE

### 1. Procedural background

1. The rules, modalities and procedures (RMPs) for the mechanism established by Article 6, paragraph 4, of the Paris Agreement (the Article 6.4 mechanism), as contained in the annex to decision 3/CMA.3, state, in paragraph 42 thereof, that "The host Party shall provide a statement to the Supervisory Body specifying whether it authorizes A6.4ERs<sup>1</sup> issued for the activity for use towards achievement of NDCs<sup>2</sup> and/or for other international mitigation purposes as defined in decision 2/CMA.3. If the host Party authorizes any such uses, the Party may provide relevant information on the authorization, such as any applicable terms and provisions. If the host Party authorizes A6.4ERs for use for other international mitigation purposes, it shall specify how it defines "first transfer" consistently with paragraph 2(b) of the annex to decision 2/CMA.3."<sup>3</sup>
2. Decision 3/CMA.3, annex, paragraph 55, also states that "The mechanism registry shall distinguish A6.4ERs that are authorized for use towards the achievement of NDCs and/or for use for other international mitigation purposes pursuant to chapter V.C above (Approval and authorization), including any specified uses for which the A6.4ERs are authorized".
3. Furthermore, decision 7/CMA.4, annex I, paragraph 38, states that "The mechanism registry administrator shall, at the time of the issuance of A6.4ERs, assign their authorization status in accordance with the statement by the host Party provided to the Supervisory Body pursuant to paragraph 42 of the RMPs".<sup>4</sup>
4. The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA), at its sixth session through decision -/CMA.6 (Further guidance on the mechanism established by Article 6, paragraph 4, of the Paris Agreement), paragraph 11, clarified that the statement of authorization shall contain information, which may be included as part of the approval of the Article 6, paragraph 4, activity (A6.4 activity) by the host Party, on whether it:
  - (a) Authorizes, in full or in part, the Article 6, paragraph 4, emission reductions (A6.4ERs) to be issued for the underlying activity for use towards achievement of nationally determined contributions (NDCs) and/or for other international mitigation purposes pursuant to decision 2/CMA.3, annex, paragraph 1(d) and (f);

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<sup>1</sup> Article 6, paragraph 4, emission reductions, as defined in decision 3/CMA.3, annex, paragraph 1(b).

<sup>2</sup> Nationally determined contributions, as defined in the Paris Agreement, Article 4.

<sup>3</sup> Decision 3/CMA.3, annex, as contained in document FCCC/PA/CMA/2021/10/Add.1, available at: [https://unfccc.int/sites/default/files/resource/cma2021\\_10\\_add1\\_adv.pdf#page=25](https://unfccc.int/sites/default/files/resource/cma2021_10_add1_adv.pdf#page=25).

<sup>4</sup> Decision 7/CMA.4, annex I, as contained in document FCCC/CMA/2022/10/Add.2, available at: [https://unfccc.int/sites/default/files/resource/cma2023\\_10a02E.pdf#page=33](https://unfccc.int/sites/default/files/resource/cma2023_10a02E.pdf#page=33).

- (b) Does not authorize any A6.4 ERs to be issued for the underlying activity for use towards achievement of NDCs and/or for other international mitigation purposes pursuant to decision 2/CMA.3, annex, paragraph 1(d) and (f);
  - (c) Allows mitigation contribution A6.4ERs to be issued for the underlying activity, while noting that the host Party may authorize the A6.4ERs at a later stage subject to the provisions referred to in paragraph 12 of decision -/CMA.6.<sup>5</sup>
- 5. The CMA, through its decision -/CMA.6, paragraphs 12 and 13, decided that the host Party may authorize, for use towards achievement of NDCs and/or for other international mitigation purposes, as referred to in decision 2/CMA.3, annex, paragraph 1(d) and (f), mitigation contribution A6.4ERs already issued (hereinafter referred to as post-issuance authorization of mitigation contribution A6.4ERs) by providing to the Supervisory Body a statement of authorization within a specified time frame.
- 6. The CMA, through its decision -CMA.6, paragraph 14, also requested the secretariat, with the approval of the Supervisory Body, to establish necessary guidelines and operationalize the process for authorization of mitigation contribution A6.4ERs already issued, which shall apply from the date of issuance prior to any transfer of the mitigation contribution A6.4ERs in or out of the mechanism registry, also by applying the requirements for corresponding adjustments with respect to the corresponding mitigation contribution A6.4ERs already forwarded for share of proceeds for adaptation pursuant to decision 7/CMA.4, annex I, paragraph 39, and cancelled to deliver overall mitigation in global emissions (OMGE) pursuant to decision 7/CMA.4, annex I, paragraph 40 ensuring that:
  - (a) Respective mitigation contribution A6.4ERs are still held by the mitigation activity participants and have not been transferred in or out of the mechanism registry;
  - (b) Corresponding adjustments pursuant to decision 2/CMA.3, annex, chapter III (Corresponding adjustments), are applied by the host Party as if the authorization had been provided no later than at issuance;
  - (c) Respective shares of proceeds for adaptation received by the Adaptation Fund pursuant to decision 3/CMA.3, annex, chapter VII (Levy of share of proceeds for adaptation and administrative expenses), are comprised of authorized A6.4ERs rather than of mitigation contribution A6.4ERs.
- 7. Furthermore, the CMA, through decision -/CMA.6, paragraph 15, requested the secretariat to develop a template for the statement referred to in paragraph 4 above, to include the relevant applicable elements contained in paragraph 5 of decision -/CMA.6 (Matters relating to cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement),<sup>6</sup> in order to enable the identification of authorized A6.4ERs in the mechanism registry.

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<sup>5</sup> Decision -/CMA.6, "Further guidance on the mechanism established by Article 6, paragraph 4, of the Paris Agreement" (Advance unedited version), available at:  
[https://unfccc.int/sites/default/files/resource/CMA\\_6\\_agenda%20item15b\\_AUV\\_2.pdf](https://unfccc.int/sites/default/files/resource/CMA_6_agenda%20item15b_AUV_2.pdf).

<sup>6</sup> Decision -/CMA.6, "Matters relating to cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement" (Advance unedited version), available at:  
[https://unfccc.int/sites/default/files/resource/CMA6\\_agenda%20item\\_15a\\_AUV.pdf](https://unfccc.int/sites/default/files/resource/CMA6_agenda%20item_15a_AUV.pdf).

8. The CMA, through decision -/CMA.6, paragraph 13, further requested the Supervisory Body to consider and determine whether, based on its experience, there is a need to set a time limit, from the date of issuance to when the host Party shall provide a statement of authorization, and report back in its annual report to the CMA at its seventh session (November 2025).
9. The CMA, through decision -/CMA.6, paragraph 20, also decided to exempt Article 6.4 activities in the least developed countries (LDCs) and small island developing States (SIDS) from the share of proceeds for adaptation, while acknowledging that the LDCs and SIDS may choose not to make use of this exemption.

## **2. Purpose**

10. The purpose of revising the “Procedure: Article 6.4 activity cycle procedure for projects” and the “Procedure: Article 6.4 activity cycle procedure for programmes of activities” is to:
  - (a) Operationalize the authorization process of the use of A6.4 ERs under the Article 6.4 mechanism;
  - (b) Reflect the exemption provided of Article 6.4 activities hosted in LDCs and SIDS from the share of proceeds for adaptation, with an option for these countries to choose not to make use of this exemption.
11. This document presents the first drafts of the second version of the “Procedure: Article 6.4 activity cycle procedure for projects” and the second version of the “Procedure: Article 6.4 activity cycle procedure for programmes of activities” (hereinafter collectively referred to as “the revised activity cycle procedures”). All proposed changes from the first version of these procedures are highlighted in yellow.
12. This cover note summarizes the key changes introduced in the revised activity cycle procedures, based on the mandates provided by the CMA as outlined in section 1 above.

## **3. Key issues and proposed solutions**

### **3.1. Timing of authorization**

13. As referred to in paragraph 1 above, the requirement for the host Party to provide a statement to the Supervisory Body on the authorization of A6.4ERs issued for an A6.4 activity stems from paragraph 42 of the RMPs. However, it does not clarify the exact timing of provision of such statement to the Supervisory Body. On the other hand, decision 7/CMA.4, annex I, paragraph 38, referred to in paragraph 3 above requires the mechanism registry administrator to assign the authorization status at the time of the issuance of A6.4ERs in accordance with such statement.
14. It should be recalled that decision -/CMA.6, paragraph 10, “encourages” the host Party to provide to the Supervisory Body the statement on authorization “as early as possible”. It should further be recalled that paragraph 11 of the same decision, referred to in paragraph 4 above, clarifies that the host Party may include a statement of authorization as part of the approval of an A6.4 activity.
15. The authorization of the use of the A6.4ERs and its timing in the Article 6.4 activity cycle may have significant impacts on the activity participants, host Parties, participating Parties,

and other actors in the Article 6.4 mechanism. This is due to the requirements to apply corresponding adjustments for the authorized A6.4ERs; the respective shares forwarded for the share of proceeds for adaptation pursuant to decision 7/CMA.4, annex I, paragraph 39; and the cancellation of A6.4ERs to deliver OMGE pursuant to decision 7/CMA.4, annex I, paragraph 40. There is also the potential for different market values between authorized A6.4ERs and unauthorized mitigation contribution A6.4ERs.

16. The host Party, by providing a statement of authorization early on, and specifying whether it authorizes A6.4ERs issued for the activity for use towards achievement of NDCs and/or for other international mitigation purposes (as defined in decision 2/CMA.3), may create up-front incentive for the activity participants and investors in projects. It also allows the host Party to conduct a crucial analysis of how implementing the activity might affect achievement of its NDC at an early stage.
17. On the other hand, some host Parties may not be able to decide on the authorization of A6.4ERs at the time of approval of a specific A6.4 activity for various reasons, including, but not limited to, the difficulty in forecasting the prospect in the implementation of their NDCs.
18. In summary, while it is recommended that the revised activity cycle procedures require the host Party to include a statement on authorization of A6.4ERs in the approval of an A6.4 activity by default, which is a pre-registration step, there may be a need for flexibility for the host Party on the timing of providing such statement, but at the latest until before the issuance of A6.4ERs.

### **3.2. Content of the authorization**

19. CMA.6 clarified that the statement of authorization shall contain information in accordance with decision -/CMA.6, paragraph 11, as referred to in paragraph 4 above, and the primary content of the statement on authorization should be one of the three options as to whether it:
  - (a) Authorizes, in full or in part, the A6.4ERs to be issued for the underlying activity for use towards achievement of NDCs and/or for other international mitigation purposes;
  - (b) Does not authorize any A6.4ERs to be issued for the underlying activity for use towards achievement of NDCs and/or for other international mitigation purposes; or
  - (c) Allows mitigation contribution A6.4ERs to be issued for the underlying activity, while noting that the host Party may authorize the A6.4ERs at a later stage subject to the additional provisions contained in paragraph 12 of decision-/CMA.6.
20. CMA.6 requested the secretariat to develop a template for the statement of authorization, to include the relevant applicable elements contained in paragraph 5 of decision -/CMA.6 (Matters relating to cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement) in order to enable the identification of authorized A6.4ERs in the mechanism registry.
21. It is therefore proposed that a template be developed with an explicit statement by the host Party on the three options for authorization, in addition to the relevant applicable elements pursuant to paragraph 5 of decision -/CMA.6, which provide the mandatory

elements that shall be included in the authorization of the use of internationally transferred mitigation outcomes from each cooperative approach. An assessment of the provisions of paragraph 5 decision -/CMA.6 has been conducted to determine the relevant applicable elements for the Article 6.4 authorization template. The outcome is presented in the comparative table below.

**Table 1 Assessment of the relevance and applicability of the mandatory elements to be included in the authorization of the use of internationally transferred mitigation outcomes from cooperative approaches, compared to proposed Article 6.4 elements:**

<b>Paragraph of decision- /CMA.6<sup>(a)</sup></b>	<b>Mandatory elements to be included in the authorization of use of the internationally transferred mitigation outcomes from A6.2 cooperative approaches</b>	<b>Proposed relevant applicable elements to be included in the authorization of A6.4ERs</b>
<b>5(a)</b>	A unique identifier for the cooperative approach, obtained from the centralized accounting and reporting platform, where available	The authorization identifier and the UNFCCC reference number of the A6.4 project/programme of activity (PoA) /component project (CP)
<b>5(b)</b>	The name(s) of the participating Party(ies) and/or entities, if known, covered by the authorization	The name(s) of the host Party and other participating Party(ies) and authorized activity participants, if known, covered by the authorization
<b>5(c)</b>	The date and duration of the authorization, including the final date for mitigation outcomes to be issued, or to be used or cancelled, in connection with the first transfer specified by the Party as per decision 2/CMA.3, annex, paragraph 2(b), as applicable	The date and duration of the authorization, including the final date for A6.4ERs to be issued, or to be used or cancelled, in connection with the first transfer specified by the Party as per decision 2/CMA.3, annex, paragraph 2(b), as applicable
<b>5(d)</b>	The specification of the first transfer of the mitigation outcome, as specified by participating Parties, as per decision 2/CMA.3, annex, paragraph 2(b)	The specification of the first transfer of the mitigation outcome, as specified by the host Party, as per decision 2/CMA.3, annex, paragraph 2(b)
<b>5(e)</b>	The uses covered by the authorization, consistent with decision 2/CMA.3, annex, paragraph 1(d) and (f)	The uses covered by the authorization, consistent with decision 2/CMA.3, annex, paragraph 1(d) and (f)

Paragraph of decision- /CMA.6 <sup>(a)</sup>	<b>Mandatory elements to be included in the authorization of use of the internationally transferred mitigation outcomes from A6.2 cooperative approaches</b>	<b>Proposed relevant applicable elements to be included in the authorization of A6.4ERs</b>
<b>5(f)</b>	The identification of or cross-reference to underlying regulations, frameworks, standards or procedures, including any specific methodologies underpinning the cooperative approach	The applied methodology(ies)
<b>5(g)</b>	Where changes to the authorization may occur, information on the circumstances in which such changes may occur and a description of the process for managing them in a way that avoids double counting	Where changes to the authorization may occur, information on the circumstances in which such changes may occur and a description of the process for managing them in a way that avoids double counting
<b>5(h)</b>	The quantity of internationally transferred mitigation outcomes, if applicable	The quantity of A6.4ERs, if applicable
<b>5(i)</b>	Identification of the registry the participating Party has, or has access to, for the purpose of tracking and recording internationally transferred mitigation outcomes	Not applicable – the corresponding registry is the mechanism registry
<b>5(j)</b>	Identification of the relevant registry(ies) in the underlying regulations, frameworks, standards or procedures that (1) contain mitigation outcomes or inform their calculation by the participating Party(ies) and (2) transparently track the status of underlying mitigation activities and outcomes as well as participation and transactions by entities, as applicable	Not applicable - the corresponding registry is the mechanism registry
<b>5(k)</b>	The vintage(s) covered by the authorization	The vintage(s) covered by the authorization

Paragraph of decision- /CMA.6 <sup>(a)</sup>	Mandatory elements to be included in the authorization of use of the internationally transferred mitigation outcomes from A6.2 cooperative approaches	Proposed relevant applicable elements to be included in the authorization of A6.4ERs
5(l)	The metrics and units of measurement or conversion and the greenhouse gases covered by the authorization	Not applicable - paragraph 1(b) of the annex to decision 3/CMA.3 specifies that an A6.4ER is measured in carbon dioxide equivalent and is equal to 1 tonne of carbon dioxide equivalent calculated in accordance with the methodologies and metrics assessed by the Intergovernmental Panel on Climate Change and adopted by the CMA or in other metrics adopted by the CMA pursuant to these RMPs
5(m)	The sector(s) covered, if applicable	The sectors and sectoral scope(s) covered
5(n)	The activity type(s) and/or activity(ies) covered, if applicable	The mitigation type, activity type(s) and/or activity(ies) covered

(a) Decision -/CMA.6, "Matters relating to cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement" (Advance unedited version), available at: [https://unfccc.int/sites/default/files/resource/CMA6\\_agenda%20item\\_15a\\_AUV.pdf](https://unfccc.int/sites/default/files/resource/CMA6_agenda%20item_15a_AUV.pdf).

### 3.3. Guidelines for operationalization of the post-issuance authorization of the use of A6.4ERs

#### 3.3.1. Time limit for the authorization of the use of the A6.4ERs

22. In accordance with paragraph 12 of decision -/CMA.6 (Further guidance on the mechanism established by Article 6, paragraph 4, of the Paris Agreement), the host Party may authorize, for use towards achievement of NDCs and/or for other international mitigation purposes, mitigation contribution A6.4ERs that have already been issued, by providing the Supervisory Body with a statement of authorization within the specified time frame (which applies from the date of issuance). Such authorization must occur prior to any transfer of the mitigation contribution A6.4ERs in or out of the mechanism registry, while also applying the requirements for corresponding adjustments with respect to the mitigation contribution A6.4ERs that have already been forwarded for the share of proceeds for adaptation pursuant to decision 7/CMA.4, annex I, paragraph 39, and cancelled to deliver overall mitigation in global emissions pursuant to decision 7/CMA.4, annex I, paragraph 40.
23. CMA.6 also requested the Supervisory Body to consider and determine whether, based on its experience, there is a need to set a time limit from the date of issuance by which the



host Party shall provide a statement of authorization, and to report back in its annual report to the CMA at its seventh session.

24. When considering the time limit referred to in paragraph 23, the primary consideration would be until when the recording of authorized A6.4ERs for use towards an NDC or for other international mitigation purposes is permitted, which is, as any other internationally transferred mitigation outcomes for the same purposes under the cooperative approaches under Article 6.2, regulated by decision -/CMA.6 (Matters relating to cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement), paragraphs 12 and 14, conditional to the following:
  - (a) The “first transfer” of authorized A6.4ERs shall be recorded for the earlier of:
    - (i) The first international transfer of the mitigation outcome, pursuant to decision 2/CMA.3, annex, paragraph 2(a);
    - (ii) The first transfer of the mitigation outcome, as specified by the first transferring Party, pursuant to decision 2/CMA.3, annex, paragraph 2(b);
  - (b) For use for other international mitigation purposes, the first transfer of authorized A6.4ERs shall be recorded no later than 31 December of the year prior to the submission of the biennial transparency report referred to in decision 2/CMA.3, annex, paragraph 12, for the NDC period in which the mitigation outcome occurred.
25. In terms of Article 6.4, the timeline for recording of authorized A6.4ERs will translate into a time limit which is prior to 31 December of the year prior to the submission of the biennial transparency report referred to in decision 2/CMA.3, annex, paragraph 12, for the NDC period in which the mitigation outcome occurred, as by that time the host Party would have finalized its accounting, carried the necessary corresponding adjustments, and recorded the first transfer for authorized A6.4ERs for use towards NDCs and/or other international mitigation purposes.
26. An additional reason for having a deadline is the need to allow the recording and reporting of first transfer to be undertaken by submitting an agreed electronic format for all A6.4ERs authorized for use towards NDCs and/or other international mitigation purposes.
27. If no authorization is provided for A6.4ERs by the abovementioned deadline, they cannot be recorded after that and the A6.4ERs in question in the mechanism registry would remain as mitigation contribution A6.4ERs.
28. Therefore, it is reasonable to set the time limit as the same deadline referred to in paragraph 25 above irrespective of the date of issuance of the A6.4ERs in question.

### **3.3.2. Other guidelines for the authorization of the use of A6.4ERs**

29. In order to operationalize the process that allows changes to the authorization status of the mitigation contribution A6.4ERs and respective shares that have been forwarded for adaptation and OMGE, which ensures the conditions referred to in paragraph 6 above, the mechanism registry administrator is required to track and access the respective mitigation contribution A6.4ERs. This capability can only be enabled prior to any transfer in or out of the mechanism registry.

30. Furthermore, it is proposed that procedural provisions be included instructing the mechanism registry administrator to:
- (a) Track and change the authorization status of the issued mitigation contribution A6.4ERs to authorized A6.4ERs in the holding account of the activity participants and participating Parties involved for which the change to the authorization status applies to authorized A6.4ERs;
  - (b) Track and change the authorization status of the 5 per cent of the issued mitigation contribution A6.4ERs to authorized A6.4ERs that were forwarded to the share of proceeds for adaptation account held by the Adaptation Fund and change the type of the transfer to distinguish it as first transfer;
  - (c) Track and change the status of the transfer of the 2 per cent of the issued mitigation contribution A6.4ERs to deliver OMGE to distinguish it as first transfer;
  - (d) Send a notification to the host Party that provided the statement or revised statement of authorization about the completion of the status change, together with a reminder to the host Party to apply corresponding adjustments regarding the A6.4ERs for which the authorization status has been changed as if the authorization had been provided no later than at the time of issuance;
  - (e) Make the change to the authorization status publicly available on the UNFCCC website.
31. The mechanism registry administrator shall implement changes to the authorization status as per paragraph 30 above in accordance with the provisions of the “Procedure: Article 6.4 mechanism registry,” which outlines the relevant operational processes.
32. The above provisions also ensure that, as the mechanism registry identifies the above transactions as the first transfer, which will trigger corresponding adjustments pursuant to decision 2/CMA.3, annex, chapter III (Corresponding adjustments), to be applied by the host Party, the authorization had been provided no later than at the time of issuance.

### **3.4. Withdrawal of authorization**

33. In conjunction with the development of a template for the statement on the authorization referred to in paragraph 20, new provisions that allow changes to the authorization of A6.4ERs under the circumstances pre-defined by the host Party in the original statement on the authorization as per paragraph 5(g) of decision -/CMA.6 (Matters relating to cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement) need to be introduced in the revised activity cycle procedures and the mechanism registry procedure. It should be noted that the need to include in the template information on the circumstances under which changes to the authorization may occur, along with a description of how such changes will be managed to avoid double counting was already pointed out in paragraph 20 and Table 1 above. It should be further noted that, in the context of the Article 6.4 mechanism, paragraph 5(g) of decision -/CMA.6 is intended to allow withdrawal from authorized A6.4ERs to mitigation contribution A6.4ERs, whereas the process to allow post-issuance changes from mitigation contribution A6.4ERs to authorized A6.4ERs is covered by paragraph 12 of decision -/CMA.6, as discussed in section 3.3 above.

34. When considering the withdrawal of authorization from authorized A6.4ERs to mitigation contribution A6.4ERs, an important question is whether such status change should apply only to future issuance of A6.4ERs or should also apply to already issued A6.4ERs. In this regard, decision -CMA.6, paragraph 7, which applies to internationally transferred mitigation outcome under cooperative approaches referred to in Article 6.2, states: "Decides that any changes to authorization of the use of internationally transferred mitigation outcomes from a cooperative approach shall not apply to, or affect, mitigation outcomes that have already been first transferred, unless otherwise specified by the Parties participating in the cooperative approach in applicable terms and conditions of the authorization that specify the circumstances for such changes and the process for managing them, in order to ensure the avoidance of double counting".
35. If the same principles are applied to the Article 6.4 mechanism, changes to the authorization status should also apply to already issued and authorized A6.4ERs if they have not yet been transferred in and out of the mechanism registry. However, such retroactive application of change to the authorization status from authorized A6.4ERs to mitigation outcome A6.4ERs, the latter of which have less limited usage compared to the former, hence less market value, would have a significant negative financial impact on the activity participants. It would also significantly reduce the predictability for activity participants in their business plans in investing in emission reductions or removal projects, hence discourage them from participating in the Article 6.4 mechanism in the first place.
36. The current activity cycle procedures have provisions on withdrawal of approval of A6.4 activities and withdrawal of authorization of activity participants. New provisions that allow withdrawal of authorization of authorized A6.4ERs may be introduced in the same section of the revised activity cycle procedures, as well as in the mechanism registry procedure currently under development, clarifying:
  - (a) The means, timeline and required information in the withdrawal of an authorization of specific A6.4ERs from host Parties to the secretariat;
  - (b) The process for the mechanism registry administrator to:
    - (i) Track and change the authorization status of the issued authorized A6.4ERs to mitigation contribution A6.4ERs in the holding account of the activity participants and participating Parties involved;
    - (ii) Track and change the authorization status of the 5 per cent of the issued authorized A6.4ERs to mitigation contribution A6.4ERs that were forwarded to the share of proceeds for adaptation account held by the Adaptation Fund and change the type of the transfer which was previously distinguished as first transfer to non-first transfer type;
    - (iii) Track and change the status of type of the transfer of the 2 per cent of the issued authorized A6.4ERs to the cancellation for OMGE account which was previously distinguished as first transfer to non-first transfer type;
  - (c) Public availability of the information on the withdrawal of authorization and change to the authorization status.
37. The mechanism registry administrator shall implement changes to the authorization status as per paragraph 36(b) above in accordance with the provisions of the "Procedure: Article 6.4 mechanism registry," which outlines the relevant operational processes.

### **3.5. LDCs and SIDS choice to make use or not of the exemption from share of proceeds (SOP) for adaptation**

38. With regard to the decision of CMA.6 to exempt LDCs or SIDS from the share of proceeds for adaption referred to in paragraph 9 above and the possibility for those Parties to choose not to make use of such an exemption, it would be reasonable to expect that these countries can make such decision at an early stage of the activity cycle. Therefore, it is proposed that the timing for these host Parties to notify the Supervisory Body of such intention be at the time of providing an approval of the Article 6.4 project.

### **3.6. Other issues**

39. Other proposed changes in the draft revised activity cycle procedures are to provide consistency with other regulatory documents and introduce clarifications including:
- (a) Clarifying the deadline for the Supervisory Body's consideration of a case when a member objects to the proposed ruling, for both registration and issuance requests;
  - (b) Aligning the provisions with the adopted "Procedure: Appeal and grievance processes under the Article 6.4 mechanism";
  - (c) Enabling activity participants to provide a request for distribution of A6.4ERs upon their issuance directly to the mechanism registry administrator following the relevant provisions of the Article 6.4 mechanism registry procedure instead of providing it through the designated operational entity (DOE) as part of the issuance request.

## **4. Impacts**

40. The revised activity cycle procedures accommodate all requests from the CMA at its sixth session concerning the authorization of A6.4ERs, options of choosing to make use of the exemption from the share of proceeds for adaptation for project activities hosted in LDCs and SIDS, as well as improve clarity and consistency.

## **5. Subsequent work and timelines**

41. The secretariat will continue preparing for the operation of the Article 6.4 activity cycle, including further development of regulatory provisions, necessary forms, and IT infrastructure to operationalize the authorization process.

## **6. Recommendations to the Supervisory Body**

42. The secretariat recommends that the Supervisory Body consider and adopt the revised activity cycle procedures as presented, with modifications as appropriate.

## **Appendix 1. Draft Article 6.4 activity cycle procedure for projects (version 02.0)**

DRAFT

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# 1. Introduction

## 1.1. Background

1. The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA), at its third session, adopted rules, modalities and procedures (RMPs) for the mechanism established by Article 6, paragraph 4, of the Paris Agreement (the Article 6.4 mechanism)<sup>1</sup> and requested the Supervisory Body, among others, to develop provisions for the development and approval of methodologies, validation, registration, monitoring, verification and certification, issuance, renewal, first transfer from the mechanism registry, voluntary cancellation and other processes pursuant to chapters V.B–L and VIII of the RMPs.<sup>2</sup>
2. The CMA, at its fourth session, elaborated some elements of the RMPs relating to the operation of the activity cycle of the Article 6.4 mechanism.<sup>3</sup>

2<sub>bis</sub>. The CMA, at its sixth session, elaborated provisions of the RMPs relating to the authorization of the use of Article 6, paragraph 4, emission reductions (A6.4ERs) and exemption from the share of proceeds for adaptation for least developed countries (LDCs) and small island developing States (SIDS).<sup>4</sup>

## 1.2. Objectives

3. The objective of the “Article 6.4 activity cycle procedure for projects” (hereinafter referred to as this procedure) is to set out all procedural steps and requirements relating to the activity cycle processes for Article 6.4 mechanism projects (A6.4 projects).

# 2. Scope and entry into force

## 2.1. Scope

4. This procedure describes the administrative steps to follow for activity participants, designated national authorities (DNAs), designated operational entities (DOEs), other stakeholders, the Supervisory Body and the UNFCCC secretariat (hereinafter referred to as the secretariat) for registration, post-registration change, renewal of crediting period and deregistration of an A6.4 project, as well as issuance of Article 6, paragraph 4, emission reductions (A6.4ERs) for emission reductions or removals of greenhouse gases

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<sup>1</sup> Decision 3/CMA.3, annex, as contained in document FCCC/PA/CMA/2021/10/Add.1. Available at: [https://unfccc.int/sites/default/files/resource/cma2021\\_10\\_add1\\_adv.pdf#page=25](https://unfccc.int/sites/default/files/resource/cma2021_10_add1_adv.pdf#page=25); [https://unfccc.int/sites/default/files/resource/cma2021\\_10a01E.pdf](https://unfccc.int/sites/default/files/resource/cma2021_10a01E.pdf).

<sup>2</sup> Decision 3/CMA.3, paragraph 5(a).

<sup>3</sup> Decision 7/CMA.4, annex I, chapters III–VI, as contained in in document FCCC/PA/CMA/2022/10/Add.2. Available at: [https://unfccc.int/sites/default/files/resource/cma2022\\_10a02\\_adv.pdf#page=33](https://unfccc.int/sites/default/files/resource/cma2022_10a02_adv.pdf#page=33); [https://unfccc.int/sites/default/files/resource/cma2023\\_10a02E.pdf](https://unfccc.int/sites/default/files/resource/cma2023_10a02E.pdf).

<sup>4</sup> Decision -/CMA.6 (Advance unedited version). Further guidance on the mechanism established by Article 6, paragraph 4, of the Paris Agreement. Available at: [https://unfccc.int/sites/default/files/resource/CMA\\_6\\_agenda%20item15b\\_AUV\\_1.pdf](https://unfccc.int/sites/default/files/resource/CMA_6_agenda%20item15b_AUV_1.pdf).



(GHGs) achieved by an A6.4 project and other actions related to the activity cycle of the Article 6.4 mechanism.

## **2.2. Entry into force**

5. This version of this procedure enters into force on **1 January 2024 [DATE]**.

## **3. Terms and definitions**

6. The following terms apply in this procedure:

- (a) “Shall” is used to indicate requirements to be followed;
- (b) “Should” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
- (c) “May” is used to indicate what is permitted;
- (d) “Activity participant” is a public or private entity that participates in an A6.4 project.

## **4. Pre-registration activities**

### **4.1. Participation of host Parties in the Article 6.4 mechanism**

7. Each host Party of A6.4 projects shall, prior to participating in the Article 6.4 mechanism, ensure that:
- (a) It is a Party to the Paris Agreement;
  - (b) It has prepared, has communicated and is maintaining a nationally determined contribution (NDC) in accordance with Article 4,<sup>5</sup> paragraph 2;
  - (c) It has designated a DNA for the Article 6.4 mechanism and has communicated that designation to the secretariat;
  - (d) It has indicated publicly to the Supervisory Body how its participation in the Article 6.4 mechanism contributes to sustainable development, while acknowledging that the consideration of sustainable development is a national prerogative;
  - (e) It has indicated publicly to the Supervisory Body the types of Article 6, paragraph 4, activity (A6.4 activity) that it would consider approving pursuant to chapter V.C (Approval and authorization) of the RMPs and how such types of activity and any associated emission reductions or removals would contribute to the achievement of its NDC, if applicable, its long-term low GHG emission development strategy, if it has submitted one, and the long-term goals of the Paris Agreement.
8. A host Party may specify to the Supervisory Body, prior to participating in the Article 6.4 mechanism:
- (a) Baseline approaches and other methodological requirements, including additionality, to be applied for A6.4 activities that it intends to host, in addition and

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<sup>5</sup> Unless otherwise stated, “Article” refers to that in the Paris Agreement.

subject to and consistent with the RMPs, under the supervision of the Supervisory Body, and subject to further relevant decisions of the CMA, with an explanation of how those approaches and requirements are compatible with its NDC and, if it has submitted one, its long-term low GHG emission development strategy;

- (b) Crediting periods to be applied for A6.4 activities that it intends to host, including whether the crediting periods may be renewed, subject to the RMPs and under the supervision of the Supervisory Body, and in accordance with further relevant decisions of the CMA, with an explanation of how those crediting periods are compatible with its NDC and, if it has submitted one, its long-term low GHG emission development strategy;

(c) How it defines first transfer pursuant to decision 2/CMA.3, annex, paragraph 2(b).

9. Each host Party shall, through its DNA, provide the information referred to in paragraph 77(d)-(e) above, and if the host Party opts to do so, also the information referred to in paragraph 8(a)–(c) above and/or 8(b) above, to the Supervisory Body through a dedicated interface on the UNFCCC website. A host Party may, through its DNA, revise the information any time by providing the revised information through the same interface. The revised information shall not affect the A6.4 projects that have already been registered or the requests for registration that have already been submitted to the secretariat in accordance with this procedure.<sup>6</sup>
10. Each host Party shall ensure that, on a continuing basis:
  - (a) It is maintaining an NDC in accordance with Article 4, paragraph 2;
  - (b) Its participation in the Article 6.4 mechanism contributes to the implementation of its NDC and its long-term low GHG emission development strategy, if it has submitted one.
11. The secretariat shall publish the information provided by host Parties in accordance with paragraphs 7-9 above on the UNFCCC website.

## 4.2. Prior consideration of the Article 6.4 mechanism

12. The activity participants of a proposed A6.4 project shall demonstrate that the Article 6.4 mechanism benefits were considered necessary in the decision to implement the project by notifying the secretariat of the intention to seek registration of the proposed A6.4 project under the Article 6.4 mechanism (hereinafter referred to as prior consideration notification) through a dedicated interface on the UNFCCC website. If the project has already started as per the definition of the “start date” of a project in the “Article 6.4 activity standard for projects” (hereinafter referred to as the activity standard), the activity participants shall submit such notification no later than 180 days after the start date of the project. The prior consideration notification shall accompany a summary of the project information, which shall include, at minimum:

<sup>6</sup> If a host Party does not provide information referred to in paragraph 8(a) above to the Supervisory Body, the methodological requirements contained in the applied mechanism methodology and any other methodological requirements as approved by the Supervisory Body for the relevant activity type shall apply. Likewise, if a host Party does not provide information referred to in paragraph 8(b) above to the Supervisory Body, the type and the length of the crediting period selected by the activity participant in accordance with paragraph 31(f) of the RMPs shall apply.

- (a) The project title;
  - (b) The names of the activity participants;
  - (c) The precise geographical location;
  - (d) A brief description of the technologies or measures to be deployed;
  - (e) The Article 6.4 mechanism methodology (hereinafter referred to as mechanism methodology) to be applied (if already known);
  - (f) The actual or planned start date of the activity;
  - (g) The type (fixed or renewable), planned start date and duration of the crediting period;
  - (h) The approximate amount of GHG emission reductions or net GHG removals expected to be achieved by the project in each year of the crediting period.
13. Notwithstanding the provision in paragraph 12 above, if the start date of a proposed A6.4 project is after 31 December 2020 and prior to the date of entry into force of version 01.0 of this procedure, the activity participants shall, if they wish to seek registration of the project under the Article 6.4 mechanism, provide a prior consideration notification through the dedicated interface on the UNFCCC website referred to in paragraph 12 above no later than 180 days after the entry into force of version 01.0 of this procedure.
14. Once the secretariat confirms that the required information has been duly provided, it shall promptly assign a unique project reference number and publish the prior consideration notification on the UNFCCC website.
15. The secretariat shall, upon publication of the prior consideration notification on the UNFCCC website, inform the host Party of the receipt of such notification. The host Party may indicate through the dedicated interface on the UNFCCC website that it has no objection for the proposed A6.4 project to proceed with requesting registration under the Article 6.4 mechanism.

#### **4.3. Global stakeholder consultation**

16. The activity participants shall submit a project design document (PDD) prepared in accordance with the activity standard to the secretariat, using the “Project design document form” ~~(A6.4M-PDD-FORM)~~ within one year of the publication of the prior consideration notification or within one year after the applicable mechanism methodology becomes available, whichever is later. The secretariat shall promptly publish the PDD as submitted on the UNFCCC website.
17. Parties, stakeholders and UNFCCC-admitted observer organizations may submit comments in English on the proposed A6.4 project to the secretariat through a dedicated interface on the UNFCCC website within 28 days of the publication of the PDD on the UNFCCC website. The submitters of the comments shall provide the name and contact details of the individual or organization on whose behalf the comments are submitted. Comments from stakeholders shall:
- (a) Be specific to the proposed A6.4 project;

- (b) Be related to the compliance with applicable Article 6.4 mechanism rules and regulations.

18. The secretariat shall make the comments that meet the requirements in paragraph 17 above publicly available on the UNFCCC website where the PDD is displayed, and inform the publication to the activity participants and the DNA of the host Party.

#### 4.4. Host Party approval and authorization

19. The secretariat shall, upon publication of the PDD on the UNFCCC website, inform the host Party of the receipt of the PDD, and request the host Party, based on the project information contained in the PDD, the implications of hosting the project on the implementation of its NDC, and, if the host Party wishes to do so, taking into account the comments submitted during the global stakeholder consultation and published on the UNFCCC website in accordance with section 4.3 above, to respond to the publication, through a dedicated interface on the UNFCCC website any time after it has fulfilled the requirements for participating in the Article 6.4 mechanism referred to in paragraph 7 above by:
  - (a) Approving the project to be registered under the Article 6.4 mechanism, noting that the registration of the project is subject to a positive validation outcome by a DOE and approval by the Supervisory Body; or
  - (b) Rejecting the project to be registered under the Article 6.4 mechanism, providing the reason for rejection.

20. The host Party, through its DNA, should promptly respond to the publication and is encouraged to do so but no later than 60 days of the notification or in any longer time frame to be indicated by the host Party through the dedicated interface on the UNFCCC website. Before responding, the host Party, through its DNA, may request the activity participants to provide additional information of the proposed A6.4 project to support its consideration on whether to approve the project, or authorize the activity participants or authorize the use of A6.4ERs towards NDCs or other international mitigation purposes referred to in decision 2/CMA.3.

21. If the host Party approves the project, the approval shall include:
  - (a) Confirmation that, and information on how, the project fosters sustainable development in the host Party;
  - (b) Approval of any potential renewal of the crediting period, if the Party intends to allow the project to continue beyond the first crediting period, where the Party has specified that the crediting periods of A6.4 activities that it intends to host may be renewed pursuant to paragraph 27(b) of the RMPs;<sup>7</sup>
  - (c) Explanation of how the project relates to the implementation of its NDC and how the expected GHG emission reductions or net GHG removals contribute to the host Party's NDC and the purposes referred to in Article 6, paragraph 1;
  - (d) Authorization of the activity participants;

<sup>7</sup> See footnote 5 above.

- (e) A statement on whether it chooses not to exempt the project from the share of proceeds for adaptation (applicable if the host Party is a LDC or SIDS).

22. ~~[Placeholder for possible provisions on the submission of the statement of authorization on the use of A6.4ERs that will be issued for the proposed A6.4 project]~~<sup>8</sup> If the host Party approves the project, it shall provide a statement of authorization on the use of A6.4ERs to be issued for the project in conjunction with the approval of the project or as early as possible thereafter, but prior to the first issuance of A6.4ERs for the project at the latest. The host Party shall provide such a statement, through a dedicated interface on the UNFCCC website, by completing a form and selecting one of the following options as to whether the host Party:

- (a) Authorizes, in full or in part, the A6.4ERs to be issued for the project for use towards achievement of NDCs and/or for other international mitigation purposes pursuant to decision 2/CMA.3, annex, paragraph 1(d) and (f);
- (b) Does not authorize any A6.4ERs to be issued for the project for use towards achievement of NDCs and/or for other international mitigation purposes pursuant to decision 2/CMA.3, annex, paragraph 1(d) and (f);
- (c) Allows mitigation contribution A6.4ERs to be issued for the project, while noting that it may authorize the A6.4ERs at a later stage subject to the provisions referred to in section 8.4 below and relevant provisions of the "Procedure: Article 6.4 mechanism registry".

22<sup>bis</sup>. If the host Party authorizes, in full or in part, the A6.4ERs to be issued for the project for the use towards achievement of NDCs and/or for other international mitigation purposes pursuant to decision 2/CMA.3, annex, paragraph 1(d) and (f) as per the paragraph 22(a) above or if the host Party authorizes the A6.4ERs at a later stage after their issuance as per paragraph 22(c) above, the host Party shall provide the following information in the statement referred to in paragraph 22 above:

- (a) The authorization identifier and unique UNFCCC reference number of the project;
- (b) The name(s) of the host Party and other participating Party(ies) and authorized activity participants, if known, covered by the authorization;
- (c) The date and duration of the authorization, including the final date for A6.4ERs to be issued, or to be used or cancelled, in connection with the first transfer specified by the host Party as per decision 2/CMA.3, annex, paragraph 2(b), as applicable;
- (d) The specification of the first transfer of the mitigation outcome, as specified by the host Party, as per decision 2/CMA.3, annex, paragraph 2(b);
- (e) The uses covered by the authorization, consistent with decision 2/CMA.3, annex, paragraph 1(d) and (f);
- (f) The applied methodology(ies);
- (g) Where changes to the authorization may occur, information on the circumstances in which such changes may occur and a description of the process for managing them in a way that avoids double counting;

- (h) The quantity of A6.4 emission reductions, if applicable;
- (i) The vintage(s) covered by the authorization;
- (j) The sectors and sectoral scope(s) covered;
- (k) The mitigation type, activity type(s) and/or activity(ies) covered.

23. The secretariat shall, upon receipt of the response from the host Party, inform the activity participants of the response and publish the response on the UNFCCC website.

#### **4.5. Participating Party authorization**

24. Parties participating in the A6.4 project other than the host Party (hereinafter referred to as other participating Parties) shall, through a dedicated interface on the UNFCCC website, provide an authorization of an activity participant any time after the publication of the response from the host Party approving the project in accordance with paragraph 23 above but prior to the first transfer of issued A6.4ERs to the account of the activity participant in the mechanism registry.

#### **4.6. Preparation and validation of project design document**

##### **4.6.1. Project design document**

25. The activity participants of a proposed A6.4 project shall complete a PDD in accordance with the activity standard, taking into account the comments submitted during the local or subnational stakeholder consultation conducted in accordance with the activity standard, and the global stakeholder consultation conducted in accordance with section 4.3 above, applying the same crediting period type and the start date of the crediting period indicated in the draft PDD referred to in paragraph 16 above.
26. If the activity participants wish to deviate from the selected mechanism methodology when applying it to the proposed A6.4 project, they shall, prior to the preparation of the PDD, submit a request for clarification to the secretariat on whether such deviation is acceptable in accordance with the "Procedure for development, revision and clarification of baseline and monitoring methodologies and methodological tools".

##### **4.6.2. Modalities of communication statement**

27. The activity participants of the proposed A6.4 project shall designate one or more focal point entities (hereinafter referred to as focal points) to communicate on their behalf with the Supervisory Body and the secretariat within the defined scopes of authority referred to in paragraph 29 below, and include this information in a modalities of communication (MoC) statement using the "Modalities of communication statement form" (A6.4M-MOC FORM).
28. After the submission of a request for registration of the proposed A6.4 project in accordance with paragraph 38 below, all official communication between the activity participants and the Supervisory Body or the secretariat for the project shall be conducted in accordance with the MoC statement, with the exception of communications undertaken in accordance with paragraphs 104 and 116(b) below.
29. The activity participants shall grant the focal points the authority to:

- (a) Communicate in relation to requests for forwarding of A6.4ERs to individual accounts of the activity participants (scope (a)); and/or
  - (b) Communicate in relation to changes to the MoC statement (scope (b)); and/or
  - (c) Communicate on all other project-related matters not covered by (a) or (b) above (scope (c)).
30. The activity participants may designate one or multiple entities for each scope of authority in a sole, shared or joint focal point role.<sup>9</sup>
31. The activity participants and the focal points may designate one primary authorized signatory and one alternate authorized signatory. The authentication of either the primary or alternate authorized signatory shall suffice for authenticating the activity participant's or the focal point's consent or instruction(s). If an entity is an activity participant and also a focal point, the same signatory shall represent the entity in both roles.
32. The activity participants may voluntarily indicate in the MoC statement the end date of their participation in the proposed A6.4 project. The secretariat shall monitor the end date of participation and mark the activity participants as "withdrawn" on the UNFCCC website on the day after the end date, provided that at least one activity participant authorized by the host Party of the project remains. The activity participants whose participation in the project has ended may request inclusion as an activity participant of the same project any time thereafter in accordance with paragraph 121(a) below.
33. The secretariat shall, when conducting the completeness check of the request for registration in accordance with paragraphs 46-48 below, consider the contact details included in the MoC statement to be the valid contact details of the activity participants whenever such details differ from the details of the activity participants and their representatives included in the PDD of the proposed A6.4 project.
34. The secretariat shall publish non-confidential information included in the MoC statement on the respective A6.4 project webpage of the UNFCCC website, following the registration of the project under the Article 6.4 mechanism.

#### **4.6.3. Validation of project design document**

35. The activity participants shall submit the PDD published for the global stakeholder consultation or any later version of the PDD, the MoC statement and any supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation of the project for registration.
36. The DOE shall perform validation of whether the proposed A6.4 project complies with the relevant requirements in the activity standard and any other applicable Article 6.4 mechanism rules and requirements based on the information provided in the PDD, the MoC statement and any supporting documentation it has received from the activity participants as well as further information obtained during the validation activity, and prepare a validation report, in accordance with the "Article 6.4 validation and verification

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<sup>9</sup> Joint focal point role requires consent from all focal point entities to communicate with the Supervisory Body or the secretariat. Shared focal point role allows any focal point entities to communicate with the Supervisory Body or the secretariat without requiring consent from other focal point entities.



standard for projects” (hereinafter referred to as the validation and verification standard), using the “Validation report form for projects” **(A6.4M-VAL-FORM)**.

37. For the purpose of possible selection of the validation activity for performance assessment of the DOE in accordance with the “Article 6.4 accreditation procedure”, the DOE shall notify the secretariat, through a dedicated interface on the UNFCCC website, of the timing of the site inspection of the proposed A6.4 project, which is to be conducted in accordance with the validation and verification standard, no later than four weeks prior to the inspection.

## **5. Registration of project**

### **5.1. Request for registration**

#### **5.1.1. Submission of request for registration**

38. The DOE shall, after validating that the proposed A6.4 project described in the PDD meets all relevant requirements for registration in the activity standard and any other applicable Article 6.4 mechanism rules and requirements, submit a request for registration of the project to the secretariat through a dedicated interface on the UNFCCC website, including the reference to the prior consideration notification of the project published in accordance with paragraph 14 above and the notification of the timing of the site inspection made in accordance with paragraph 37 above and attaching:
- (a) The PDD and any supporting documentation of the proposed A6.4 project prepared by the activity participants in accordance with paragraph 25 above and validated by the DOE in accordance with paragraph 36 above;
  - (b) The validation report prepared by the DOE in accordance with paragraph 36 above;
  - (c) The MoC statement prepared by the activity participants in accordance with section 4.6.2 above;
  - (d) A declaration that the development, implementation and operation of the proposed A6.4 activity does not involve any illegal activities, including money laundering, tax evasion, fraud, bribery and criminal activities.
39. A request for registration of a proposed A6.4 project may be submitted any time after the host Party has provided to the Supervisory Body an approval of the project in accordance with paragraph 19(a) above and published on the UNFCCC website in accordance with paragraph 23 above but within one year of the publication of such approval. If the start date of the crediting period of the proposed A6.4 project is a future date at the time of the submission of the request for registration, the submission shall be less than two years before the start date of the crediting period.
40. The secretariat shall issue a statement of the registration fee due, or confirmation that no registration fee is due, determined in accordance with the provisions on the registration fee contained in Appendix 1, and shall communicate this to the DOE.
41. The DOE shall communicate the registration fee due, or a confirmation that no registration fee is due, to the activity participants.



42. The activity participants shall pay the registration fee by bank transfer, quoting the unique project reference number referred to in paragraph 14 above, within one year of the issuance to the DOE of the statement of the registration fee due.
43. The DOE shall submit a proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC website. If the proposed A6.4 project applies:
- (a) A mechanism methodology or methodological tool that has been revised, withdrawn or suspended by the Supervisory Body, either proof of payment must be uploaded within 20 days or payment must be received by the secretariat within 40 days of the end of the grace period for revision or the date of withdrawal or suspension, as defined in the "Procedure for development, revision and clarification of baseline and monitoring methodologies and methodological tools"; and/or
  - (b) A standardized baseline that has been revised, suspended or has expired, either proof of payment must be uploaded within 20 days or payment must be received by the secretariat within 40 days of the end of the grace period for revision, the date of suspension or expiry, as defined in the "Procedure for development, revision, clarification and update of standardized baselines".
44. If the secretariat does not receive the deposit of the registration fee by the one-year deadline referred to in paragraph 42 above, the request for registration shall be deemed withdrawn. The same or a different DOE may submit a new request for registration of the same proposed A6.4 project any time thereafter, following the applicable Article 6.4 mechanism rules and requirements valid at the time of the new submission. In this case, the original prior consideration notification published in accordance with paragraph 14 above remains valid for the new request for registration.

#### **5.1.2. Processing of request for registration**

45. The secretariat shall maintain on the UNFCCC website a publicly available list of all submitted requests for registration for which the applicable registration fee has been received by the secretariat, or for which no registration fee is due. The secretariat shall make publicly available the schedule and the status of processing each request for registration. The secretariat shall schedule the commencement of the processing of the requests for registration in accordance with the secretariat's operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Supervisory Body.
46. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Supervisory Body, conduct within seven days a completeness check to determine whether the request for registration submission is complete in accordance with the completeness check checklist for requests for registration.
47. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this

- deadline, the secretariat shall conclude that the request submission is incomplete unless the DOE provides a justification by this deadline for not being able to submit the requested documents and/or information in time. In this case, the deadline shall be extended accordingly.
48. Upon conclusion of the completeness check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the activity participants and the DOE, and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for registration with revised documentation. If the resubmission of the request for registration is made within 28 days of the notification, the secretariat shall promptly commence the completeness check again, otherwise the resubmission shall be treated as a new submission of a request for registration.
49. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Supervisory Body, conduct within 21 days a substantive check in accordance with the substantive check checklist for requests for registration.
50. If the secretariat, during the substantive check, identifies issues of a substantive nature or missing basic information, it shall request the DOE, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete unless the DOE provides a justification by this deadline for not being able to submit the requested documents and/or information in time. In this case, the deadline shall be extended accordingly.
51. Upon conclusion of the substantive check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the substantive check stage. If the request submission does not meet the requirements of the substantive check, the secretariat shall conclude that the request submission is incomplete and communicate the underlying reasons to the activity participants and the DOE, and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for registration with revised documentation. If the resubmission of the request for registration is made within 28 days of the notification, the secretariat shall promptly commence the substantive check again, otherwise the resubmission shall be treated as a new submission of a request for registration.
52. Upon positive conclusion of the substantive check stage, the secretariat shall publish the request for registration on the UNFCCC website, and the request for registration shall be deemed received by the Supervisory Body for consideration.
53. For resubmission of a request for registration after the completeness check or the substantive check in accordance with paragraph 48 or 51 above, respectively, the proposed A6.4 project may apply the same version of the mechanism methodology, methodological tool and/or standardized baseline applied in the initial submission within 90 days of the initial notification of the negative conclusion of the completeness check or the substantive check, even if the version of any of the mechanism methodology, methodological tool or standardized baseline applied is no longer valid. After this period,

all resubmissions shall apply the version of the mechanism methodology, methodological tool and/or standardized baseline valid for a new request for registration.

54. The secretariat shall notify the activity participants, the DNAs of the host Party and other participating Parties, and the DOE: that the Supervisory Body has received the request for registration for its consideration; that the secretariat has published the request for registration on the UNFCCC website; and of the last day by which members and alternate members of the Supervisory Body, and the host Party and other participating Parties may request a review of the request for registration, as referred to in paragraph 56 below.
55. The secretariat shall, subject to the guidance of the Supervisory Body, prepare and send to the Supervisory Body a summary note on the request for registration within 14 days of the date of publication of the request for registration.

#### **5.1.3. Requesting review of request for registration**

56. The host Party and any other participating Party, and any member or alternate member of the Supervisory Body, may request a review of the request for registration within 28 days of the date of publication of the request for registration. If the host Party or other participating Party wishes to request a review, its DNA shall submit the request through a dedicated interface on the UNFCCC website. If a member or an alternate member of the Supervisory Body wishes to request a review, he/she shall submit the request through a dedicated interface on the UNFCCC website.
57. The secretariat shall acknowledge receipt of a request for review and promptly notify the Supervisory Body. A request for review shall not be recognized if it is received after 24:00 (Central European Time) on the last day of the 28-day period following the publication of the request for registration.
58. A request for review shall provide, inter alia, the reasons for the request for review based on the activity standard, the validation and verification standard or any other applicable Article 6.4 mechanism rules and requirements.

#### **5.1.4. Finalizing request for registration if no request for review**

59. If the secretariat does not receive a request for review from the host Party, any other participating Party, or any member or alternate member of the Supervisory Body in accordance with the modalities described section 5.1.3 above, the request for registration shall be deemed approved by the Supervisory Body.
60. Stakeholders who were eligible to participate in the local or subnational stakeholder consultation of the proposed A6.4 project conducted in accordance with the activity standard, the activity participants, the host Party or other participating Parties (hereinafter referred to as eligible stakeholders, activity participants or Parties) may, in accordance with the appeal and grievance procedure,<sup>10</sup> file an appeal to the decision of the Supervisory Body to approve the registration within ~~[28]~~ ~~[56]~~ days of the request for registration having been deemed approved. If no ~~eligible~~ appeal is filed by an eligible stakeholder, activity participant or Party within this timeframe, the Supervisory Body shall register the proposed A6.4 project under the Article 6.4 mechanism. If an ~~eligible~~ appeal

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<sup>10</sup> "Procedure: Appeal and grievance processes under the Article 6.4 mechanism"

is filed by an eligible stakeholder, activity participant or Party within this timeframe, the appeal and grievance procedure shall be followed.<sup>11</sup>

61. If, as a result of the substantive check by the secretariat of the request for registration, the scale of the project in terms of estimated annual average GHG emission reductions or net GHG removals has moved to another tier of the registration fee defined in Appendix 1, the activity participants or the secretariat shall settle the difference in the registration fees. If an additional registration fee is due, the secretariat shall register the project upon receipt by the secretariat of the additional registration fee.
62. The crediting period of the registered A6.4 project shall start from the date indicated in the PDD as approved by the host Party in accordance with section 4.4 above.

## **5.2. Review of request for registration**

### **5.2.1. Commencement of review**

63. If the host Party or any other participating Party, or any member or alternate member, requests a review of the request for registration, the secretariat shall:
  - (a) Notify the activity participants and the DOE that the request for registration has been placed under review;
  - (b) Mark the request for registration as “under review” on the UNFCCC website and make publicly available an anonymous version of each request for review;
  - (c) Establish an expert review team, comprising two external experts selected from the roster of experts established for this purpose, to conduct an assessment of the request for review. The secretariat shall appoint one of the team members to serve as the lead, who shall be responsible for all communications with the secretariat and delivery of an assessment report.
64. The DOE or the activity participants may request the secretariat, by e-mail through a dedicated e-mail address, to make a call to them to provide clarifications on the issues identified. Only one such request, regardless of the requesting Party, shall be allowed per review of the request for registration. In this case, the DOE or the activity participants shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
65. The activity participants and the DOE shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request having being placed under review.
66. For each issue (or sub-issue) raised in the request for review, the activity participants and the DOE shall either:

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<sup>11</sup> The content of this paragraph depends on the “Procedure: Appeal and grievance processes under the Article 6.4 mechanism”, which is currently under development, therefore the paragraph is bracketed. The brackets will be removed with the same content or with modifications based on the procedure after its adoption in the next version of this document.

- (a) Respond by making any revisions that they deem necessary to the PDD and/or validation report to ensure, inter alia, that all facts are clearly stated and sufficiently validated; or
  - (b) Respond in writing by explaining why no revisions to the PDD and/or validation report are necessary.
67. The date of commencement of the review shall be the date when the secretariat notifies the activity participants and the DOE that the review has commenced.

### **5.2.2. Assessment**

68. The expert review team established in accordance with paragraph 63(c) above shall conduct an assessment of the request for registration in the context of the reasons for the request for review provided by the requesting Party and the applicable Article 6.4 mechanism rules and requirements, taking into account the responses from the activity participants and the DOE, and prepare an assessment report including a proposed decision within 14 days of the commencement of the review. A proposed decision shall suggest that either:
- (a) The proposed A6.4 project be registered under the Article 6.4 mechanism; or
  - (b) The request for registration be rejected.
69. If the proposed decision is to reject the request for registration, the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
70. In addition, the expert review team shall, in its assessment report, highlight any issues of significance related to the policies and goals of the Article 6.4 mechanism arising from the assessment. The secretariat, in consultation with the Chair of the Supervisory Body, shall bring these issues to the attention of the Supervisory Body by preparing background notes and policy options and presenting them to the Supervisory Body at its meetings.
71. The expert review team shall submit its assessment report to the Supervisory Body through the secretariat.
72. The secretariat shall make the assessment report available to the Supervisory Body, together with any responses from the activity participants and the DOE, and any revision to the PDD, validation report and/or other relevant documentation.

### **5.2.3. Consideration by the Supervisory Body**

73. The Supervisory Body shall, at its meeting, taking into account the assessment report prepared by the expert review team and the summary note prepared by the secretariat, decide to either:

- (a) Register the proposed A6.4 project under the Article 6.4 mechanism; or
- (b) Reject the request for registration.

74. Eligible stakeholders, activity participants and Parties may, in accordance with the appeal and grievance procedure, file an appeal to the decision of the Supervisory Body within [28] [56] days of the decision. If no eligible appeal is filed by an eligible stakeholder, activity participant or Party within this timeframe, the process contained in section 5.2.4 below shall be followed. If an eligible appeal is filed by an eligible stakeholder, activity participant or Party within this timeframe, the appeal and grievance procedure shall be followed.<sup>12</sup>

#### 5.2.4. Finalization and implementation of ruling

75. If the Supervisory Body's final decision made in accordance with paragraph 73 above is to register the proposed A6.4 project under the Article 6.4 mechanism, the secretariat shall register it as an A6.4 project on the first working day subsequent to the finalization of the decision.
76. If, as a result of the substantive check by the secretariat or the review by the Supervisory Body of the request for registration, the scale of the project in terms of estimated annual average GHG emission reductions or net GHG removals has moved to another tier of the registration fee defined in Appendix 1, the activity participants or the secretariat shall settle the difference in the registration fees. If an additional registration fee is due, the secretariat shall register the project upon receipt by the secretariat of the additional registration fee.
77. The crediting period of the registered A6.4 project shall start from the date indicated in the PDD as approved by the host Party in accordance with section 4.4 above4.4 above.
78. If the Supervisory Body's final decision made in accordance with paragraph 73 above73 above is to reject the request for registration, the secretariat shall update the information on the UNFCCC website accordingly on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the secretariat shall provide the Chair of the Supervisory Body with an information note containing a proposed ruling incorporating the final decision.
79. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision of rejection, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
80. Once approved by the Chair of the Supervisory Body, the secretariat shall immediately make the proposed ruling available to the Supervisory Body. The proposed ruling shall

<sup>12</sup> The content of this paragraph depends on the "Procedure: Appeal and grievance processes under the Article 6.4 mechanism", which is currently under development, therefore the paragraph is bracketed. The brackets will be removed with the same content or with modifications based on the procedure after its adoption in the next version of this document.

become the final ruling of the Supervisory Body 10 days after the date when the proposed ruling was made available to the Supervisory Body, unless a member or an alternate member of the Supervisory Body objects to the proposed ruling.

81. An objection by a member or an alternate member of the Supervisory Body shall be made by notifying the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.

81<sup>bis</sup>. If a member of the Supervisory Body objects to the proposed ruling more than 14 days prior to the next Supervisory Body meeting, the case shall be placed on the agenda of the next Supervisory Body meeting; otherwise, it shall be placed on the agenda of the subsequent Supervisory Body meeting.

82. At the Supervisory Body meeting for which the case is placed on the agenda, the Supervisory Body shall finalize the ruling.

83. The secretariat shall publish a ruling note on the UNFCCC website no later than three days after the ruling was finalized.

84. If the request for registration is rejected by the Supervisory Body, the same or a different DOE may resubmit the request for registration with revised documentation, addressing the issues that constitute the reason for the rejection by the Supervisory Body. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.

### **5.3. Withdrawal of request for registration**

#### **5.3.1. Submission of request for withdrawal**

85. For the following cases, the DOE shall submit a request for withdrawal of a request for registration to the secretariat through a dedicated interface on the UNFCCC website:

- (a) The activity participants voluntarily wish for the request for registration to be withdrawn;<sup>13</sup>
- (b) The DOE has revised its validation report based on new insights or information.

#### **5.3.2. Processing of request for withdrawal**

86. Upon receipt of the request for withdrawal of a request for registration, the secretariat shall check the information provided as soon as possible, and if the request is complete, the secretariat shall reimburse the registration fee, if applicable, in accordance with Appendix 1 and take the following actions:

- (a) If the DOE requests the withdrawal prior to the publication of the request for registration made in accordance with paragraph 52 above, the secretariat shall not mark the proposed A6.4 project as “withdrawn” on the UNFCCC website;
- (b) If the DOE requests the withdrawal after the publication of the request for registration made in accordance with paragraph 52 above, the secretariat shall mark the proposed A6.4 project as “withdrawn” on the UNFCCC website.

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<sup>13</sup> In such cases, the DOE shall process the request expeditiously.

## **6. Post-registration activities**

### **6.1. Continuous engagement of stakeholders**

87. Anytime after the registration of a project under the Article 6.4 mechanism, Parties, stakeholders and UNFCCC-admitted observer organizations may submit comments in English on the registered A6.4 project to the secretariat through a dedicated interface on the UNFCCC website. The submitters of the comments shall provide the name and contact details of the individual or organization on whose behalf the comments are submitted. Comments from stakeholders shall:

- (a) Be specific to the registered A6.4 project;
- (b) Be related to the compliance with applicable Article 6.4 mechanism rules and regulations.

88. The secretariat shall promptly make the comments that meet the requirements in paragraph 87 above publicly available on the UNFCCC website where the project information is displayed, and inform the activity participants of the publication the comments.

### **6.2. Change to registered project**

#### **6.2.1. General requirements**

89. If there is a change that has occurred or is expected to occur to a registered A6.4 project, such change (hereinafter referred to as post-registration change) shall be approved by the Supervisory Body in accordance with this section to maintain the registration status under the Article 6.4 mechanism. The post-registration change shall be within the scope of the following acceptable changes, and meet the associated conditions, as specified in the activity standard:

- (a) Temporary deviation from the registered monitoring plan, applied methodologies, standardized baselines or other methodological regulatory documents;
- (b) Permanent changes:
  - (i) Corrections that do not have material impact on the calculation of achieved GHG emission reductions or net GHG removals;
  - (ii) Changes to the start date of the crediting period.
  - (iii) Inclusion of a monitoring plan;
  - (iv) Permanent changes to the registered monitoring plan, or permanent deviation of monitoring from the applied methodologies, standardized baselines, or other methodological regulatory documents;
  - (v) Changes to the project design;
- (c) Registration under or overlap with other crediting scheme.



### **6.2.2. Update of documents and validation or verification**

90. For the temporary deviation referred to in paragraph 89(a) above, the activity participants shall describe the deviation in the monitoring report in accordance with the activity standard as part of the preparation of a monitoring report in accordance with section 7.1 for the monitoring period that covers the period when the temporary deviation occurred, to be subsequently verified by a DOE for requesting issuance for the monitoring period in accordance with sections 7.2 and 8.1 below.
91. For any of the permanent changes referred to in paragraph 89(b) above, the activity participants shall revise the PDD, reflecting the post-registration change. The activity participants shall then submit the revised PDD and any other supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation of the post-registration change. In this context, if the activity participants wish to appoint this DOE to submit the request for approval of post-registration change under the issuance track referred to in paragraph 92 below, the selection of a DOE shall follow the same rule referred to in paragraph 129 below. If the post-registration change is required to be approved by the host Party in accordance with the activity standard, the activity participants shall also submit the revised PDD to the secretariat and through which obtain an approval from the host Party. In this case, the secretariat shall promptly publish the revised PDD on the UNFCCC website and inform the host Party of the publication of the revised PDD, and request the host Party to promptly respond to the publication, through a dedicated interface on the UNFCCC website, either to approve or reject the post-registration change. The timing of submitting the revised PDD to the secretariat shall be at the discretion of the activity participants, that is before, in parallel to, or after that a DOE has performed validation of the post-registration change.

### **6.2.3. Submission of request for approval of post-registration change**

92. The DOE, after validating that the post-registration change to the registered A6.4 project meets all applicable requirements for post-registration changes in the activity standard by following the applicable provisions of the validation and verification standard and other applicable Article 6.4 mechanism rules and requirements, shall submit a request for approval of post-registration change prior to submitting a request for issuance of A6.4ERs that are affected by the post-registration change (prior-approval track) or together with such request for issuance of A6.4ERs (issuance track) in accordance with paragraph 95 below. The choice of whether the DOE submits the request for approval via the prior-approval track or the issuance track shall be at the discretion of the activity participants, who may wish to take into account the indicative list of post-registration changes that may be suitable for approval under the issuance track contained in Appendix 2.
93. A request for approval of post-registration change of the permanent changes referred to in paragraph 89(b) above shall be submitted, irrespective of whether under the prior-approval track or the issuance track:
- (a) Any time for corrections that do not have material impact on the calculation of achieved GHG emission reductions or net GHG removals;
  - (b) No later than the first issuance request for inclusion of a monitoring plan;
  - (c) No later than one year after the occurrence of the permanent changes to the registered monitoring plan, permanent deviation of monitoring from the applied

methodologies, standardized baselines, or other methodological regulatory documents, or the permanent change to the project design.

94. Where more than one of the changes referred to in paragraph 89 above have occurred or are expected to occur to the registered A6.4 project, the DOE shall, wherever possible, combine such changes into one request for approval of post-registration change.
95. Under both the prior-approval track and the issuance track, the DOE shall submit a request for approval of post-registration change to the secretariat through a dedicated interface on the UNFCCC website, attaching:
- (a) The revised PDD (in both clean and track-change versions) or a monitoring report, as applicable, and any supporting documentation, prepared by the activity participants in accordance with the activity standard;
  - (b) The validation report on the post-registration change prepared by the DOE in accordance with the validation and verification standard.
96. The secretariat shall issue a statement of the post-registration change fee due, or confirmation that no post-registration change fee is due, determined in accordance with the provisions on the post-registration change fee contained in Appendix 1, and shall communicate it to the DOE.
97. The processes for payment of the post-registration change fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of no-payment of the post-registration change fee within a deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 41-44 above, mutatis mutandis.

#### **6.2.4. Processing of request for approval of post-registration change**

98. For processing of the request for approval of post-registration change, the provisions in section 5.1.2 above shall apply mutatis mutandis.

#### **6.2.5. Requesting review of request for approval of post-registration change**

99. For requesting review of the request for approval of post-registration change, the provisions in section 5.1.3 above shall apply mutatis mutandis.

#### **6.2.6. Finalizing request for approval of post-registration change if no request for review**

100. For finalizing the request for approval of post-registration change if no request for review is received by the secretariat within the 28-day deadline, the provisions in section 5.1.4 above shall apply mutatis mutandis, except for the provision on the start date of the crediting period, which is not relevant.

#### **6.2.7. Review of request for approval of post-registration change**

101. For a review of the request for approval of post-registration change, the provisions in section 5.2 above shall apply mutatis mutandis.

#### **6.2.8. Withdrawal of request for approval of post-registration change**

102. For a withdrawal of the request for approval of post-registration change, the provisions in section 5.3 above shall apply mutatis mutandis.

### 6.3. Change to modalities of communication

#### 6.3.1. General requirements

103. If there is a change to the MoC statement, the focal points for scope (b) of the registered A6.4 project referred to in paragraph 29 above shall request approval of the change to the secretariat as soon as possible but no later than 90 days after the change takes place.
104. The authorized signatories or the legal representatives of the activity participants, the focal points, or the DNAs of the host Party or any other Parties participating in the A6.4 project may directly notify the secretariat of any issues regarding the MoC statement through a specified e-mail account made available on the mechanism registry section of the UNFCCC website. In this case, the secretariat may request additional clarifications to the notifier. The secretariat may contact any of the focal points or the activity participants of the respective registered A6.4 project or, in the case of insolvency, liquidators/administrators, in order to request additional clarifications from these entities. The secretariat shall advise on further actions to the parties involved, including those referred to in section 6.3.2 below.
105. The secretariat may request a new submission of an MoC statement whenever the secretariat identifies inconsistencies or inaccuracies in the MoC statement or when inconsistencies or inaccuracies are reported to the secretariat. The secretariat may provide specific guidance for the resubmission and, in its role as the mechanism registry administrator, may, after sending a notice to the focal points and the activity participants, temporarily put on hold the forwarding of A6.4ERs if the inconsistencies or inaccuracies prevent the secretariat from establishing the focal points for scope of authority (a), pending resolution of the inconsistencies or inaccuracies.
106. The focal points for scope (b) shall request approval of the change to the modalities of communication to the secretariat through a dedicated interface on the UNFCCC website, uploading a new MoC statement using the valid version of the “Modalities of communication statement form” (A6.4M-MOC-FORM).
107. The focal points for scope (b) or the activity participants who submit a new MoC statement in accordance with paragraph 116 below shall ensure that:
  - (a) Supporting documentation, including powers of attorney, or extracts from board meeting minutes or company association documentation, or extracts/certificates from national company registries that cannot be verified online, is dated or notarized within six months from the time of submission of a request for change to the MoC statement. This time limitation does not apply to copies of national personal identity documents;
  - (b) To the extent possible, changes applicable to more than one A6.4 project or multiple changes affecting the same project are consolidated in a single change request in accordance with the instructions provided in the mechanism registry section of the UNFCCC website.
108. The legal representatives signing on behalf of the focal points or the activity participants shall provide written evidence that they are authorized to sign on behalf of the respective entities. The evidence shall be submitted in accordance with paragraph 107(a) above.

109. The secretariat shall process requests for changes to the MoC statement following the steps described in each of the sections 6.3.2–6.3.4 below. Wherever specific steps are not described, the secretariat shall review the requests on the basis of compliance with the documentary requirements. In the absence of clear evidence to support a specific request, the secretariat may request additional information prior to approving or rejecting the request. In the case of a rejection, the secretariat shall provide reasons for the rejection and additional guidance as appropriate.
110. The secretariat shall make detailed guidance available on the mechanism registry section of the UNFCCC website on how to request changes to the activity participants and focal points.
111. The secretariat shall display the effective date of the new MoC statement on the corresponding A6.4 project view page.

#### **6.3.2. Reported issues resulting from insolvency and/or disputes on modalities of communication**

112. In accordance with paragraph 104 above, the activity participants or focal points may notify the secretariat of any issues regarding the MoC statement, including the issues resulting from insolvency and/or of disputes in relation to the MoC statement with regard to the designation or changes to the designation of focal points.
113. The secretariat may engage the DNAs of the host Party or any other Parties participating in the respective registered A6.4 project whenever issues resulting from insolvency and/or disputes over the designation of focal points are communicated to the secretariat. The secretariat may provide information, subject to the confidentiality of such information, and/or administrative assistance to the DNAs, if so requested by the respective DNAs.
114. The secretariat, in its role as the mechanism registry administrator, may, after sending a notice to the focal points and the activity participants, temporarily put on hold the forwarding of A6.4ERs for the registered A6.4 project for which the activity participants or the focal points have communicated a case of insolvency and/or a dispute in relation to the MoC statement, pending resolution of the issues resulting from insolvency or resolution of the disputes.
115. The secretariat shall display indicative information, subject to the confidentiality, on the respective registered A6.4 project view page on the UNFCCC website, related to the notifications to the secretariat of issues resulting from insolvency and/or of disputes only in the cases where the forwarding of A6.4ERs has been temporarily put on hold pending the resolution of the issues.

#### **6.3.3. Changes of focal points**

116. The activity participants of a registered A6.4 project may change the designation of any of the focal points for any reason and at any time by submitting a new MoC statement duly signed by all activity participants, either through:
- (a) The focal points for scope of authority (b); or
  - (b) Any of the activity participants for changes to the MoC statement excluding its annexes.

117. For changing the designation of focal points in accordance with paragraph 116 above, the submission shall be made as follows:
- (a) A new MoC statement for changes related to designation of focal points, with the exception of changes affecting only contact details and authorized signatories;
  - (b) Annex 2 of the MoC statement for changes related only to contact details and authorized signatories.
118. When a focal point who is not an activity participant is added to represent the activity participants for any or all scopes of authority, the new MoC statement referred to in paragraph 117(a) above shall be supported by written evidence of:
- (a) The new focal point's corporate identity; and
  - (b) The personal identity and employment status of the new focal point's authorized signatory(ies), including specimen signature(s).
119. The legal representative of a focal point for scope of authority (b) may submit annex 2 of the MoC statement if the authorized signatory(ies) of the focal point concerned is(are) no longer available.
120. Any focal point of a registered A6.4 project may request voluntary withdrawal from its role as a focal point. Such a request shall cover all scopes of authority assumed by the focal point. The voluntary withdrawal of the focal point role shall follow the following steps:
- (a) The withdrawing focal point shall, directly or through the focal point for scope (b), submit a withdrawal request to the secretariat including:
    - (i) Annex 3 of the MoC statement;
    - (ii) Evidence of the written communication, from the withdrawing focal point to all other focal points and all activity participants, of the intention to withdraw from the role as a focal point and an invitation to designate a new focal point for the scope(s) of authority from which the focal point is withdrawing. Such written communications shall be made at least 30 days prior to the submission of the withdrawal request to the secretariat;
  - (b) The secretariat shall review the completeness of the submission and, if found complete, approve the withdrawal of the focal point. In doing so, the secretariat may request clarification from the withdrawing focal point, or may contact any of the other focal points or the activity participants to request additional clarifications;
  - (c) The secretariat shall, upon approval of the withdrawal of the focal point, publish annex 3 of the MoC statement on the UNFCCC website. The secretariat shall communicate the approval of the withdrawal of the focal point and its implications on the MoC to all remaining focal points and all activity participants of the project;
  - (d) Approved withdrawal of the focal point shall have no effect on other focal points, with the exception of joint or shared focal point roles that the withdrawn focal point was part of. In such cases, the remaining focal points shall continue to act in a sole, shared or joint focal point role, as appropriate. If no focal point remains for a specific scope of authority after the withdrawal of the focal point, the secretariat shall notify the withdrawal to the remaining focal points for other scopes of

authority, or to all activity participants if no focal point remains. The activity participants shall designate a new focal point for any of the scopes of authority for which no focal point remains as soon as possible in accordance with the provisions of this section to enable further engagement with the Supervisory Body and the secretariat.

#### **6.3.4. Changes of activity participants**

121. If the activity participants of a registered A6.4 project have changed after the registration of the project, the focal points for scope of authority (b) shall submit annex 2 of the MoC statement for each of the following changes:
- (a) Addition of an activity participant;
  - (b) Changes related to entity names or legal status;
  - (c) Withdrawal of an activity participant. If an activity participant has ceased operations and is unable to sign annex 2 of the MoC statement, the submission shall be accompanied by evidence of the cessation;
  - (d) Changes related only to contact details and authorized signatories;
  - (e) Addition of, or change to, the end date of participation of an activity participant of the project.
122. For the changes referred to in paragraph 121(a) and (b) above, the secretariat shall notify the DNA of the host Party or any other relevant Party participating in the A6.4 project of the requested change, and request them to respond whether to approve the change through the dedicated interface on the UNFCCC website referred to in paragraph 19 above.
123. An activity participant added to a registered A6.4 project shall accept the existing MoC statement, or a new MoC statement if it is submitted simultaneously.
124. If a persistent effort to contact an activity participant has failed, the focal points for scope of authority (b) may request administrative withdrawal of the activity participant, provided that at least one activity participant authorized by the DNA of the host Party remains. The administrative withdrawal shall follow the following steps:
- (a) The focal points for scope (b) shall submit:
    - (i) Annex 2 of the MoC statement, withdrawing the non-contactable activity participant;
    - (ii) Evidence of written communication to the non-contactable activity participant of the intention to request administrative withdrawal, including the copy of the communication to the DNA that authorized the activity participants to participate in the project, that has been sent at least 15 days prior to the submission of the withdrawal request to the secretariat;
  - (b) The secretariat shall review the completeness of the submission and, if found complete, send an e-mail to the non-contactable activity participant, with a copy to the authorizing DNA, to respond within 30 days, asking whether the activity participant objects to the administrative withdrawal. In addition, the secretariat may

- use other communication channels to establish contact with the non-contactable activity participant;
- (c) If the non-contactable activity participant and the authorizing DNA do not object to proceeding with the administrative withdrawal within 30 days of the electronic communication made in accordance with subparagraph (b) above, the secretariat shall mark the non-contactable activity participant as “withdrawn” on the UNFCCC website;
  - (d) If the non-contactable activity participant or the authorizing DNA objects to the administrative withdrawal within the 30-day period, the secretariat shall reject the request and may advise the focal point for scope (b) on further actions;
  - (e) The activity participants whose participation in the project has been administratively withdrawn may request inclusion as activity participants of the same project any time thereafter in accordance with 121(a) above.
125. Notwithstanding the provisions in paragraphs 121(b)–(e) and 124 above, the activity participants of a registered A6.4 project may directly request, by submitting annex 2 of the MoC statement:
- (a) Their own voluntary withdrawal, provided that at least one activity participant authorized by the DNA of the host Party to participate in the project remains;
  - (b) Changes to their own name, legal status or contact details;
  - (c) Withdrawal of other activity participants of the same project on the basis of their cessation. In this case, the submission shall be accompanied by documented evidence of the cessation;
  - (d) Administrative withdrawal of other activity participants of the same project who are not contactable. In this case, the submission shall be accompanied by the written evidence referred to in paragraph 124(a)(ii) above.
126. The secretariat may effect the withdrawal of an activity participant that has ceased to exist, provided that the cessation can be unambiguously confirmed through the relevant official company registrar.
127. In cases as per paragraph 125(b) above, where the change relates to the name or legal status of the activity participant, and in cases referred to in paragraph 126 above, the secretariat shall notify the DNA that had authorized the activity participant and request a confirmation as to whether to approve the change of the name or legal status of the activity participant or the withdrawal of an activity participant through the dedicated interface on the UNFCCC website referred to in paragraph 19 above.

## 7. Pre-issuance activities

### 7.1. Preparation of monitoring report

128. The activity participants of a registered A6.4 project shall prepare a monitoring report for each monitoring period in accordance with the activity standard, using the “Monitoring report form” (A6.4M-MR-FORM).

## **7.2. Verification of emission reductions or removals**

129. The activity participants shall submit the monitoring report and any other supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform verification of GHG emission reductions or net GHG removals. In this regard, if it is the first verification after the registration or after the renewal of the crediting period of the project, the activity participants shall choose a DOE that has not performed validation for the registration or the renewal of the crediting period, respectively.
130. The DOE shall perform verification of whether the implementation of the project and monitoring and calculation of GHG emission reductions or net GHG removals comply with the relevant requirements in the activity standard and any other applicable Article 6.4 mechanism rules and requirements based on the information provided in the monitoring report and any supporting documentation it has received from the activity participants as well as further information obtained during the verification activity, and prepare a verification and certification report, in accordance with the validation and verification standard, using the “Verification and certification report form” (A6.4M-VCR-FORM). The DOE shall verify and certify for the entire monitoring period covered by the monitoring report.
131. For the purpose of possible selection of the verification activity for performance assessment of the DOE in accordance with the “Article 6.4 accreditation procedure”, the DOE shall notify the secretariat, through a dedicated interface on the UNFCCC website, of the timing of the site inspection of the proposed A6.4 project, which is to be conducted in accordance with the validation and verification standard, no later than four weeks prior to the inspection.

## **8. Issuance of Article 6.4 emission reductions**

### **8.1. Request for issuance**

#### **8.1.1. Submission of request for issuance**

132. The DOE, after verifying that GHG emission reductions or net GHG removals achieved by the registered A6.4 project during the monitoring period covered by the monitoring report were determined in accordance with all applicable requirements for implementation and monitoring in the activity standard and any other applicable Article 6.4 mechanism rules and requirements, and certifying the quantity of A6.4ERs that may be requested for issuance, shall submit a request for issuance of A6.4ERs to the secretariat through a dedicated interface on the UNFCCC website, including the reference to the notification of the timing of the site inspection made in accordance with paragraph 131 above and attaching:
- (a) The monitoring report and any supporting documentation prepared by the activity participants in accordance with paragraph 128 above and verified by the DOE in accordance with paragraph 130 above;
  - (b) The verification and certification report prepared by the DOE in accordance with paragraph 130 above;



~~(c) The request for distribution of A6.4ERs upon their issuance, specifying the receiving accounts and the proportion of A6.4ERs for each distribution.~~

133. Requests for issuance for a registered A6.4 project shall be submitted in chronological order in terms of monitoring periods covered by separate monitoring reports and shall not have a gap period between any two successive monitoring periods.
134. Each request for issuance shall indicate verified and certified GHG emission reductions or net GHG removals for each vintage year when they have occurred.
135. Requests for issuance for GHG emission reductions or net GHG removals occurring in a crediting period shall be submitted within two years after the end of that crediting period, at the latest.<sup>14</sup> If a submission misses this deadline, A6.4ERs shall no longer be issued for the A6.4 project for that crediting period.
136. The secretariat shall issue a statement of the issuance fee due, or confirmation that no issuance fee is due, determined in accordance with the provisions on the issuance fee contained in Appendix 1, and shall communicate this to the DOE.
137. The DOE shall communicate the issuance fee due, or a confirmation that no issuance fee is due, to the activity participants.
138. The activity participants shall pay the issuance fee by bank transfer, quoting the unique project reference number referred to in paragraph 14 above, within one year of the issuance to the DOE of the statement of the issuance fee due.
139. The DOE shall submit a proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC website.
140. If the secretariat does not receive the deposit of the issuance fee by the one-year deadline referred to in paragraph 138 above, the request for issuance shall be deemed withdrawn. The same or a different DOE may submit a new request for issuance for the monitoring period covered by the withdrawn request for issuance any time thereafter, following the applicable Article 6.4 mechanism rules and requirements valid at the time of the new submission.
141. If the DOE submits a request for approval of post-registration change together with the request for issuance in accordance with paragraph 92 above, it shall also upload the documentation and information listed in paragraph 95 above in addition to those referred to in paragraph 132 above.

#### **8.1.2. Processing of request for issuance**

142. The secretariat shall maintain on the UNFCCC website a publicly available list of all submitted requests for issuance for which the applicable issuance fee has been received by the secretariat or for which no issuance fee is due. The secretariat shall make publicly available the schedule and the status of processing each request for issuance. The secretariat shall schedule the commencement of the processing of the requests for issuance in accordance with the secretariat's operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Supervisor Body.

<sup>14</sup> The Supervisory Body may set a different deadline for removal projects in the future.

143. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Supervisory Body, conduct within seven days a completeness check to determine whether the request for issuance submission is complete in accordance with the completeness check checklist for requests for issuance.
144. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete unless the DOE provides a justification by this deadline for not being able to submit the requested documents and/or information in time. In this case, the deadline shall be extended accordingly.
145. Upon conclusion of the completeness check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the activity participants and the DOE, and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for issuance with revised documentation. If the resubmission of the request for issuance is made within 28 days of the notification, the secretariat shall promptly commence the completeness check again, otherwise the resubmission shall be treated as a new submission of a request for issuance.
146. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Supervisory Body, conduct within 21 days a substantive check in accordance with the substantive checklist for requests for issuance.
147. If the secretariat, during the substantive check, identifies issues of a substantive nature or missing basic information, it shall request the DOE by e-mail, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete unless the DOE provides a justification by this deadline for not being able to submit the requested documents and/or information in time. In this case, the deadline shall be extended accordingly.
148. Upon conclusion of the substantive check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the substantive check stage. If the request submission for which the secretariat conducted a substantive check does not meet the requirements of the substantive check, the secretariat shall conclude that the request submission is incomplete and communicate the underlying reasons to the activity participants and the DOE, and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for issuance with revised documentation. If the resubmission of the request for issuance is made within 28 days of the notification, the secretariat shall promptly commence the substantive check again, otherwise the resubmission shall be treated as a new submission of a request for issuance.

149. Upon positive conclusion of the substantive check stage, the secretariat shall publish the request for issuance on the UNFCCC website, and the request for issuance shall be deemed received by the Supervisory Body for consideration.
150. The secretariat shall notify the activity participants, the DNAs of the host Party and other participating Parties, and the DOE: that the Supervisory Body has received the request for issuance for its consideration; that the secretariat has published the request for issuance on the UNFCCC website; and of the last day by which members and alternate members of the Supervisory Body and the host Party and other participating Parties may request a review of the request for issuance, as referred to in paragraph 152 below.
151. The secretariat shall, subject to the guidance of the Supervisory Body, prepare and send to the Supervisory Body a summary note on the request for issuance within 14 days of the date of publication of the request for issuance.

#### **8.1.3. Requesting review of request for issuance**

152. The host Party and any other participating Party, and any member or alternate member of the Supervisory Body, may request a review of the request for issuance within 28 days of the date of publication of the request for issuance. If the host Party or other participating Party wishes to request a review, its DNA shall submit the request through a dedicated interface on the UNFCCC website. If a member or an alternate member of the Supervisory Body wishes to request a review, he/she shall submit the request through a dedicated interface on the UNFCCC website.
153. The secretariat shall acknowledge receipt of a request for review and promptly notify the Supervisory Body. A request for review shall not be recognized if it is received after 24:00 (Central European Time) on the last day of the 28-day period following the publication of the request for issuance.
154. A request for review shall provide, inter alia, the reasons for the request for review based on the activity standard, the validation and verification standard, or any other applicable Article 6.4 mechanism rules and requirements.

#### **8.1.4. Finalizing request for issuance if no request for review**

155. If the secretariat does not receive a request for review from the host Party, any other participating Party, or any member or alternate member of the Supervisory Body in accordance with the modalities described in section 8.1.3 above, the request for issuance shall be deemed approved by the Supervisory Body.
156. Eligible stakeholders, activity participants or Parties may, in accordance with the appeal and grievance procedure, file an appeal to the decision of the Supervisory Body to approve the request for issuance within 14-28 days of the request for issuance having been deemed approved. If no eligible appeal is filed by an eligible stakeholder, activity participant or Party within this timeframe, the Supervisory Body shall instruct the mechanism registry administrator to issue the quantity of A6.4ERs certified in the request for issuance into the pending account in the mechanism registry. If an eligible appeal is

filed by an eligible stakeholder, activity participant or Party within this timeframe, the appeal and grievance procedure shall be followed.<sup>15</sup>

157. The secretariat shall inform the activity participants of the Supervisory Body's instruction to the mechanism registry administrator and update the status of the request for issuance on the UNFCCC website accordingly.
158. If, as a result of the substantive check by the secretariat of the request for issuance, the quantity of A6.4ERs to be issued changed from that in the initial request for issuance, the activity participants or the secretariat shall settle the difference in the issuance fees in accordance with Appendix 1. If additional issuance fee is due, the mechanism registry administrator shall issue A6.4ERs upon receipt by the secretariat of the additional issuance fee.
159. The mechanism registry administrator shall issue the specified quantity of A6.4ERs into the pending account in the mechanism registry, assigning their authorization status in line with the authorization statement on the use of the A6.4ERs provided by the host Party as per paragraph 22 above.
160. The mechanism registry administrator shall distribute the A6.4ERs in accordance with the request for distribution of A6.4ERs referred to in paragraph 132(c) above and provided by the activity participants in accordance with the "Procedure: Article 6.4 mechanism registry procedure". If the activity participants wish to change the receiving accounts and/or the proportion of A6.4ERs for each distribution, the DOE shall submit a revised request for distribution before the last day of the 28-day period following the publication of the request for issuance.

## 8.2. Review of request for issuance

### 8.2.1. Commencement of review

161. If the host Party or any other participating Party, or any member or alternate member, requests a review of the request for issuance, the secretariat shall:
  - (a) Notify the activity participants and the DOE that the request for issuance has been placed under review;
  - (b) Mark the request for issuance as "under review" on the UNFCCC website and make publicly available an anonymous version of each request for review;
  - (c) Establish an expert review team comprising two external experts selected from the roster of experts referred to in paragraph 63(c) above to conduct an assessment of the request for review. The secretariat shall appoint one of the team members to serve as the lead, who shall be responsible for all communications with the secretariat and delivery of an assessment report.
162. The DOE or the activity participants may request the secretariat, by e-mail through a dedicated e-mail address, to make a call to them to provide clarifications on the issues

<sup>15</sup> The content of this paragraph depends on the "Procedure: Appeal and grievance processes under the Article 6.4 mechanism", which is currently under development, therefore the paragraph is bracketed. The brackets will be removed with the same content or with modifications based on the procedure after its adoption in the next version of this document.

identified. Only one such request, regardless of the requesting party, shall be allowed per review of the request for issuance. In this case, the DOE or the activity participants shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.

163. The activity participants and the DOE shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for review.
164. For each issue (or sub-issue) raised in the request for review, the activity participants and the DOE shall either:
- (a) Respond by making any revisions that they deem necessary to the monitoring report, its supporting documentation (e.g. spreadsheets), verification report, and/or certification report to ensure, inter alia, that all facts are clearly stated and sufficiently verified; or
  - (b) Respond in writing by explaining why no revisions to the monitoring report, its supporting documentation, verification report, and/or certification report are necessary.
165. The date of commencement of the review shall be the date when the secretariat notifies the activity participants and the DOE that the review has commenced.

#### **8.2.2. Assessment**

166. The expert review team established in accordance with paragraph 161(c) above shall conduct an assessment of the request for issuance in the context of the reasons for the request for review provided by the requesting party and the applicable Article 6.4 mechanism rules and requirements, taking into account the responses from the activity participants and the DOE, and prepare an assessment report including a proposed decision within 14 days of the commencement of the review. A proposed decision shall suggest that either:
- (a) A6.4ERs be issued; or
  - (b) The request for issuance be rejected.
167. If the proposed decision is to reject the request for issuance, the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
168. In addition, the expert review team shall, in its assessment report, highlight any issues of significance related to the policies and goals of the Article 6.4 mechanism arising from the assessment. The secretariat, in consultation with the Chair of the Supervisory Body, shall

bring these issues to the attention of the Supervisory Body by preparing background notes and policy options and presenting them to the Supervisory Body at its meetings.

169. The expert review team shall submit its assessment report to the Supervisory Body through the secretariat.
170. The secretariat shall make the assessment report available to the Supervisory Body, together with any responses from the activity participants and the DOE, and any revision to the monitoring report, its supporting documentation, verification report and/or certification report.

### **8.2.3. Consideration by the Supervisory Body**

171. The Supervisory Body shall, at its meeting, taking into account the assessment report prepared by the expert review team and the summary note prepared by the secretariat, decide either to:
- (a) Issue A6.4ERs; or
  - (b) Reject the request for issuance.
172. Eligible stakeholders, activity participants and Parties may, in accordance with the appeal and grievance procedure, file an appeal to the decision of the Supervisory Body within 141 28 days of the decision. If no eligible appeal is filed by an eligible stakeholder, activity participant or Party within this timeframe, the process contained in section 8.2.4 below shall be followed. If an eligible appeal is filed by an eligible stakeholder, activity participant or Party within this timeframe, the appeal and grievance procedure shall be followed.<sup>146</sup>

### **8.2.4. Finalization and implementation of ruling**

173. If the Supervisory Body's final decision made in accordance with paragraph 171 above is to issue A6.4ERs, the Supervisory Body shall instruct the mechanism registry administrator to issue the specified quantity of A6.4ERs into the pending account in the mechanism registry.
174. The secretariat shall inform the activity participants of the Supervisory Body's instruction to the mechanism registry administrator and update the status of the request for issuance on the UNFCCC website accordingly.
175. If, as a result of the substantive check by the secretariat or the review by the Supervisory Body of the request for issuance, the quantity of A6.4ERs to be issued changed from that in the initial request for issuance, the activity participants or the secretariat shall settle the difference in the issuance fees in accordance with Appendix 1. If an additional issuance fee is due, the mechanism registry administrator shall issue A6.4ERs upon receipt by the secretariat of the additional issuance fee.

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<sup>16</sup> The content of this paragraph depends on the "Procedure: Appeal and grievance processes under the Article 6.4 mechanism", which is currently under development, therefore the paragraph is bracketed. The brackets will be removed with the same content or with modifications based on the procedure after its adoption in the next version of this document.

176. The mechanism registry administrator shall issue the specified quantity of A6.4ERs into the pending account in the mechanism registry, assigning their authorization status in line with the authorization statement on the use of the A6.4ERs provided by the Host Party as per paragraph 22 above.
177. The mechanism registry administrator shall distribute the A6.4ERs in accordance with the request for distribution of A6.4ERs referred to in paragraph 132(c) above and provided by the activity participants in accordance with the "Procedure: Article 6.4 mechanism registry procedure". ~~If the activity participants wish to change the receiving accounts and/or the proportion of A6.4ERs for each distribution, the DOE shall submit a revised request for distribution before the Supervisory Body decides on the request for issuance in accordance with paragraph 171 above.~~
178. If the Supervisory Body's final decision made in accordance with paragraph 171 above is to reject the request for issuance, the secretariat shall update the information on the UNFCCC website accordingly on the first working day subsequent to the finalization of the decision. Furthermore, within 21 days of the finalization of the decision, the secretariat shall provide the Chair of the Supervisory Body with an information note containing a proposed ruling incorporating the final decision.
179. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision of rejection, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
180. Once approved by the Chair of the Supervisory Body, the secretariat shall immediately make the proposed ruling available to the Supervisory Body. The proposed ruling shall become the final ruling of the Supervisory Body 10 days after the date when the proposed ruling was made available to the Supervisory Body, unless a member or an alternate member of the Supervisory Body objects to the proposed ruling.
181. An objection by a member or an alternate member of the Supervisory Body shall be made by notifying the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
- 181<sup>bis</sup>. If a member of the Supervisory Body objects to the proposed ruling more than 14 days prior to the next Supervisory Body meeting, the case shall be placed on the agenda of the next Supervisory Body meeting; otherwise, it shall be placed on the agenda of the subsequent Supervisory Body meeting.
182. At the Supervisory Body meeting for which the case is placed on the agenda, the Supervisory Body shall finalize the ruling.
183. The secretariat shall publish a ruling note on the UNFCCC website no later than three days after the ruling was finalized.
184. If the request for issuance is rejected by the Supervisory Body, the same or a different DOE may resubmit the request for issuance with revised documentation, addressing the



issues that constitute the reason for the rejection by the Supervisory Body. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.

### 8.3. Withdrawal of request for issuance

#### 8.3.1. Submission of request for withdrawal

185. For the following cases, the DOE shall submit a request for withdrawal of a request for issuance to the secretariat through a dedicated interface on the UNFCCC website:

- (a) The activity participants voluntarily wish the request for issuance be withdrawn;<sup>17</sup>
- (b) The DOE has revised its verification report and/or certification report based on new insights or information.

#### 8.3.2. Processing of request for withdrawal

186. Upon receipt of the request for withdrawal of a request for issuance, the secretariat shall check the information provided as soon as possible and, if the request is complete, reimburse the issuance fee if applicable in accordance with Appendix 1 and update the information on the project view page of the relevant registered A6.4 project. If the DOE requests the withdrawal after the publication of the request for issuance in accordance with paragraph 149 above<sup>149</sup> above, the request for issuance shall be marked as “withdrawn”. The same or a different DOE may resubmit the request for issuance at any time.

187. If the activity participants wish to change the monitoring period covered by the monitoring report that corresponds to the withdrawn request for issuance, and if the final date of the changed monitoring period is after the date when the DOE conducted an on-site inspection, the same or different DOE shall undertake an additional on-site inspection; or decide whether an on-site inspection is necessary in order to duly perform its verification by following the applicable provisions of the validation and verification standard. After the verification, the DOE may resubmit its request for issuance.

### 8.4. Post-issuance authorization of the use of A6.4ERs

187<sup>bis.</sup> The host Party may authorize, for use towards achievement of NDCs and/or for other international mitigation purposes as defined in decision 2/CMA.3, annex, paragraph 1(d) and (f),<sup>18</sup> mitigation contribution A6.4ERs already issued, by providing to the Supervisory Body, through a dedicated interface on the UNFCCC website, a statement or a revised statement of authorization no later than 31 December of the year prior to the submission of the biennial transparency report referred to in decision 2/CMA.3, annex, paragraph 12, for the NDC period in which the emission reductions or net removals associated with the A6.4ERs occurred.

187<sup>ter.</sup> The host Party may authorize, for use towards achievement of NDCs and/or for other international mitigation purposes, as defined in decision 2/CMA.3, annex, paragraph 1(d)

<sup>17</sup> In such cases, the DOE shall process the request expeditiously.

<sup>18</sup> Use towards achievement of NDCs and/or for other international mitigation purposes pursuant to decision 2/CMA.3, annex, paragraph 1(d) and (f), respectively.



and (f), mitigation contribution A6.4ERs already issued only prior to any transfer of the mitigation contribution A6.4ERs in or out of the mechanism registry and provided they are still held in the holding accounts of the activity participants and participating Parties involved and in the adaptation account held by the Adaptation Fund.

187<sup>quater</sup>. After receiving the statement or a revised statement of authorization submitted by the host Party, the secretariat shall make the statement or the revised statement publicly available on the UNFCCC website and inform the participating Parties and the activity participants.

187<sup>quinquies</sup>. The mechanism registry administrator shall check to confirm that the conditions related to the mitigation contribution A6.4ERs referred to in paragraph 187<sup>ter</sup> above are satisfied.

187<sup>sexies</sup>. If it is confirmed that the conditions related to the mitigation contribution A6.4ERs status change are satisfied, the mechanism registry administrator shall:

- (a) Track and change the authorization status of the issued mitigation contribution A6.4ERs to authorized A6.4ERs in the holding account of the activity participants and participating Parties involved for which the change to the authorization status applies to authorized A6.4ERs;
- (b) Track and change the authorization status of the 5 per cent of the issued mitigation contribution A6.4ERs to authorized A6.4ERs that were forwarded to the share of proceeds for adaptation account held by the Adaptation Fund and change the type of the transfer to distinguish it as first transfer;
- (c) Track and change the status of the transfer of the 2 per cent of the issued mitigation contribution A6.4ERs to deliver OMGE to distinguish it as first transfer;
- (d) Send a notification to the host Party that provided the statement or revised statement of authorization about the completion of the status change, together with a reminder to the host Party to apply corresponding adjustments regarding the A6.4ERs for which the authorization status has been changed as if the authorization had been provided no later than at the time of issuance;
- (e) Make the change to the authorization status publicly available on the UNFCCC website.

187<sup>septies</sup>. The mechanism registry administrator shall undertake the changes of the authorization status as per paragraph 187<sup>sexies</sup> following the operational provisions pursuant to "Procedure: Article 6.4 mechanism registry", provided that the respective A.4ERs are still held in the relevant mechanism registry accounts as per paragraph 187<sup>ter</sup>.

## 9. Renewal of crediting period

### 9.1. General requirements

188. If the host Party provided an approval of renewal of the crediting period of the project at its registration in accordance with paragraph 21(b) above, the crediting period of the project may be renewed in accordance with this section.

189. For the purpose of renewal of the crediting period, it is not necessary to obtain a new approval from the host Party and new authorization of activity participants from the host Party and other participating Parties.
190. The new crediting period shall start on the day immediately after the expiration of the current crediting period regardless of the date when the renewal of the crediting period is approved by the Supervisory Body.
191. If the date when the renewal of the crediting period is approved by the Supervisory Body is after the expiration of the current crediting period, and due to this delay or for any other reasons, the monitoring temporarily does not comply with the monitoring plan in the updated PDD approved by the Supervisory Body, the activity participants shall request approval of a temporary deviation from the registered monitoring plan in accordance with the process for approval of post-registration changes contained in section 6 above.

## **9.2. Request for renewal of crediting period**

### **9.2.1. Update of project design document**

192. For renewal of the crediting period, the activity participants shall update the PDD by preparing a new version of the PDD in accordance with the activity standard. In doing so, the activity participants shall ensure that any changes to the list of activity participants in the PDD have been communicated to the secretariat in accordance with section 6.3 above.
193. If the activity participants plans to make, or have made, a post-registration change to the project design effective from the start date of the new crediting period, they shall clearly indicate the post-registration change in the new version of the PDD, distinguishing it from other update of information due to renewal of the crediting period.
194. If a post-registration change becomes effective prior to or after the renewal of the crediting period, such post-registration change shall not be included in a request for renewal of the crediting period, but shall be submitted for approval by the Supervisory Body separately in accordance with section 6 above before or after the submission of the request for renewal of the crediting period, respectively.

### **9.2.2. Validation of updated project design document**

195. The activity participants shall submit the new version of the PDD to any DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation for renewal of the crediting period.
196. The DOE shall perform validation of whether the updated project design complies with the relevant requirements in the activity standard and any other applicable Article 6.4 mechanism rules and requirements based on the information provided in the new version of the PDD and any supporting documentation it has received from the activity participants as well as further information obtained during the validation activity, and prepare a validation report, in accordance with the validation and verification standard, using the "Validation report form for renewal of the crediting period for projects" (A6.4M-RCPV-FORM).
197. For the purpose of possible selection of the validation activity for performance assessment of the DOE in accordance with the "Article 6.4 accreditation procedure", the DOE shall

notify the secretariat, through a dedicated interface on the UNFCCC website, of the timing of the site inspection of the A6.4 project, which is to be conducted in accordance with the validation and verification standard, no later than four weeks prior to the inspection.

### **9.2.3. Submission of request for renewal**

198. The DOE shall, after validating that the project design updated for renewal of the crediting period and described in the new version of the PDD meets all applicable requirements for renewal of the crediting period in the activity standard and any other applicable Article 6.4 mechanism rules and requirements, submit a request for renewal of the crediting period to the secretariat through a dedicated interface on the UNFCCC website, including the reference to the notification of the timing of the site inspection made in accordance with paragraph 197 above and attaching:
- (a) The new version of the PDD prepared by the activity participants in accordance with paragraph 192 above and validated by the DOE in accordance with paragraph 196 above;
  - (b) The validation report prepared by the DOE in accordance with paragraph 196 above.
199. Submission of a request for renewal of the crediting period shall be made no earlier than 270 days prior to, but no later than one year after, the expiry of the crediting period. If a submission misses this deadline, the crediting period of the project may no longer be renewed. The secretariat, through the Article 6.4 mechanism information system, shall send a reminder to the activity participants 270 days prior to the expiry of the crediting period, including the information on the consequence of missing the deadline.
200. Notwithstanding the provision in paragraph 199 above, for the projects that transitioned from the CDM to the Article 6.4 mechanism in accordance with the "Procedure for transition of CDM activities to the Article 6.4 mechanism", if the crediting period ended or will end after 31 December 2020, submission of a request for renewal of the crediting period shall be made no later than one year after the approval by the Supervisory Body of the transition to the Article 6.4 mechanism.
201. The secretariat shall issue a statement of the renewal fee due, or confirmation that no renewal fee is due, determined in accordance with the provisions on the renewal fee contained in Appendix 1, and shall communicate it to the DOE.
202. The processes for payment of the renewal fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of no payment of the renewal fee within a deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 41–44 above, *mutatis mutandis*. If the secretariat does not receive the deposit of the renewal fee by the one-year deadline, the crediting period of the A6.4 project may no longer be renewed due to the condition referred to in paragraph 199 above.

### **9.2.4. Processing of request for renewal**

203. For processing of the request for renewal of the crediting period, the provisions in section 5.1.2 above shall apply *mutatis mutandis*.

#### **9.2.5. Requesting review of request for renewal**

204. For requesting review of the request for renewal of the crediting period, the provisions in section 5.1.3 above shall apply mutatis mutandis.

#### **9.2.6. Finalizing request for renewal if no request for review**

205. For finalizing the request for renewal of the crediting period if no request for review is received by the secretariat within the 28-day deadline, the provisions in section 5.1.4 above shall apply mutatis mutandis, except for the start of the new crediting period, which shall be the next day of the end of the previous crediting period in accordance with paragraph 189 above irrespective of the date when the renewal of the crediting period is approved by the Supervisory Body.

#### **9.2.7. Review of request for renewal of crediting period**

206. For a review of the request for renewal of the crediting period, the provisions in section 5.2 above shall apply mutatis mutandis.

#### **9.2.8. Withdrawal of request for renewal of crediting period**

207. For a withdrawal of the request for renewal of the crediting period, the provisions in section 5.3 above shall apply mutatis mutandis.

### **10. Voluntary deregistration of project**

#### **10.1. Submission of request for deregistration**

208. The activity participants of a registered A6.4 project may submit, through the focal point for scope (c) referred to in paragraph 29 above, a request for deregistration of the project to the secretariat through a dedicated interface on the UNFCCC website, attaching written agreement of all activity participants of the deregistration using the "Project deregistration no-objection form" (A6.4M-DREG-FORM).

#### **10.2. Processing of request for deregistration**

209. The secretariat shall, as soon as possible, and in any case striving to do so within five days of receipt of the request for deregistration, conduct a completeness check of the request and attached written no-objections from all activity participants.
210. If the secretariat, during the completeness check, identifies missing information, it shall request the activity participants to revise the request and/or submit revised written no-objections, providing the missing information. In this case, the activity participants shall revise the request and/or submit revised written no-objections through the dedicated interface on the UNFCCC website. Upon receipt of the complete request and written no-objections, the secretariat shall resume processing the request.
211. Upon conclusion of the completeness check, the secretariat shall notify the activity participants of the conclusion of the completeness check and publish the request for deregistration on the UNFCCC website. The request for deregistration shall be deemed received by the Supervisory Body.

- 212. The secretariat shall promptly inform the Supervisory Body of the receipt of the request for deregistration and mark the A6.4 project as “deregistered” on the UNFCCC website.
- 213. The secretariat shall inform the host Party and other participating Parties of the deregistration of the A6.4 project.

### **10.3. Effects of deregistration**

- 214. The effective date of deregistration shall be the date when the secretariat received a complete submission of the request for deregistration.
- 215. A DOE may submit a request for issuance of A6.4ERs in accordance with section 8.1.1 above for the deregistered A6.4 project for the period prior to the effective date of deregistration.
- 216. A DOE shall not make any request for issuance that covers the monitoring period including any date that is on or after the effective date of deregistration. The mechanism registry administrator shall not issue A6.4ERs for the deregistered A6.4 project for the period from the effective date of deregistration.
- 217. An A6.4 project that has been deregistered may not be reregistered under the Article 6.4 mechanism or included as a component project activity in a registered A6.4 programme of activities.
- 218. The registration fee shall not be reimbursed for a deregistered A6.4 project.

### **10.4. Administration period**

- 219. During the period from the effective date of deregistration of an A6.4 project until the date that is three calendar years later:
  - (a) The secretariat shall communicate with the activity participants, the host Party and other participating Parties in order to assist them to settle outstanding matters in relation to the deregistered A6.4 project, including the completion of all issuance requests and forwarding requests in respect of GHG emission reductions or net GHG removals achieved prior to the effective date of deregistration, and such other steps as are necessary to ensure the completion of outstanding matters in relation to the deregistered A6.4 project;
  - (b) Each activity participant may, after the effective date of deregistration, where necessary, be treated as if it were still an activity participant by the Supervisory Body and the secretariat for the purposes of the activity standard and this procedure in order to allow the secretariat to process instructions relating to GHG emission reductions or net GHG removals achieved prior to the effective date of deregistration from such activity participant in relation to the deregistered A6.4 project.

## **11. Withdrawal of approval of project, ~~or~~ authorization of activity participant, or authorization of A6.4 ERs**

### **11.1. Withdrawal of approval of project or authorized activity participant**

#### **11.1.1. Submission of withdrawal notification**

220. The host Party of a proposed or registered A6.4 project may, through its DNA, submit a notification to the secretariat to withdraw the approval of the project or the authorization of any of the activity participants made in accordance with paragraphs 20–21 above any time through a dedicated interface on the UNFCCC website, providing the following information:
- (a) The project title and its unique UNFCCC reference number;
  - (b) The type of withdrawal (withdrawal of approval of project or withdrawal of authorization of activity participants);
  - (c) The names of activity participants to whom the withdrawal of authorization applies (applicable if the withdrawal only relates to the authorization of activity participants);
  - (d) The effective date of the withdrawal, which shall be at least 60 days after the date of notification of the withdrawal unless the host Party specifies an earlier date with justification;
  - (e) The reason(s) for the withdrawal.
221. Other participating Parties may, through their DNAs, withdraw the authorization of activity participants made in accordance with paragraph 24 above<sup>24</sup> above any time through the dedicated interface on the UNFCCC website, providing the information listed in paragraph 220(a)–(e) above.
222. Upon receipt of the withdrawal notification, the secretariat shall promptly inform the affected activity participants of the notification and check whether the information provided is complete. If found incomplete, the secretariat shall request the DNAs of the Parties submitting the withdrawal to provide the missing information.
223. The secretariat shall publish the withdrawal of the approval of the project and/or the authorization of activity participants on the UNFCCC website on the effective date of withdrawal.

224. If the host Party withdraws the approval of the project:

- (a) If the effective date of the withdrawal is before the submission by a DOE of a request for registration of the project in accordance with paragraph 38 above, such request may not be submitted;
- (b) If the effective date of the withdrawal is after the submission by a DOE of a request for registration but before the final decision of the Supervisory Body on the request, the request shall be removed from processing the request;
- (c) If the effective date of the withdrawal is after the final decision of the Supervisory Body to register the project, the modalities contained in paragraph 225 below shall apply.

#### **11.1.2. Impact of withdrawal of approval of project or authorized activity participant**

225. For a registered A6.4 project from which the host Party withdrew its approval, requests for issuance for GHG emission reductions or net GHG removals achieved by the project in the period prior to the effective date of the withdrawal may continue to be submitted until the date referred to in paragraph 135 above and consequently A6.4ERs may be issued in accordance with sections 7 and 8 above. In this case, requests for issuance shall not cover a monitoring period from the effective date of the withdrawal of the approval of the project.
226. For a registered A6.4 project from which the host Party did not withdraw its approval, but the host Party or other participating Parties withdrew the authorization of one or more activity participants, requests for issuance for GHG emission reductions or net GHG removals achieved by the project may continue to be submitted until the date referred to in paragraph 135 above and consequently A6.4ERs may be issued in accordance with sections 7 and 8 above, as long as one activity participant authorized by the host Party remains. For the purpose of requests for issuance and distribution of A6.4ERs, the activity participants whose authorization was withdrawn shall be treated as if they were still activity participants of the project for the monitoring period prior to the date of the withdrawal of the authorization.

### **11.2. Withdrawal of authorization of A6.4ERs**

#### **11.2.1. Submission of withdrawal of authorization of A6.4ERs**

226<sup>bis</sup>. The host Party of a registered A6.4 project may withdraw, at any time through a dedicated interface on the UNFCCC website, the authorization of A6.4ERs to be issued or already issued, from authorized A6.4ERs to mitigation contribution A6.4ERs, by submitting a revised statement of the authorization referred to in paragraph 22 above, provided that the issued A6.4ERs have not been transferred in or out of the mechanism registry. In doing so, the host Party shall additionally provide the following information:

- (a) The effective date of the change to the authorization status, which shall not be before the date of submission of the revised statement;
- (b) The reason for the change in reference to the pre-defined circumstances in which such change may occur as in the original statement of the authorization referred to in paragraph 22<sub>bis</sub>.(g) above.

226<sub>ter</sub>. The secretariat shall make the revised statement publicly available, clearly indicating the effective date of the change to the authorization status, and notify the participating Party(ies) and the activity participants of the change.

### 11.2.2. Impact of change to authorization status

226<sub>quater</sub>. If the host Party withdraws the authorization of the use of the A6.4ERs, as per paragraph 226<sub>bis</sub>. above, prior to final decision of the Supervisory Body to issue the A6.4ERs for the project, the registry administrator shall issue mitigation contribution A6.4ERs as per the revised authorization statement, for the project into the pending account of the mechanism registry on or after the effective date of withdrawal.

226<sub>sexies</sub>. If the host Party withdraws the authorization of the use of the A6.4ERs, as per paragraph 226<sub>bis</sub>. above, after the A6.4 ERs are issued for the project but prior to any transfer in or out of the mechanism registry of the A6.4ERs, the mechanism registry administrator shall:

- (a) Track and change the authorization status of the issued authorized A6.4ERs to mitigation contribution A6.4ERs in the holding account of the activity participants and participating Parties involved;
- (b) Track and change the authorization status of the 5 per cent of the issued authorized A6.4ERs to mitigation contribution A6.4ERs that were forwarded to the share of proceeds for adaptation account held by the Adaptation Fund and change the type of the transfer which was previously distinguished as first transfer to non-first transfer type;
- (c) Track and change the status of type of the transfer of the 2 per cent of the issued authorized A6.4ERs to the cancellation for OMGE account which was previously distinguished as first transfer to non-first transfer type.

226<sub>septies</sub>. The mechanism registry administrator shall undertake the changes of the authorization status as per paragraph 226<sub>sexies</sub>. following the operational provisions pursuant to "Procedure: Article 6.4 mechanism registry", provided that the respective A.4ERs are not transferred in or out of the mechanism registry.

## 12. Appeals and grievances

227. Stakeholders, the activity participants, the host Party and other participating Parties, through their DNAs, may appeal decisions of the Supervisory Body or request that a grievance be addressed in accordance with paragraphs 60, 74, 156 and 172 above and the "Procedure: Appeal and grievance processes under the Article 6.4 mechanism".



## Attachment 1. Fee schedule

### 1. Background

1. This Appendix contains the rates of fees payable by the activity participants of proposed or registered Article 6, paragraph 4, mechanism projects (A6.4 projects) to cover the administrative expenses for processing requests submitted at various stage of the Article 6, paragraph 4, mechanism (the Article 6.4 mechanism) activity cycle, and the rules of reimbursement of paid fees where the requests are withdrawn by the submitting designated operations entities (DOEs), concluded as incomplete by the secretariat, or rejected by the Supervisory Body.
2. The fee types and rates are set based on the decisions by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) relating to the share of proceeds to cover administrative expenses as contained in decision 3/CMA.3, annex, paragraphs 48, and chapter VII, as elaborated in decision 7/CMA.4, annex I, chapter V.

### 2. General

3. In accordance with the relevant sections of this procedure, all the fees referred to in this Appendix shall be paid at the time of submission of the respective requests. The initiation of processing a request shall be subject to the payment of the fee.
4. All the fees referred to in this Appendix shall be waived for projects in the least developed countries and small island developing States.
5. The Supervisory Body may adjust and implement the fee structure and levels within the boundary to be set by the CMA in its decision 7/CMA.4, annex I, chapter V, on the basis of the guiding principles of balancing the income and the expenditure, enabling long-term sound operation of the Article 6.4 mechanism, being fair to activity participants, ensuring administrative efficiency and providing predictability to activity participants and the Supervisory Body.

### 3. Registration fee

6. The fee to be charged for a request for registration of a proposed A6.4 project (the registration fee) shall be fixed rates, tiered by the estimated annual average greenhouse gas (GHG) emission reductions or net GHG removals over the first crediting period, if it is renewable, or over the entire crediting period, if it is fixed, as follows:
  - (a) USD 1,500 for a project achieving annual average GHG emission reductions or net GHG removals over the (first) crediting period of up to 15,000 tonnes of carbon dioxide equivalent (t CO<sub>2</sub> eq);
  - (b) USD 5,000 for a project achieving annual average GHG emission reductions or net GHG removals over the (first) crediting period of between 15,001 and 50,000 t CO<sub>2</sub> eq;

- (c) USD 10,000 for a project achieving annual average GHG emission reductions or net GHG removals over the (first) crediting period of over 50,000 t CO<sub>2</sub> eq.
7. If the request for registration is withdrawn by the DOE, concluded as incomplete by the secretariat, or rejected the Supervisory Body in accordance with this procedure, the paid registration fee shall be reimbursed to the activity participants in the following manner:
- (a) Reimbursement in full if the request is withdrawn by the DOE before the secretariat starts the completeness check stage, or removed due to the withdrawal of host Party approval;
  - (b) Reimbursement of any amount above USD 1,500 if the request is withdrawn by the DOE or concluded as incomplete by the secretariat at the completeness check stage and the resubmission of the request for registration is not made within the timeframe referred to in paragraph 48 of the main part of this procedure;
  - (c) Reimbursement of any amount above USD 5,000 if the request is withdrawn by the DOE or concluded as incomplete by the secretariat at the substantive check stage and the resubmission of the request for registration is not made within the timeframe referred to in paragraph 51 of the main part of this procedure;
  - (d) No reimbursement if the request is withdrawn by the DOE any time after the substantive check stage or rejected by the Supervisory Body.

#### **4. Post-registration change fee**

8. The fee to be charged for a request for approval of post-registration change to a registered A6.4 project (the post-registration change fee) shall be a fixed rate, set at USD 1,500 per request.
9. If the post-registration change increases the scale of the project to bring the scale to a higher tier of the registration fee, the difference from the paid registration fee calculated in accordance with paragraph 6 above shall be payable in addition to the post-registration change fee. For any other post-registration changes, any portion of the paid registration fee shall not be reimbursable.
10. If the request for approval of post-registration change is withdrawn by the DOE, concluded as incomplete by the secretariat, or rejected the Supervisory Body, the paid post-registration fee shall be reimbursed to the activity participants in the following manner:
- (a) Reimbursement in full if the request is withdrawn by the DOE before the secretariat starts the completeness check stage in accordance with this procedure;
  - (b) No reimbursement if the request is withdrawn by the DOE any time after the secretariat starts the completeness check stage.

#### **5. Issuance fee**

11. The fee to be charged for a request for issuance of Article 6, paragraph 4, emission reductions (A6.4ERs) for a registered A6.4 project (the issuance fee) shall be a proportional levy to the amount of A6.4ERs requested for issuance, set at USD 0.15 per A6.4ER being requested for issuance.

12. If the request for issuance is withdrawn by the DOE, concluded as incomplete by the secretariat, or rejected the Supervisory Body in accordance with this procedure, the paid issuance fee shall be reimbursed to the activity participants in the following manner:
- (a) Reimbursement in full if the request is withdrawn by the DOE before the secretariat starts the completeness check stage;
  - (b) Reimbursement of any amount above USD 1,500 if the request is withdrawn by the DOE or concluded as incomplete by the secretariat at the completeness check stage and the resubmission of the request for issuance is not made within the timeframe referred to in paragraph 145 of the main part of this procedure;
  - (c) Reimbursement of any amount above USD 5,000 if the request is withdrawn by the DOE or concluded as incomplete by the secretariat at the substantive check stage and the resubmission of the request for issuance is not made within the timeframe referred to in paragraph 148 of the main part of this procedure;
  - (d) Reimbursement of any amount above USD 10,000 if the request is withdrawn by the DOE any time after the substantive check stage or rejected by the Supervisory Body.
13. If, as a result of the substantive check by the secretariat or the review by the Supervisory Body of the request for issuance, the quantity of A6.4ERs to be issued changed from that in the initial request for issuance, the activity participants or the secretariat shall settle the difference in the issuance fees if the difference is more than USD 300.

## **6. Renewal fee**

14. The fee to be charged for a request for renewal of the crediting period of a registered A6.4 project (renewal fee) shall be at the same rate as the registration fee referred to in paragraph 6 above, applicable to the project based on its scale of GHG emission reductions or net GHG removals.
15. If the request for renewal of the crediting period is withdrawn by the DOE, concluded as incomplete by the secretariat, or rejected the Supervisory Body in accordance with this procedure, the paid renewal fee shall be reimbursed to the activity participants in the same manner as referred to in paragraph 7 above.

## **Attachment 2. Indicative list of post-registration changes that may be suitable for approval under the issuance track**

1. A request for approval of a post-registration change may be suitable to be submitted under the issuance track referred to in paragraph 92 of this procedure for:
  - (a) Any corrections to project information<sup>1</sup> of a registered A6.4 project that does not affect the design of the project;
  - (b) Temporary deviations from the registered monitoring plan for which alternative monitoring arrangements are proposed if the proposed alternative monitoring arrangements produce a conservative estimate of GHG emission reductions or net GHG removals;
  - (c) Changes to the monitoring of a registered A6.4 project that have no material impact<sup>2</sup> on the applicability of the applied methodologies or the other applied methodological regulatory documents, or the accuracy and completeness of the monitoring;
  - (d) Changes to the project design of a registered A6.4 project that do not adversely impact any of the following:
    - (i) The applicability and application of the applied methodologies, the applied standardized baselines and the other applied methodological regulatory documents with which the project has been registered;
    - (ii) The additionality of the project;
    - (iii) The scale of the project.

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<sup>1</sup> Such corrections may include, for example, typographical errors, location, and names and numbers of components.

<sup>2</sup> The same materiality thresholds for verification contained in the validation and verification standard should apply.

**Document information**

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DRAFT

## **Appendix 2. Draft Article 6.4 activity cycle procedure for programmes of activities (version 02.0)**

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# 1. Introduction

## 1.1. Background

1. The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA), at its third session, adopted rules, modalities and procedures (RMPs) for the mechanism established by Article 6, paragraph 4, of the Paris Agreement (the Article 6.4 mechanism)<sup>1</sup> and requested the Supervisory Body, among others, to develop provisions for the development and approval of methodologies, validation, registration, monitoring, verification and certification, issuance, renewal, first transfer from the mechanism registry, voluntary cancellation and other processes pursuant to chapters V.B–L and VIII of the RMPs.<sup>2</sup>
2. The CMA, at its fourth session, elaborated some elements of the RMPs relating to the operation of the activity cycle of the Article 6.4 mechanism.<sup>3</sup>

2<sub>bis</sub>. The CMA, at its sixth session, elaborated provisions of the RMPs relating to the authorization of the use of Article 6, paragraph 4, emission reductions (A6.4ERs) and exemption from the share of proceeds for adaptation for least developed countries (LDCs) and small island developing States (SIDS).<sup>4</sup>

## 1.2. Objectives

3. The objective of the “Article 6.4 activity cycle procedure for programmes of activities” (hereinafter referred to as this procedure) is to set out all procedural steps and requirements relating to the activity cycle processes for Article 6.4 mechanism programmes of activities (A6.4 PoAs).

# 2. Scope and entry into force

## 2.1. Scope

4. This procedure describes the administrative steps to follow for activity participants, designated national authorities (DNAs), designated operational entities (DOEs), other stakeholders, the Supervisory Body and the United Nations Framework Convention on Climate Change (UNFCCC) secretariat (hereinafter referred to as the secretariat) for registration, post-registration change, renewal of crediting period and deregistration of an A6.4 PoA and component projects (CPs) therein, as well as issuance of ~~Article 6, paragraph 4, emission reductions (A6.4ERs)~~ for greenhouse gas (GHG) emission

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<sup>1</sup> Decision 3/CMA.3, annex, as contained in document FCCC/PA/CMA/2021/10/Add.1. Available at: [https://unfccc.int/sites/default/files/resource/cma2021\\_10a01E.pdf](https://unfccc.int/sites/default/files/resource/cma2021_10a01E.pdf)

<sup>2</sup> Decision 3/CMA.3, paragraph 5(a).

<sup>3</sup> Decision 7/CMA.4, annex I, chapters III–VI, in document FCCC/PA/CMA/2022/10/Add.2. Available at: [https://unfccc.int/sites/default/files/resource/cma2023\\_10a02E.pdf](https://unfccc.int/sites/default/files/resource/cma2023_10a02E.pdf)

<sup>4</sup> Decision -/CMA.6 (Advance unedited version). Further guidance on the mechanism established by Article 6, paragraph 4, of the Paris Agreement. Available at: [https://unfccc.int/sites/default/files/resource/CMA\\_6\\_agenda%20item15b\\_AUV\\_1.pdf](https://unfccc.int/sites/default/files/resource/CMA_6_agenda%20item15b_AUV_1.pdf).

reductions or net GHG removals achieved by a PoA and other actions related to the activity cycle of the Article 6.4 mechanism.

## 2.2. Entry into force

5. This version of this procedure enters into force on **18 July 2024 [DATE]**.

## 3. Terms and definitions

6. The following terms apply in this procedure:

- (a) “Shall” is used to indicate requirements to be followed;
- (b) “Should” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
- (c) “May” is used to indicate what is permitted;
- (d) “Activity participant” is a public or private entity that participates in an A6.4 programme of activities.
- (e) “Methodology” is, unless otherwise specified, an Article 6.4 mechanism methodology referred to in the RMPs, as approved by the Supervisory Body, to set a baseline for the calculation of emission reductions and removals to be achieved by Article 6.4 mechanism projects and PoAs (hereinafter collectively referred to as A6.4 activities), to demonstrate the additionality of A6.4 activities, to ensure accurate monitoring of GHG emission reductions or net GHG removals, and to calculate GHG emission reductions or net GHG removals achieved by A6.4 activities.

7. The following definitions apply in this procedure:

- (a) **Start date of the PoA period:** The earliest between the expected start date of the PoA period indicated in the prior consideration notification form and the first day of the global stakeholder consultation.
- (b) **Start date of CPs:** The date on which the activity participants commit to making expenditures to implement the CP. Where a contract is signed for such expenditures, it is the date on which the contract is signed. In other cases, it is the date on which such expenditures are incurred.
- (c) **Start date of crediting period of CPs:** The first date on which verified and certified GHG emission reductions or net GHG removals attributable to a CP may result in the issuance of A6.4ERs.

## 4. Pre-registration activities

### 4.1. Participation of host Parties in the Article 6.4 mechanism

8. Each host Party of a A6.4 PoA shall, prior to participating in the Article 6.4 mechanism, ensure that:
- (a) It is a Party to the Paris Agreement;

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- (b) It has prepared, has communicated and is maintaining a nationally determined contribution (NDC) in accordance with Article 4,<sup>5</sup> paragraph 2;
  - (c) It has designated a DNA for the Article 6.4 mechanism and has communicated that designation to the secretariat;
  - (f) It has indicated publicly to the Supervisory Body how its participation in the Article 6.4 mechanism contributes to sustainable development, while acknowledging that the consideration of sustainable development is a national prerogative;
  - (g) It has indicated publicly to the Supervisory Body the types of Article 6, paragraph 4, activity (A6.4 activity) that it would consider approving pursuant to chapter V.C (Approval and authorization) of the RMPs and how such types of activity and any associated emission reductions or removals would contribute to the achievement of its NDC, if applicable, its long-term low GHG emission development strategy, if it has submitted one, and the long-term goals of the Paris Agreement.
9. A host Party may specify to the Supervisory Body, prior to participating in the Article 6.4 mechanism:
- (a) Baseline approaches and other methodological requirements, including additionality, to be applied to A6.4 activities that it intends to host, in addition and subject to and consistent with the RMPs, under the supervision of the Supervisory Body, and subject to further relevant decisions of the CMA, with an explanation of how those approaches and requirements are compatible with its NDC and, if it has submitted one, its long-term low GHG emission development strategy;
  - (b) Crediting periods to be applied to A6.4 activities that it intends to host, including whether the crediting periods may be renewed, subject to the RMPs and under the supervision of the Supervisory Body, and in accordance with further relevant decisions of the CMA, with an explanation of how those crediting periods are compatible with its NDC and, if it has submitted one, its long-term low GHG emission development strategy;
  - (c) How it defines first transfer pursuant to decision 2/CMA.3, annex, paragraph 2(b).
10. Each host Party shall, through its DNA, provide the information referred to in paragraph 8(d)-(e) above, and if the host Party opts to do so, also the information referred to in paragraph 9(a)-(c) above and/or 8(b) above, to the Supervisory Body<sup>6</sup> through a dedicated interface on the UNFCCC website. A host Party may, through its DNA, revise the information at any time by providing the revised information through the same interface. The revised information shall not affect A6.4 PoAs that have already been registered, CPs that have already been included or requests for registration of A6.4 PoAs and for inclusion of CPs that have already been submitted to the secretariat in accordance with this procedure.

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<sup>5</sup> Unless otherwise stated, "Article" refers to an article in the Paris Agreement.

<sup>6</sup> If a host Party does not provide information referred to in paragraph 8(a) above to the Supervisory Body, the methodological requirements contained in the applied methodology and any other methodological requirements as approved by the Supervisory Body for the relevant activity type shall apply. Likewise, if a host Party does not provide information referred to in paragraph 8(b) above to the Supervisory Body, the type and length of the crediting period selected by the activity participant for CPs in accordance with paragraph 31(f) of the RMPs shall apply.

11. Each host Party shall ensure that, on a continuing basis:
  - (a) It is maintaining an NDC in accordance with Article 4, paragraph 2;
  - (b) Its participation in the Article 6.4 mechanism contributes to the implementation of its NDC and its long-term low GHG emission development strategy, if it has submitted one.
12. The secretariat shall publish the information provided by host Parties in accordance with paragraphs 8-10 above on the UNFCCC website.

#### **4.2. Prior consideration of the Article 6.4 mechanism**

13. The activity participants of a proposed A6.4 PoA shall demonstrate that the Article 6.4 mechanism benefits were considered necessary in the decision to implement the PoA by notifying the secretariat, through a dedicated interface on the UNFCCC website, of the intention to seek registration of the PoA under the Article 6.4 mechanism. The prior consideration notification for the PoA shall accompany a summary of the information of the PoA, which shall include, at a minimum:
  - (a) The PoA title;
  - (b) The names of the activity participants;
  - (c) The host Party(ies) where CPs will be implemented, including subnational boundaries if applicable;
  - (d) A brief description of typical CPs, including technologies or measures to be deployed;
  - (e) The start date of the PoA period;
  - (f) The duration of the PoA;<sup>7</sup>
  - (g) The methodology(ies) to be applied (if already known);
  - (h) The indicative maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs that may be included in the PoA during its lifetime as an A6.4 PoA under the Article 6.4 mechanism.
14. If the activity participants wish to set the start date of an A6.4 PoA period after 31 December 2020 and prior to the date of entry into force of version 01.0 of this procedure, the activity participants shall provide a prior consideration notification through the dedicated interface on the UNFCCC website referred to in paragraph 13 above no later than 180 days after the entry into force of version 01.0 of this procedure.
15. Once the secretariat confirms that the required information has been duly provided, it shall promptly assign a unique reference number to the proposed A6.4 PoA and publish the prior consideration notification on the UNFCCC website.
16. The secretariat shall, upon publication of the prior consideration notification on the UNFCCC website, inform the host Party(ies) of the receipt of the notification. Any of the

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<sup>7</sup> The activity participants shall specify the duration of the proposed A6.4 PoA, which shall not exceed 20 years (60 years for proposed PoAs involving removals), counting from the start date of the PoA period.

host Parties may indicate through the dedicated interface on the UNFCCC website that it has no objection for the proposed A6.4 PoA to proceed with requesting registration under the Article 6.4 mechanism.

#### **4.3. Global stakeholder consultation**

17. The activity participants shall submit a PoA design document (PoA-DD) prepared in accordance with the “Article 6.4 activity standard for programmes of activities” (hereinafter referred to as the activity standard) to the secretariat, using the “Programme of activities design document form” within one year of the publication of the prior consideration notification or within one year after the applicable methodology becomes available, whichever is later. The secretariat shall promptly publish the PoA-DD, as submitted, on the UNFCCC website.
18. Parties, stakeholders and UNFCCC-admitted observer organizations may submit comments in English on the proposed A6.4 PoA to the secretariat through a dedicated interface on the UNFCCC website within 28 days of the publication of the PoA-DD on the UNFCCC website. The submitters of the comments shall provide the name and contact details of the individual or organization on whose behalf the comments are submitted. Comments from stakeholders shall:
  - (a) Be specific to the proposed A6.4 PoA;
  - (b) Be related to compliance with applicable Article 6.4 mechanism rules and regulations.
19. The secretariat shall make the comments that meet the requirements in paragraph 18 above publicly available on the UNFCCC website where the PoA-DD is displayed, and inform the activity participants and the DNA of the host Party about the publication.

#### **4.4. Host Party approval and authorization**

20. The secretariat shall, upon publication of the PoA-DD on the UNFCCC website, inform the host Party of the receipt of the PoA-DD, and request the host Party, based on the information on the proposed A6.4 PoA contained in the PoA-DD and, the implications of hosting the PoA on the implementation of its NDC, and, if the host Party wishes to do so, taking into account the comments submitted during the global stakeholder consultation and published on the UNFCCC website in accordance with section 4.3 above, to respond to the publication, through a dedicated interface on the UNFCCC website any time after it has fulfilled the requirements for participating in the Article 6.4 mechanism referred to in paragraph 7 above by:
  - (a) Approving the PoA to be registered under the Article 6.4 mechanism, noting that the registration of the PoA is subject to a positive validation outcome by a DOE and approval by the Supervisory Body; or
  - (b) Rejecting the PoA to be registered under the Article 6.4 mechanism, providing the reason for rejection.
21. The host Party, through its DNA, should promptly respond to the publication **and is encouraged to do so but** no later than 60 days of the notification or in any longer time frame to be indicated by the host Party through the dedicated interface on the UNFCCC website. Before responding, the host Party, through its DNA, may request the activity



participants to provide additional information on the proposed A6.4 PoA to support its consideration on whether to approve the PoA ~~or~~, authorize the activity participants ~~or~~ authorize the use of A6.4ERs towards NDCs or other international mitigation purposes referred to in decision 2/CMA.3.

22. If the host Party approves the proposed A6.4 PoA, the approval shall include:

- (a) Confirmation that, and information on how, the PoA fosters sustainable development in the host Party;
- (b) Approval of any potential renewal of PoA period and crediting periods of CPs that will be included the PoA, if the Party intends to allow the PoA and CPs to continue beyond the first PoA period and beyond the first crediting periods of CPs respectively, where the Party has specified that the PoA period and the crediting periods of CPs that it intends to host may be renewed pursuant to paragraph 27(b) of the RMPs;<sup>8</sup>
- (c) Explanation of how the PoA relates to the implementation of its NDC and how the expected GHG emission reductions or net GHG removals contribute to the host Party's NDC and the purposes referred to in Article 6, paragraph 1;
- (d) The maximum annual amount of GHG emission reductions or net GHG removals approved to be achieved by CPs that may be included in the PoA during its lifetime as an A6.4 PoA under the Article 6.4 mechanism;
- (e) Authorization of the activity participants to participate in the PoA;
- (f) A statement on whether it chooses not to exempt the PoA and the CPs to be included from the share of proceeds for adaptation (applicable if the host Party is a LDC or SIDS).

23. If the proposed A6.4 PoA covers more than one host Party, the approval referred to in paragraph 22 above shall be provided by each of the host Parties, including by indicating the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs, implemented in each of the host Parties, that may be included in the PoA.

24. ~~{Placeholder for possible provisions on the submission of the statement of authorization on the use of A6.4ERs that will be issued for the proposed A6.4 PoAs towards achievement of NDCs and/or other international mitigation purposes as defined in decision 2/CMA.3}~~ If the host Party approves the A6.4 PoA, it shall provide a statement of authorization on the use of A6.4ERs to be issued for the PoA in conjunction with the approval of the PoA or as early as possible thereafter, but prior to the first issuance of A6.4ERs for the PoA at the latest. The host Party shall provide such a statement, through a dedicated interface on the UNFCCC website, by completing a form and selecting one of the following options as to whether the host Party:

- (a) Authorizes, in full or in part, the A6.4ERs to be issued for the PoA for use towards achievement of NDCs and/or for other international mitigation purposes pursuant to decision 2/CMA.3, annex, paragraph 1(d) and (f);

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<sup>8</sup> See footnote 5 above.



(b) Does not authorize any A6.4ERs to be issued for the PoA for use towards achievement of NDCs and/or for other international mitigation purposes pursuant to decision 2/CMA.3, annex, paragraph 1(d) and (f);

(c) Allows mitigation contribution A6.4ERs to be issued for the PoA, while noting that it may authorize the A6.4ERs at a later stage subject to the provisions referred to in section 8.4 below and relevant provisions of the "Procedure: Article 6.4 mechanism registry".

24<sub>bis</sub> If the host Party authorizes, in full or in part, the A6.4ERs to be issued for the PoA for the use towards achievement of NDCs and/or for other international mitigation purposes pursuant to decision 2/CMA.3, annex, paragraph 1(d) and (f) as per the paragraph 24(a) above or if the host Party authorizes the A6.4ERs at a later stage after their issuance as per paragraph 24(c) above, the host Party shall provide the following information in the statement referred to in paragraph 24 above:

(a) The authorization identified and unique UNFCCC reference number(s) of the PoA and of the CPAs therein;

(b) The name(s) of the host Party and other participating Party(ies) and authorized activity participants, if known, covered by the authorization;

(c) The date and duration of the authorization, including the final date for A6.4ERs to be issued, or to be used or cancelled, in connection with the first transfer specified by the host Party as per decision 2/CMA.3, annex, paragraph 2(b), as applicable;

(d) The specification of the first transfer of the mitigation outcome, as specified by the host Party, as per decision 2/CMA.3, annex, paragraph 2(b);

(e) The uses covered by the authorization, consistent with decision 2/CMA.3, annex, paragraph 1(d) and (f);

(f) The applied methodology(ies);

(g) Where changes to authorization may occur, information on the circumstances in which such changes may occur and a description of the process for managing them in a way that avoids double counting;

(h) The quantity of A6.4 emission reductions, if applicable;

(i) The vintage(s) covered by the authorization;

(j) The sectors and sectoral scope(s) covered;

(k) The mitigation type, activity type(s) and/or activity(ies) covered.

25. The secretariat shall, upon receipt of the response from the host Party, inform the activity participants of the response and publish the response on the UNFCCC website.

#### 4.5. Participating Party authorization

26. Parties participating in the A6.4 PoA other than the host Party (hereinafter referred to as other participating Parties) shall, through a dedicated interface on the UNFCCC website, provide an authorization of an activity participant at any time after the publication of the response from the host Party approving the PoA as per paragraph 25 above but prior to

the first transfer of issued A6.4ERs to the account of the activity participant in the mechanism registry.

#### **4.6. Preparation and validation of the programme design document**

##### **4.6.1. Programme of activities design document**

27. The activity participants of a proposed A6.4 PoA shall complete a PoA-DD in accordance with the activity standard, taking into account the comments submitted during the global stakeholder consultation conducted in accordance with section 4.3 above, applying the same duration of the PoA indicated in the draft PoA-DD referred to in paragraph 17 above.
28. If the design of the proposed A6.4 PoA has undergone changes after the publication of the PoA-DD for global stakeholder consultation, the DOE shall determine whether these changes are significant. If the changes are determined by the DOE to be significant, the DOE shall request the activity participants to make a revised PoA-DD publicly available for global stakeholder consultation. The DOE or the activity participant may seek guidance from the Supervisory Body on whether a revised PoA-DD shall be published for global stakeholder consultation by submitting such a request in accordance with the "Procedure: Consideration of unsolicited letters to the Supervisory Body".
29. The Supervisory Body shall expeditiously consider the case, through electronic means where possible, and provide guidance to the DOE and/or the activity participants. In doing so, the Supervisory Body shall consider the significance of the changes in terms of the impact on the application of the applied methodologies, the other methodological regulatory documents and local stakeholders.

##### **4.6.2. Modalities of communication statement**

30. The activity participants of the proposed A6.4 PoA shall (i) designate one or more focal point entities (hereinafter referred to as focal points) to communicate on their behalf with the Supervisory Body and the secretariat within the defined scopes of authority referred to in paragraph 32(c) below; and (ii) include this information in a modalities of communication (MoC) statement using the "Modalities of communication statement form".
31. After submission of a request for registration of a proposed A6.4 PoA in accordance with paragraph 41 above, all official communication between the activity participants and the Supervisory Body or secretariat for the PoA shall be conducted in accordance with the MoC statement.
32. The activity participants shall grant the focal points the authority to:
  - (a) Communicate in relation to requests for forwarding of A6.4ERs to individual accounts of the activity participants (scope (a)); and/or
  - (b) Communicate in relation to changes to the MoC statement (scope (b)); and/or
  - (c) Communicate on all other PoA-related matters not covered by subparagraphs (a) or (b) above (scope (c)).

33. The activity participants may designate one or multiple entities for each scope of authority in a sole or joint focal point role.<sup>9</sup> The number of joint focal points for a PoA shall be limited to five, or equal to the number of host Parties if greater than five.
34. The activity participants and the focal points may designate one primary authorized signatory and one alternate authorized signatory. The authentication of either the primary or alternate authorized signatory shall suffice for authenticating the activity participant's or the focal point's consent or instruction(s). If an entity is an activity participant and also a focal point, the same signatory shall represent the entity in both roles.
35. The activity participants may voluntarily indicate in the MoC statement the end date of their participation in the proposed A6.4 PoA. The secretariat shall monitor the end date of participation and mark the activity participants as "withdrawn" on the UNFCCC website on the day after the end date, provided that at least one activity participant authorized by the host Party of the PoA remains. The activity participants whose participation in the PoA has ended may request inclusion as an activity participant of the same PoA any time thereafter in accordance with paragraph 164(a) below.
36. The secretariat shall, when conducting the completeness check of the request for registration in accordance with paragraphs 49–51 below, consider the contact details included in the MoC statement to be the valid contact details of the activity participants whenever such details differ from the details of the activity participants and their representatives included in the PoA-DD of the proposed A6.4 PoA.
37. The secretariat shall publish non-confidential information included in the MoC statement, on the respective A6.4 PoA web page of the UNFCCC website, following registration of the PoA under the Article 6.4 mechanism.

#### **4.6.3. Validation of the programme of activities design document**

38. The activity participants shall submit the PoA-DD published for the global stakeholder consultation or any later version of the PoA-DD, the MoC statement and a declaration that the development, implementation and operation of the proposed A6.4 PoA do not involve any illegal activities and any supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation of the PoA for registration.
39. The DOE shall perform validation of whether the proposed A6.4 PoA complies with the relevant requirements in the activity standard and any other applicable Article 6.4 mechanism rules and requirements based on the information provided in the PoA-DD, the MoC statement and any supporting documentation it has received from the activity participants as well as further information obtained during the validation activity, and prepare a validation report, in accordance with the "Article 6.4 validation and verification standard for programmes of activities" (hereinafter referred to as the validation and verification standard), using the "Validation report form for PoAs".
40. For the purpose of possible selection of the validation activity for performance assessment of the DOE in accordance with the "Procedure: Article 6.4 accreditation procedure", the DOE shall notify the secretariat, through a dedicated interface on the UNFCCC website, of the timing of the site inspection of the proposed A6.4 PoA, which is to be conducted in

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<sup>9</sup> Joint focal point role requires consent from all focal point entities to communicate with the Supervisory Body or the secretariat.

accordance with the validation and verification standard, no later than four weeks prior to the inspection.

## **5. Registration of programme of activities**

### **5.1. Request for registration**

#### **5.1.1. Submission of request for registration**

41. The DOE shall, after validating that the proposed A6.4 PoA described in the PoA-DD meets all relevant requirements for registration in the activity standard and any other applicable Article 6.4 mechanism rules and requirements, submit a request for registration of the PoA to the secretariat through a dedicated interface on the UNFCCC website, including reference to the prior consideration notification of the PoA published in accordance with paragraph 15 above and the notification of the timing of the site inspection made in accordance with paragraph 40 above, and attaching:
  - (a) The PoA-DD and any supporting documentation of the proposed A6.4 PoA prepared by the activity participants in accordance with paragraph 27 above and validated by the DOE in accordance with paragraph 39 above;
  - (b) The validation report prepared by the DOE in accordance with paragraph 39 above;
  - (c) The MoC statement prepared by the activity participants in accordance with section 4.6.2 above;
  - (d) A declaration that the development, implementation and operation of the proposed A6.4 PoA do not involve any illegal activities, including money laundering, tax evasion, fraud, bribery and criminal activities.
42. A request for registration of a proposed A6.4 PoA may be submitted at any time after the approval of the PoA provided by the host Party to the Supervisory Body in accordance with paragraph 20(a) above has been published on the UNFCCC website in accordance with paragraph 25 above but within one year of publication of the approval.
43. The secretariat shall issue a statement of the registration fee due, or confirmation that no registration fee is due, determined in accordance with the provisions on the registration fee contained in Appendix 1, and shall communicate this to the DOE.
44. The DOE shall communicate the registration fee due, or a confirmation that no registration fee is due, to the activity participants.
45. The activity participants shall pay the registration fee by bank transfer, quoting the unique reference number referred to in paragraph 15 above, within one year of the issuance to the DOE of the statement of the registration fee due.
46. The DOE shall submit a proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC website. If the proposed A6.4 PoA applies:
  - (a) A methodology or methodological tool that has been revised, withdrawn or suspended by the Supervisory Body, the proof of payment must be uploaded within 20 days or the payment must be received by the secretariat within 40 days of the end of the grace period for revision or the date of withdrawal or suspension, as

defined in the “Procedure: Development, revision and clarification of methodologies and methodological tools”; and/or

- (b) A standardized baseline that has been revised, suspended or has expired, the proof of payment must be uploaded within 20 days or the payment must be received by the secretariat within 40 days of the end of the grace period for revision or the date of suspension or expiry, as defined in the “Procedure: Development, revision, clarification and update of standardized baselines”.
47. If the secretariat does not receive the deposit of the registration fee by the deadline referred to in paragraph 45 above or paragraph 46 above, as applicable, the request for registration shall be deemed withdrawn. The same or a different DOE may submit a new request for registration of the same proposed A6.4 PoA anytime thereafter, following the applicable Article 6.4 mechanism rules and requirements valid at the time of the new submission. In this case, the original prior consideration notification published in accordance with paragraph 15 above remains valid for the new request for registration.

#### **5.1.2. Processing of request for registration**

48. The secretariat shall maintain on the UNFCCC website a publicly available list of all submitted requests for registration for which the applicable registration fee has been received by the secretariat, or for which no registration fee is due. The secretariat shall make publicly available the schedule and the status of processing each request for registration. The secretariat shall schedule the commencement of the processing of the requests for registration in accordance with the secretariat’s operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Supervisory Body.
49. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to guidance from the Supervisory Body, conduct within seven days a completeness check to determine whether the request for registration submission is complete in accordance with the completeness check checklist for requests for registration.
50. If the secretariat, during the completeness check, identifies an editorial or consistency issues in the submission, it shall request the DOE by e-mail, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request for registration submission is incomplete, unless the DOE provides a justification, by this deadline, for not being able to submit the requested documents and/or information in time. In this case, the deadline shall be extended accordingly.
51. Upon conclusion of the completeness check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the completeness check stage. If the request for registration submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the activity participants and the DOE, and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for registration with revised documentation. If the resubmission of the request for registration is made within 28 days of the notification, the

- secretariat shall promptly commence the completeness check again, otherwise the resubmission shall be treated as a new submission of a request for registration.
52. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to guidance from the Supervisory Body, conduct within 21 days a substantive check in accordance with the substantive check checklist for requests for registration.
53. If the secretariat, during the substantive check, identifies issues of a substantive nature or missing basic information, it shall request the DOE, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request for registration submission is incomplete, unless the DOE provides a justification, by this deadline, for not being able to submit the requested documents and/or information in time. In this case, the deadline shall be extended accordingly.
54. Upon conclusion of the substantive check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the substantive check stage. If the request submission does not meet the requirements of the substantive check, the secretariat shall conclude that the request submission is incomplete and communicate the underlying reasons to the activity participants and the DOE and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for registration with revised documentation. If the resubmission of the request for registration is made within 28 days of the notification, the secretariat shall promptly commence the substantive check again, otherwise the resubmission shall be treated as a new submission of a request for registration.
55. Upon positive conclusion of the substantive check stage, the secretariat shall publish the request for registration on the UNFCCC website and the request for registration shall be deemed received by the Supervisory Body for consideration.
56. For resubmission of a request for registration after the completeness check or the substantive check in accordance with paragraphs 48 above or 51 above, respectively, the proposed A6.4 PoA may apply the same version of the methodology, methodological tool and/or standardized baseline applied in the initial submission within 90 days of the initial notification of the negative conclusion of the completeness check or substantive check, even if the version of any of the methodology, methodological tool or standardized baseline applied is no longer valid. After this 90-day period, all resubmissions shall apply the version of the methodology, methodological tool and/or standardized baseline valid for a new request for registration.
57. The secretariat shall notify the activity participants, the DNAs of the host Party and other participating Parties, and the DOE: that the Supervisory Body has received the request for registration for its consideration; that the secretariat has published the request for registration on the UNFCCC website; and of the last day by which members and alternate members of the Supervisory Body, and the host Party and other participating Parties may request a review of the request for registration, as referred to in paragraph 59 below.
58. The secretariat shall, subject to guidance from the Supervisory Body, prepare and send to the Supervisory Body a summary note on the request for registration within 14 days of the date of publication of the request for registration.

### **5.1.3. Requesting review of the request for registration**

59. Any host Party and any other participating Party of the proposed A6.4 PoA, and any member or alternate member of the Supervisory Body, may request a review of the request for registration within 28 days of the date of publication of the request for registration. If a host Party or other participating Party wishes to request a review, its DNA shall submit the request through a dedicated interface on the UNFCCC website. If a member or an alternate member of the Supervisory Body wishes to request a review, they shall submit the request through a dedicated interface on the UNFCCC website.
60. The secretariat shall acknowledge receipt of a request for review and promptly notify the Supervisory Body. A request for review shall not be recognized if it is received after 24:00 (Central European Time/Central European Summer Time) on the last day of the 28-day period following the publication of the request for registration.
61. A request for review shall provide, inter alia, the reasons for the request for review based on the activity standard, the validation and verification standard or any other applicable Article 6.4 mechanism rules and requirements.

### **5.1.4. Finalizing the request for registration if no request for review**

62. If the secretariat does not receive a request for review from any host Party, any other participating Party, or any member or alternate member of the Supervisory Body in accordance with the modalities described in section 5.1.3 above, the request for registration shall be deemed approved by the Supervisory Body.
63. Stakeholders who were eligible to participate in the local or subnational stakeholder consultation of any of the included CPs conducted in accordance with the activity standard, the activity participants, the host Party or other participating Parties (hereinafter referred to as eligible stakeholders, activity participants or Parties) may, in accordance with the appeal and grievance procedure,<sup>10</sup> file an appeal to the decision of the Supervisory Body to approve the registration within 28 days of the request for registration having been deemed approved. If no appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the Supervisory Body shall register the proposed A6.4 PoA under the Article 6.4 mechanism. If an appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the appeal and grievance procedure shall be followed.
64. The first PoA period of the registered A6.4 PoA shall start from the date indicated in the PoA-DD as approved by the host Party in accordance with section 4.4 above.

## **5.2. Review of request for registration**

### **5.2.1. Commencement of review**

65. If any host Party, any other participating Party, or any member or alternate member of the Supervisory Body, requests a review of the request for registration, the secretariat shall:
- (a) Notify the activity participants and the DOE that the request for registration has been placed under review;

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<sup>10</sup> "Procedure: Appeal and grievance processes under the Article 6.4 mechanism"

- (b) Mark the request for registration as “under review” on the UNFCCC website and make publicly available an anonymous version of each request for review;
  - (c) Establish an expert review team, comprising two external experts selected from the roster of experts established for this purpose, to conduct an assessment of the request for review. The secretariat shall appoint one of the team members to serve as the lead, who shall be responsible for all communications with the secretariat and delivery of an assessment report.
66. The DOE or the activity participants may request the secretariat, by e-mail through a dedicated e-mail address, to make a call to them to provide clarifications on the issues identified. Only one such request, regardless of the requesting party, shall be allowed per review of the request for registration. In this case, the DOE or the activity participants shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
67. The activity participants and the DOE shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for registration having been placed under review.
68. For each issue (or sub-issue) raised in the request for review, the activity participants and the DOE shall either:
- (a) Respond by making any revisions that they deem necessary to the PoA-DD and/or validation report to ensure, inter alia, that all facts are clearly stated and sufficiently validated; or
  - (b) Respond in writing by explaining why no revisions to the PoA-DD and/or validation report are necessary.
69. The date of commencement of the review shall be the date when the secretariat notifies the activity participants and the DOE that the review has commenced.

#### **5.2.2. Assessment**

70. The expert review team established in accordance with paragraph 65(c) above shall conduct an assessment of the request for registration in the context of the reasons for the request for review provided by the requesting party and the applicable Article 6.4 mechanism rules and requirements, taking into account the responses from the activity participants and the DOE, and prepare an assessment report including a proposed decision within 14 days of the commencement of the review. A proposed decision shall suggest that either:
- (a) The proposed A6.4 PoA be registered under the Article 6.4 mechanism; or
  - (b) The request for registration be rejected.
71. If the proposed decision is to reject the request for registration, the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;



- (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
72. In addition, the expert review team shall, in its assessment report, highlight any issues of significance related to the policies and goals of the Article 6.4 mechanism arising from the assessment. The secretariat, in consultation with the Chair of the Supervisory Body, shall bring these issues to the attention of the Supervisory Body by preparing background notes and policy options and presenting them to the Supervisory Body at its meetings.
73. The expert review team shall submit its assessment report to the Supervisory Body through the secretariat.
74. The secretariat shall make the assessment report available to the Supervisory Body, together with any responses from the activity participants and the DOE, and any revision to the PoA-DD, validation report and/or other relevant documentation.

#### **5.2.3. Consideration by the Supervisory Body**

75. The Supervisory Body shall, at its meeting, taking into account the assessment report prepared by the expert review team and the summary note prepared by the secretariat, decide either to:
- (a) Register the proposed A6.4 PoA under the Article 6.4 mechanism; or
  - (b) Reject the request for registration.
76. Eligible stakeholders, activity participants and Parties may, in accordance with the appeal and grievance procedure, file an appeal to the decision of the Supervisory Body within 28 days of the decision. If no appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the process contained in section 5.2.4 below shall be followed. If an appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the appeal and grievance procedure shall be followed.

#### **5.2.4. Finalization and implementation of ruling**

77. If the Supervisory Body's final decision made in accordance with paragraph 75 above is to register the proposed A6.4 PoA under the Article 6.4 mechanism, the secretariat shall register it as an A6.4 PoA on the first working day subsequent to the final decision and inform the activity participants, the DOE, the host Party and any other participating Party about the decision.
78. The start date of the first PoA period shall be the date indicated in the PoA-DD as approved by the host Party in accordance with section 4.4 above.
79. If the Supervisory Body's final decision made in accordance with paragraph 75 above is to reject the request for registration, the secretariat shall update the information on the UNFCCC website accordingly on the first working day subsequent to the final decision and inform the activity participants, the DOE, the host Party and any other participating Party about the decision. Furthermore, within 21 days of the final decision, the secretariat shall provide the Chair of the Supervisory Body with an information note containing a proposed ruling incorporating the final decision.

80. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision of rejection, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
81. Once approved by the Chair of the Supervisory Body, the secretariat shall immediately make the proposed ruling available to the Supervisory Body. The proposed ruling shall become the final ruling of the Supervisory Body 10 days after the date when the proposed ruling was made available to the Supervisory Body, unless a member or alternate member of the Supervisory Body objects to the proposed ruling.
82. An objection by a member or an alternate member of the Supervisory Body shall be made by notifying the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
- 82<sup>bis</sup> If a member of the Supervisory Body objects to the proposed ruling more than 14 days prior to the next Supervisory Body meeting, the case shall be placed on the agenda of the next Supervisory Body meeting; otherwise, it shall be placed on the agenda of the subsequent Supervisory Body meeting.
83. At the Supervisory Body meeting for which the case is placed on the agenda, the Supervisory Body shall finalize the ruling.
84. The secretariat shall publish a ruling note on the UNFCCC website no later than three days after the ruling is finalized.
85. If the request for registration is rejected by the Supervisory Body, the same or a different DOE may resubmit the request for registration with revised documentation, addressing the issues that constitute the reason for the rejection by the Supervisory Body. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.

### **5.3. Withdrawal of request for registration**

#### **5.3.1. Submission of a request for withdrawal**

86. For the following cases, the DOE shall submit a request for withdrawal of a request for registration to the secretariat through a dedicated interface on the UNFCCC website:
- (a) The activity participants voluntarily wish for the request for registration to be withdrawn;<sup>11</sup>
  - (b) The DOE has revised its validation report based on new insights or information.

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<sup>11</sup> In such cases, the DOE shall process the request expeditiously.

### **5.3.2. Processing of request for withdrawal**

87. Upon receipt of the request for withdrawal of a request for registration, the secretariat shall check the information provided as soon as possible, and if the request is complete, the secretariat shall reimburse the registration fee, if applicable, in accordance with Appendix 1 and take the following actions:
- (a) If the DOE requests the withdrawal prior to the publication of the request for registration made in accordance with paragraph 55 above, the secretariat shall not mark the proposed A6.4 PoA as “withdrawn” on the UNFCCC website;
  - (b) If the DOE requests the withdrawal after the publication of the request for registration made in accordance with paragraph 55 above, the secretariat shall mark the proposed A6.4 PoA as “withdrawn” on the UNFCCC website.

## **6. Post-registration activities**

### **6.1. Notification of intention to include component projects in registered programme of activities**

88. The activity participants of a proposed CP shall notify the secretariat of the intention to include the CP in a registered A6.4 PoA under the Article 6.4 mechanism or in a PoA planned to be registered in the future<sup>12</sup> (hereinafter referred to as CP inclusion notification) through a dedicated interface on the UNFCCC website. If the CP has already started as per the definition of the “start date” of a CP in the activity standard, the activity participants shall submit such notification no later than 180 days after the publication of the respective PoA-DD for global stakeholder consultation. The CP inclusion notification shall accompany a summary of the CP, which shall include, at minimum:
- (a) The title of the A6.4 PoA already registered or planned to be registered, as long as the proposed PoA has initiated the global stakeholder consultation process, in which the CP is intended to be included;
  - (b) The title of the CP;
  - (c) The names of the activity participants;
  - (d) The precise geographic location of the CP;
  - (e) A brief description of the technologies or measures to be deployed by the CP;
  - (f) The methodology to be applied by the specific A6.4 CP (if already known);
  - (g) The actual or planned start date of the CP;
  - (h) The type (fixed or renewable), planned start date and duration of the crediting period of the CP;
  - (i) The approximate amount of GHG emission reductions or net GHG removals expected to be achieved by the CP in each year of the crediting period.

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<sup>12</sup> The PoA-DD must have at least been published for global stakeholder consultation.

89. Notwithstanding the provision in paragraph 88 above, if the start date of a proposed CP is after 31 December 2020, prior to the date of entry into force of version 01.0 of this procedure and after the start date of the first PoA period, the activity participants shall, if they wish to seek inclusion of the CP in a A6.4 PoA already registered or planned to be registered in the future, provide a CP inclusion notification through the dedicated interface on the UNFCCC website referred to in paragraph 88 above no later than 180 days after the publication of the respective PoA-DD for global stakeholder consultation.
90. Once the secretariat confirms that the required information has been duly provided, it shall promptly assign a unique reference number to the CP linked to the registered or planned to be registered A6.4 PoA and publish the CP inclusion notification on the UNFCCC website.
91. The secretariat shall, upon publication of the CP inclusion notification on the UNFCCC website, inform the host Party of the receipt of the notification.

## **6.2. Preparation, validation and inclusion of a component project**

### **6.2.1. Preparation of the component project design document**

92. For the inclusion of a CP in a registered A6.4 PoA, the activity participants shall submit a completed component project design document (CP-DD) using the “Component project design document form” to any DOE accredited in the relevant sectoral scope(s) and contracted by the activity participant, after having ensured that the proposed CP complies with the corresponding generic CP-DD in the latest version of the registered PoA-DD, including the eligibility criteria for the inclusion of CPs in the PoA, and the relevant requirements in the activity standard and relevant Article 6.4 mechanism rules and requirements. The activity participants may submit more than one CP-DD at one time.

### **6.2.2. Validation of component project design document**

93. The DOE shall perform validation of whether the project design complies with the relevant requirements in the activity standard and any other applicable Article 6.4 mechanism rules and requirements based on the information provided in the CP-DD and any supporting documentation it has received from the activity participants as well as further information obtained during the validation activity, and prepare a validation report, in accordance with the validation and verification standard, using the “Validation report form for inclusion of CPs”.
94. If the DOE or activity participants identify that the sum of the estimated annual GHG emission reductions or net GHG removals expected to be achieved by the CP proposed for inclusion and the cumulative annual amount of GHG emission reductions or net GHG removals expected to be achieved by all CPs that have already been included in the PoA is higher than the maximum annual amount of GHG emission reductions or net GHG removals approved by the host Party under paragraph 22(d) above, the CP shall not be included in the PoA unless a post-registration change to the PoA, as per paragraph 114(a)(iii), to increase the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by the CPs to be included, is approved by the Supervisory Body.

### **6.2.3. Inclusion of component project**

95. If the DOE confirms that the proposed CP complies with the requirements for inclusion of CPs in the registered A6.4 PoA as referred to in paragraph 92 above, it shall include the specific CP in the PoA by uploading the corresponding CP-DD through a dedicated interface on the UNFCCC website together with the “Component project inclusion form”, the validation report and a declaration that the development, implementation and operation of the proposed CP do not involve any illegal activities, including money laundering, tax evasion, fraud, bribery and criminal activities. Such an upload shall be made only after the registration of the PoA.
96. Once the documents referred to in paragraph 95 above are uploaded, the secretariat shall, through the dedicated interface on the UNFCCC website, automatically check whether the inclusion of the CP will result in the total annual amount of GHG emission reductions or net GHG removals for the registered A6.4 PoA being within the maximum annual amount that have been approved by the host Party in accordance with paragraph 22(d) above. If the total annual amount exceeds the maximum annual amount approved by the host Party, the dedicated interface shall automatically block the processing of the uploaded documents, otherwise the secretariat shall issue a statement of the CP inclusion fee due (or confirmation that no CP inclusion fee is due), determined in accordance with the provisions on the registration fee contained in Appendix 1, and communicate it to the DOE.
97. The processes for payment of the CP inclusion fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of non-payment of the CP inclusion fee within the deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 45-47 above, *mutatis mutandis*.
98. The CP described in the CP-DD uploaded by the DOE will be included in the registered A6.4 PoA and displayed on the activity view page of that PoA on the UNFCCC website after processing of the CP inclusion fee. The secretariat shall automatically notify the DOE, the activity participants and the DNA of the host Party of the CP of the change in status of the PoA, and shall assess, on a sample basis, the inclusion of CPs in accordance with the process referred to in sections 5.1.2-5.3 above, *mutatis mutandis*.
99. If the methodologies, methodological tools and/or standardized baselines applied to the registered A6.4 PoA are put on hold or withdrawn for any reason other than for the purpose of including the methodology in a consolidated methodology, no new CPs shall be included in the PoA, until the PoA-DD is revised to be in line with the revised or new applicable methodologies, methodological tools and/or standardized baselines after putting them on hold or withdrawing them following the process in section 6.4 below. The new CPs that have been submitted before the put-on-hold or withdrawal of the applied methodologies, methodological tools and/or standardized baselines but for which the proof of payment of the CP inclusion fee has not been received by the secretariat within the timeline referred to in paragraph 97 above shall not be included in the PoA.

### **6.2.4. Review of erroneous inclusion of component projects**

100. If the DNA of any host Party, any other participating Party of a registered A6.4 PoA or a Supervisory Body member or alternate member identifies information that may disqualify the CP from inclusion in the PoA, they shall request a review of the inclusion of the CP by notifying the secretariat within one year after the inclusion of the CP in the PoA, or within 180 days after the first issuance of A6.4ERs for that CP, by submitting a completed “Component project inclusion review form”. Such request for review shall be related to

issues associated with the compliance of the CP with the requirements for inclusion of CPs in the PoA as referred to in paragraph 92 above.

101. If the request is received from a Supervisory Body member or alternate member, the Chair of the Supervisory Body, in consultation with the secretariat, shall assess the information referred to in paragraph 100 above and decide, within 14 days, whether to add the request for review to the agenda of the next meeting of the Supervisory Body.
102. If the Chair of the Supervisory Body decides not to add the request for review to the agenda of the next meeting of the Supervisory Body, the secretariat shall inform the relevant Supervisory Body member or alternate member of the reasons for this decision.
103. If the Chair of the Supervisory Body decides to add the request for review to the agenda of the next meeting of the Supervisory Body, or if the request for review of the inclusion of the CP has been received from the DNA of any host Party or any other participating Party of a registered PoA, the secretariat shall accordingly notify the activity participants, the DOE referred to in paragraph 93 above (hereinafter referred to as validating DOE) and the DNAs of all Parties involved in the A6.4 PoA. The activity participants and the validating DOE shall provide initial comments on the request for review no later than 28 days from the date of notification of the review.
104. If the request for review is added to the agenda of the next meeting of the Supervisory Body in accordance with paragraph 103 above, the Supervisory Body, taking into account any comments received from the activity participants and the validating DOE, shall either:
  - (a) Confirm the inclusion of the CP in the registered A6.4 PoA; or
  - (b) Exclude the CP from the registered A6.4 PoA with immediate effect if it determines that the CP was erroneously included in the PoA.
105. If the Supervisory Body determines that consideration of a request for review as per paragraph 103 above or the consideration of an issue identified by the secretariat on the basis of a sample assessment as per paragraph 98 above that raises concerns regarding the processes used to include CPs in the registered A6.4 PoA, the Supervisory Body shall initiate a full review of all CPs included in the PoA.
106. If the Supervisory Body initiates the full review referred to in paragraph 105 above, it shall request the secretariat to contract a DOE that has not performed validation, CP inclusion or verification functions with regard to this registered A6.4 PoA, to review all the CPs that have been included in the PoA in the one-year period or have had their first issuance in the 180-day period preceding the request for review. The DOE shall submit a review report to the secretariat within 30 days.
107. The Supervisory Body shall establish an assessment team to analyse the DOE's review report and provide findings and recommendations to the Supervisory Body within 14 days. The assessment team may discuss the findings of the DOE's review report and seek comments from the activity participants and the validating DOE, as appropriate. Based on this assessment, the assessment team shall make a finding as to whether:
  - (a) Any specific CPs have been erroneously included in the registered A6.4 PoA;
  - (b) Compliance of each of the CPs reviewed with respect to the requirements for inclusion of CPs in the registered A6.4 PoA as referred to in paragraph 92 above was adequately assessed by the validating DOE in accordance with the validation

and verification standard and other Article 6.4 mechanism rules and requirements applicable at the time of inclusion.

108. The Supervisory Body shall consider the DOE's review report and the assessment team's findings at the next meeting of the Supervisory Body for which the report and the findings have been made available by the 14-day documentation deadline.
109. The Supervisory Body shall decide to exclude any of the specific CPs from the registered A6.4 PoA if it concludes that they have been erroneously included.
110. A specific CP that has been excluded after having been identified as erroneously included in the registered A6.4 PoA may be re-included in the same or different registered A6.4 PoA or be registered as an A6.4 project. For re-inclusion in the same or different PoA, the relevant requirements in the activity standard, the validation and verification standard and the process in subsections 6.2.1-6.2.3 above shall apply. For registration as an A6.4 project, the relevant requirements in the "Article 6.4 mechanism activity standard for projects" and "Article 6.4 mechanism validation and verification standard for projects" and the relevant process in the "Article 6.4 mechanism activity cycle procedure for projects" shall apply.
111. Where, for any of the specific CPs excluded in accordance with paragraph 104(b) or 109 above, the Supervisory Body determines that the validating DOE failed to adequately assess their compliance with the requirements for inclusion of CPs in the registered A6.4 PoA in accordance with the validation and verification standard, the DOE shall have its performance evaluated according to the "Procedure: Performance monitoring of designated operational entities" and the DOE shall acquire and transfer, within 30 days of the exclusion of the CPs, an amount of A6.4ERs equivalent to the amount of A6.4ERs issued for the CPs as a result of the CPs having been included to the cancellation account in the mechanism registry.

### **6.3. Continuous engagement of stakeholders**

112. Any time after the registration of a PoA under the Article 6.4 mechanism, Parties, stakeholders and UNFCCC-admitted observer organizations may submit comments in English on the registered A6.4 PoA or any CP included therein to the secretariat through a dedicated interface on the UNFCCC website. The submitters of the comments shall provide the name and contact details of the individual or organization on whose behalf the comments are submitted. Comments from stakeholders shall:
- (a) Be specific to the registered A6.4 PoA or any CP included therein;

Be related to compliance with applicable Article 6.4 mechanism rules and regulations.

113. The secretariat shall promptly make the comments that meet the requirements in paragraph 112 above publicly available on the UNFCCC website where the PoA information is displayed and inform the activity participants of the publication of the comments.

### **6.4. Change to registered programme of activities**

#### **6.4.1. General requirements**

114. If there is a change that has occurred or is expected to occur to a registered A6.4 PoA, such a change (hereinafter referred to as post-registration change to the PoA) shall be

approved by the Supervisory Body in accordance with this section to maintain the registration status under the Article 6.4 mechanism. The post-registration change to the PoA shall not affect the CPs included until the renewal of the crediting period of the CPs, shall be within the scope of the following acceptable changes and shall meet the associated conditions, as specified in the activity standard:

- (a) Permanent changes:
  - (i) Corrections that do not have material impact on the calculation of achieved GHG emission reductions or net GHG removals;
  - (ii) Permanent changes to the description of how to develop the monitoring plan for each CP as per the corresponding generic CP-DD as described in the registered PoA-DD, or permanent deviation of monitoring from the applied methodologies, the applied standardized baselines or the other applied methodological regulatory documents;
  - (iii) Changes to the programme design;
  - (iv) Addition of a generic CP-DD;
- (b) Changes due to a revision of a methodology, methodological tool and/or standardized baselines applied by the generic CPs;
- (c) Registration under or overlap with other crediting scheme.

#### **6.4.2. Update of documents and validation or verification**

115. For any of the permanent changes referred to in paragraph 114(a) above, the activity participants shall revise the PoA-DD to reflect the post-registration change to the PoA. The activity participants shall then submit the revised PoA-DD and any other supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation of the post-registration change to the PoA. In this context, if the activity participants wish to appoint this DOE to submit the request for approval of the post-registration change to the PoA under the issuance track referred to in paragraph 118 below, the selection of a DOE shall follow the same rule referred to in paragraph 172 below.
116. For the permanent change referred to in paragraph 114(b) above, the validity of the version of the methodology or methodological tool and of standardized baselines applied by generic CPs shall follow the rules contained, respectively, in the "Procedure: Development, revision and clarification of methodologies and methodological tools" and "Procedure: Development, revision, clarification and update of standardized baselines". After expiry of the validity of the previous version of the methodology or methodological tool and of the standardized baseline, the activity participants may submit a request for post-registration change to the PoA by updating the PoA-DD including, inter alia, updating the eligibility criteria for the inclusion of CPs in the PoA to be in line with the revised methodologies, methodological tools and/or standardized baselines. Such revision to the PoA-DD is not required if the methodologies or methodological tools are revised or withdrawn to be included in consolidated methodologies without being placed on hold, unless otherwise indicated in the report of the Supervisory Body meeting at which the Supervisory Body approved the revised or consolidated methodologies or methodological tools.



117. The CPs that were included before the revision of the PoA-DD shall apply the latest version of the PoA-DD only at the time of the renewal of their crediting periods. If the activity participants do not wish to revise the PoA-DD to apply the revised version of the methodology, no new CPs shall be included in the PoA.

#### **6.4.3. Submission of a request for approval of a post-registration change**

118. The DOE, after validating that the post-registration change to the PoA meets all applicable requirements for post-registration changes in the activity standard by following the applicable provisions of the validation and verification standard and other applicable Article 6.4 mechanism rules and requirements, shall submit a request for approval of post-registration change prior to submitting a request for issuance of A6.4ERs that are affected by the post-registration change (prior-approval track) or together with a request for issuance of A6.4ERs (issuance track). The choice of whether the DOE submits the request for approval via the prior-approval track or the issuance track shall be at the discretion of the activity participants, who may wish to take into account the indicative list of post-registration changes that may be suitable for approval under the issuance track contained in Appendix 2.
119. A request for approval of post-registration change to the PoA of the permanent changes referred to in paragraph 114(a) above shall be submitted, irrespective of whether it is under the prior-approval track or the issuance track:
- (a) Anytime for corrections that do not have material impact on the calculation of achieved GHG emission reductions or net GHG removals;
  - (d) No later than the first issuance request for permanent changes to the description of how to develop the monitoring plan for each CP as per the corresponding generic CP-DD as described in the PoA-DD of the registered A6.4 PoA;
  - (e) No later than one year after the occurrence of the permanent changes to the programme design.
120. A request for approval of a post-registration change to the PoA of the changes referred to in paragraph 114(b) above may be submitted once the Supervisory Body adopts a revised version of the methodology. No new CPs shall be included in the PoA after the end of the validity period of the previous version of the methodology or methodological tool, until the request for post-registration change to the PoA is approved by the Supervisory Body.
121. Where more than one of the changes referred to in paragraph 114 above have occurred or are expected to occur to the registered A6.4 PoA, the DOE shall, wherever possible, combine such changes into one request for approval of post-registration change to the PoA.
122. Under both the prior-approval track and the issuance track, the DOE shall submit a request for approval of post-registration change to the PoA to the secretariat through a dedicated interface on the UNFCCC website, attaching:
- (a) The revised PoA-DD (in both clean and track-change versions) or a monitoring report, as applicable, and any supporting documentation, prepared by the activity participants in accordance with the activity standard;
  - (b) The validation report on the post-registration change to the PoA prepared by the DOE in accordance with the validation and verification standard.

123. The secretariat shall issue a statement of the post-registration change fee due, or confirmation that no post-registration change fee is due, determined in accordance with the provisions on the post-registration change fee contained in Appendix 1 and shall communicate it to the DOE.
124. The processes for payment of the post-registration change fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of no-payment of the post-registration change fee within a deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 45-47 above, *mutatis mutandis*. The secretariat shall publish the submitted request for post-registration change on the UNFCCC website after receiving the proof of payment of the post-registration change fee.

#### **6.4.4. Processing of request for approval of post-registration change**

125. Any post-registration changes to the PoA that may result in an increase in the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by the PoA that was previously approved by the host Party in accordance with paragraph 22(d) above shall be newly approved by the host Party. If the PoA has more than one host Party, host Party approval is required only by the Party(ies) that are relevant to the increase in the maximum annual amount of GHG emission reductions or net GHG removals resulting from the post-registration change to the PoA. For such requests for approval of post-registration changes, the secretariat shall, immediately after publishing the request on the UNFCCC website in accordance with paragraph 124 above, notify the relevant host Party(ies) of the receipt of the request for approval of post-registration changes, and request them to respond with regard to the increase in the maximum annual amount of GHG emission reductions or net GHG removals no later than 60 days of the notification or in any longer timeframe to be indicated by the host Party(ies), through the dedicated interface on the UNFCCC website by:
- (a) Approving the increase in the maximum annual amount of GHG emission reductions or net GHG removals relevant to the host Party as a result of the post-registration change to the PoA, or
  - (b) Rejecting the increase in the maximum annual amount of GHG emission reductions or net GHG removals relevant to the host Party as a result of the post-registration change to the PoA.
126. The secretariat shall, upon receipt of the response from the relevant host Party(ies), inform the activity participants and the DOE of the response and publish the response on the UNFCCC website.
127. For processing of the request for approval of post-registration change to the PoA, the provisions in section 5.1.2 above shall apply, *mutatis mutandis*.

#### **6.4.5. Requesting review of request for approval of post-registration change**

128. For requesting review of the request for approval of post-registration change to the PoA, the provisions in section 5.1.3 above shall apply, *mutatis mutandis*.

**6.4.6. Finalizing request for approval of post-registration change if there is no request for review**

129. For finalizing the request for approval of post-registration change to the PoA if no request for review is received by the secretariat within the 28-day deadline, the provisions in section 5.1.4 above shall apply, mutatis mutandis, except for the provision on the start date of the first PoA period, which is not relevant.

**6.4.7. Review of request for approval of post-registration change**

130. For a review of the request for approval of post-registration change to the PoA, the provisions in section 5.2 above shall apply, mutatis mutandis.

**6.4.8. Withdrawal of request for approval of post-registration change**

131. For a withdrawal of the request for approval of post-registration change to the PoA, the provisions in section 5.3 above shall apply, mutatis mutandis.

**6.5. Change to component projects****6.5.1. General requirements**

132. If a change has occurred or is expected to occur to an included CP, such a change (hereinafter referred to as post-registration change to included CP) shall be notified in accordance with this section to maintain the inclusion status under the Article 6.4 mechanism. The post-registration change to an included CP shall be within the scope of the following acceptable changes, and meet the associated conditions, as specified in the activity standard:
- (a) Temporary deviation from the registered monitoring plan as described in the CP-DD, applied methodologies, standardized baselines or other methodological regulatory documents;
  - (b) Permanent changes:
    - (i) Corrections that do not have material impact on the calculation of achieved GHG emission reductions or net GHG removals;
    - (ii) Changes to the start date of the crediting period.
    - (iii) Inclusion of a monitoring plan;
    - (iv) Permanent changes to the registered monitoring plan in the CP-DD, or permanent deviation of monitoring from the applied methodologies, standardized baselines, or other methodological regulatory documents;
  - (c) Changes to the project design;
  - (d) Registration under or overlap of the CP with other crediting scheme.

**6.5.2. Update of documents and validation or verification**

133. For the temporary deviation referred to in paragraph 132(a) above, the activity participants shall describe the deviation in the monitoring report in accordance with the activity standard as part of the preparation of a monitoring report in accordance with section 7.1

above for the monitoring period that covers the period when the temporary deviation occurred, to be subsequently verified by a DOE for requesting issuance for the monitoring period in accordance with sections 7.2 and 8.1 above.

134. For any of the permanent changes referred to in paragraph 132(b) above, the activity participants shall:

- (a) Revise the CP-DD, reflecting the post-registration change;
- (b) Submit the revised CP-DD and any other supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation of the post-registration change;
- (c) Revise the PoA-DD and obtain approval by the host Party and the Supervisory Body of the request for post-registration change to the PoA as per sections 6.4.4-6.4.7 above in the case of any changes to the CP that may result in exceeding the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs that may be included in the registered PoA, such as but not limited to:
  - (i) An increase of capacity leading to estimated GHG emission reductions or net GHG removals from all included CPs exceeding the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs that may be included in the registered PoA that was originally approved by the host Party;<sup>13</sup>
  - (ii) The addition of a technology/measure, leading to estimated GHG emission reductions or net GHG removals from all included CPs exceeding the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs that may be included in the PoA approved by the host Party,<sup>14</sup> or if the technology/measure does not comply with the eligible technologies/measures covered by the registered PoA.

### **6.5.3. Submission of notification of post-registration change**

135. The DOE, after validating that the post-registration change to the included CP meets all applicable requirements for post-registration changes in the activity standard by following the applicable provisions of the validation and verification standard and other applicable Article 6.4 mechanism rules and requirements, shall submit a notification of post-

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<sup>13</sup> If the increase of capacity does not lead to estimated GHG emission reductions or net GHG removals from all included CPs that exceeds the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs, activity participants shall ensure that the additionality of the CP still complies with the eligibility criteria on additionality in the registered PoA-DD.

<sup>14</sup> Post-registration changes to the project design involving the addition of a technology/measure shall not trigger a post-registration change to the programme design if the technology/measure is covered in the eligibility criteria of the registered PoA and if the addition of the technology/measure in the CP does not lead to exceeding the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CP.

registration change to the included CP prior to submitting a request for issuance of A6.4ERs for the PoA that are affected by the post-registration change.

136. A notification of post-registration change to the included CP of the permanent changes referred to in paragraph 132(b) above shall be submitted:
- (a) Any time for corrections that do not have a material impact on the calculation of achieved GHG emission reductions or net GHG removals;
  - (f) No later than the first issuance request for inclusion of a monitoring plan;
  - (g) No later than one year after the occurrence of the permanent changes to the registered monitoring plan of the included CP, permanent deviation of monitoring from the applied methodologies, standardized baselines, or other methodological regulatory documents, or the permanent change to the project design.
137. Where more than one of the changes referred to in paragraph 132 above have occurred or are expected to occur to the included CP, the DOE shall, wherever possible, combine such changes into one notification of post-registration change.
138. The DOE shall submit a notification of post-registration change to the included CP to the secretariat through a dedicated interface on the UNFCCC website, attaching:
- (a) The revised CP-DD (in both clean and track-change versions) and any supporting documentation, prepared by the activity participants in accordance with the activity standard;
  - (b) The validation report on the post-registration change prepared by the DOE in accordance with the validation and verification standard.

#### **6.5.4. Processing of notification of post-registration change**

139. The secretariat shall issue a statement of the post-registration change fee due, or confirmation that no post-registration change fee is due, determined in accordance with the provisions for the post-registration change fee contained in Appendix 1, and shall communicate it to the DOE.
140. The processes for payment of the post-registration change fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of no-payment of the post-registration change fee within a deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 45-47 above, mutatis mutandis.
141. The secretariat shall maintain a publicly available list of all submitted notifications of post-registration changes to CPs on the UNFCCC website. The secretariat shall assess the notifications of post-registration changes on a sample basis.
142. The notifications of post-registration changes to included CPs selected for assessment by the secretariat shall be further processed, finalized and withdrawn as applicable, by following the provisions in sections 5.1.2-5.3 above, mutatis mutandis. If the Supervisory Body rejects a change to a CP, the secretariat shall assess all post-registration changes of the same type to CPs that have been notified, by following the provisions in sections 5.1.2-5.3 above, mutatis mutandis.
143. A notification of post-registration change to a CP that has not been selected for assessment by the secretariat will be automatically displayed on the activity view page of

the registered A6.4 PoA on the UNFCCC website. The secretariat shall automatically notify the DOE, the activity participants and the DNA of the relevant host Party of the change to the CP.

144. If the DNA of any host Party, any other participating Party of a registered A6.4 PoA or a Supervisory Body member or alternate member identifies information that may prohibit the notified change, they shall request a review of the notification of change to the CP by notifying the Secretary of the Supervisory Body within one year of the notification of change being reflected on the web page in accordance with paragraph 143 above by submitting a completed "Component project activity inclusion review form". The review of the notification of change shall follow the provisions of section 6.2.4 above, *mutatis mutandis*.
145. The secretariat shall make the revised CP-DD and the validation report publicly available on the UNFCCC website. This version of the CP-DD shall be applied for future requests for issuance for the registered A6.4 PoA.

## **6.6. Change to modalities of communication**

### **6.6.1. General requirements**

146. If there is a change to the MoC statement, the focal points for scope (b) of the registered A6.4 PoA referred to in paragraph 32 above shall request approval of the change to the secretariat as soon as possible but no later than 90 days after the change takes place.
147. The authorized signatories or the legal representatives of the activity participants, the focal points, or the DNAs of the host Party or any other Parties participating in the A6.4 PoA may directly notify the secretariat of any issues regarding the MoC statement through a specified e-mail account made available on the mechanism registry section of the UNFCCC website. In this case, the secretariat may request additional clarifications from the notifier. The secretariat may contact any of the focal points or the activity participants of the respective registered A6.4 PoA or the liquidators/administrators in the case of insolvency, in order to request additional clarifications from these entities. The secretariat shall advise the parties involved with regard to further actions, including those referred to in section 6.6.2 below.
148. The secretariat may request a new submission of an MoC statement whenever the secretariat identifies inconsistencies or inaccuracies in the MoC statement or when inconsistencies or inaccuracies are reported to the secretariat. The secretariat may provide specific guidance for the resubmission and, in its role as the mechanism registry administrator, may, after sending a notice to the focal points and the activity participants, temporarily put on hold the forwarding of A6.4ERs if the inconsistencies or inaccuracies prevent the secretariat from establishing the focal points for scope of authority (a), pending resolution of the inconsistencies or inaccuracies.
149. The focal points for scope (b) shall request approval of the change to the modalities of communication from the secretariat through a dedicated interface on the UNFCCC website by uploading a new MoC statement using the valid version of the "Modalities of communication statement form".

150. The focal points for scope (b) or the activity participants who submit a new MoC statement in accordance with paragraph 159 below shall ensure that:
- (a) Supporting documentation, including powers of attorney, extracts from board meeting minutes, company association documentation or extracts/certificates from national company registries that cannot be verified online, is dated, or notarized within six months from the time of submission of a request for change to the MoC statement. This time limitation does not apply to copies of national personal identity documents;
  - (b) To the extent possible, changes applicable to more than one A6.4 PoA or multiple changes affecting the same PoA are consolidated in a single change request in accordance with the instructions provided in the mechanism registry section of the UNFCCC website.
151. The legal representatives signing on behalf of the focal points or the activity participants shall provide written evidence that they are authorized to sign on behalf of the respective entities. The evidence shall be submitted in accordance with paragraph 150(a) above.
152. The secretariat shall process the request for approval of changes to the MoC statement following the steps described in sections 6.6.2-6.6.4 below. Wherever specific steps are not described, the secretariat shall review the request based on compliance with the documentation requirements. In the absence of clear evidence to support a specific request, the secretariat may request additional information prior to approving or rejecting the request. In the case of a rejection, the secretariat shall provide reasons for the rejection and additional guidance as appropriate.
153. The secretariat shall make detailed guidance available on the mechanism registry section of the UNFCCC website on how to request changes to the activity participants and focal points.
154. The secretariat shall display the effective date of the new MoC statement on the activity view page of the A6.4 PoA on the UNFCCC website.

#### **6.6.2. Reported issues resulting from insolvency and/or disputes on modalities of communication**

155. In accordance with paragraph 147 above, the activity participants or focal points may notify the secretariat of any issues regarding the MoC statement, including issues resulting from insolvency and/or of disputes in relation to the MoC statement with regard to the designation or changes to the designation of focal points.
156. The secretariat may engage the DNAs of the host Parties or any other Parties participating in the respective registered A6.4 PoA whenever issues resulting from insolvency and/or disputes over the designation of focal points are communicated to the secretariat. The secretariat may provide information, subject to the confidentiality of such information, and/or administrative assistance to the DNAs, if so requested by the respective DNAs.
157. The secretariat, in its role as the mechanism registry administrator, may, after sending a notice to the focal points and the activity participants, temporarily put on hold the forwarding of A6.4ERs for the registered A6.4 PoA for which the activity participants or the focal points have communicated a case of insolvency and/or a dispute in relation to the MoC statement, pending resolution of the issues resulting from insolvency or resolution of the disputes.

158. The secretariat shall display indicative information, subject to confidentiality requirements, on the activity view page of the registered A6.4 PoA on the UNFCCC website, related to the notifications to the secretariat of issues resulting from insolvency and/or of disputes only in cases where the forwarding of A6.4ERs has been temporarily put on hold pending the resolution of the issues.

### **6.6.3. Changes of focal points**

159. The activity participants of a registered A6.4 PoA may change the designation of any of the focal points for any reason and at any time by submitting a new MoC statement duly signed by all activity participants, either through:
- (a) The focal points for scope of authority (b); or
  - (b) Any of the activity participants for changes to the MoC statement, excluding its annexes.
160. For changing the designation of focal points in accordance with paragraph 159 above, the submission shall be made as follows:
- (a) A new MoC statement for changes related to the designation of focal points, with the exception of changes affecting only contact details and authorized signatories;
  - (b) Annex 2 of the MoC statement for changes related only to contact details and authorized signatories.
161. When a focal point who is not an activity participant is added to represent the activity participants for any or all scopes of authority, the new MoC statement referred to in paragraph 160(a) above shall be supported by written evidence of:
- (a) The new focal point's corporate identity;
  - (b) The personal identity and employment status of the new focal point's authorized signatory(ies), including specimen signature(s).
162. The legal representative of a focal point for scope of authority (b) may submit annex 2 of the MoC statement if the authorized signatory(ies) of the focal point concerned is/are no longer available.
163. Any focal point of a registered A6.4 PoA may request voluntary withdrawal from its role as a focal point. Such a request shall cover all scopes of authority assumed by the focal point. The voluntary withdrawal of the focal point role shall follow the following steps:
- (a) The withdrawing focal point shall, directly or through the focal point for scope (b), submit a withdrawal request to the secretariat including:
    - (i) Annex 3 of the MoC statement;
    - (ii) Evidence of the written communication, from the withdrawing focal point to all other focal points and all activity participants, of the intention to withdraw from the role as a focal point and an invitation to designate a new focal point for the scope(s) of authority from which the focal point is withdrawing. Such written communications shall be made at least 30 days prior to the submission of the withdrawal request to the secretariat;



- (b) The secretariat shall review the completeness of the submission and, if it is found complete, approve the withdrawal of the focal point. In doing so, the secretariat may request clarification from the withdrawing focal point, or may contact any of the other focal points or the activity participants to request additional clarifications;
- (c) The secretariat shall, upon approval of the withdrawal of the focal point, publish annex 3 of the MoC statement on the UNFCCC website. The secretariat shall communicate the approval of the withdrawal of the focal point and its implications on the MoC to all remaining focal points and all activity participants of the PoA;
- (d) Approved withdrawal of the focal point shall have no effect on other focal points, with the exception of joint focal point roles that the withdrawn focal point was part of. In such cases, the remaining focal points shall continue to act in a sole or joint focal point role, as appropriate. If no focal point remains for a specific scope of authority after the withdrawal of the focal point, the secretariat shall notify the withdrawal to the remaining focal points for other scopes of authority, or to all activity participants if no focal point remains. The activity participants shall designate a new focal point for any of the scopes of authority for which no focal point remains as soon as possible in accordance with the provisions of this section to enable further engagement with the Supervisory Body and the secretariat.

#### **6.6.4. Changes of activity participants**

164. If the activity participants of a registered A6.4 PoA have changed after the registration of the PoA, the focal points for scope of authority (b) shall submit annex 2 of the MoC statement for each of the following changes:
- (a) Addition of an activity participant;
  - (b) Changes related to entity names or legal status;
  - (c) Withdrawal of an activity participant. If an activity participant has ceased operations and is unable to sign annex 2 of the MoC statement, the submission shall be accompanied by evidence of the cessation;
  - (d) Changes related only to contact details and authorized signatories;
  - (e) Addition of, or change to, the end date of participation of an activity participant of the PoA.
165. For the changes referred to in paragraph 164(a) and (b) above, the secretariat shall notify the DNA of the host Party or any other relevant Party participating in the A6.4 PoA of the requested change, and request them to respond whether to approve the change through the dedicated interface on the UNFCCC website referred to in paragraphs 21 and 26 above.
166. An activity participant added to a registered A6.4 PoA shall accept the existing MoC statement, or a new MoC statement if it is submitted simultaneously.
167. If a persistent effort to contact an activity participant has failed, the focal points for scope of authority (b) may request administrative withdrawal of the activity participant, provided

that at least one activity participant authorized by the DNA of the host Party remains. The administrative withdrawal shall follow the following steps:

- (a) The focal points for scope (b) shall submit:
    - (i) Annex 2 of the MoC statement, withdrawing the non-contactable activity participant;
    - (ii) Evidence of written communication to the non-contactable activity participant of the intention to request administrative withdrawal, including a copy of the communication to the DNA that authorized the activity participants to participate in the PoA, that has been sent at least 15 days prior to the submission of the withdrawal request to the secretariat;
  - (b) The secretariat shall review the completeness of the submission and, if it is found complete, send an e-mail to the non-contactable activity participant, with a copy to the authorizing DNA, asking whether the activity participant objects to the administrative withdrawal and requesting to respond within 30 days. In addition, the secretariat may use other communication channels to establish contact with the non-contactable activity participant;
  - (c) If the non-contactable activity participant and the authorizing DNA do not object to proceeding with the administrative withdrawal within 30 days of the electronic communication made in accordance with subparagraph (b) above, the secretariat shall mark the non-contactable activity participant as “withdrawn” on the UNFCCC website;
  - (d) If the non-contactable activity participant or the authorizing DNA objects to the administrative withdrawal within the 30-day period, the secretariat shall reject the request and may advise the focal point for scope (b) on further actions;
  - (e) The activity participants whose participation in the PoA has been administratively withdrawn may request inclusion as activity participants of the same PoA any time thereafter in accordance with paragraph 164(a) above.
168. Notwithstanding the provisions in paragraphs 167(b)-167(e) above, the activity participants of a registered A6.4 PoA may directly request, by submitting annex 2 of the MoC statement:
- (a) Their own voluntary withdrawal, provided that at least one activity participant authorized by the DNA of any of the host Parties to participate in the PoA remains;
  - (b) Changes to their own names, legal statuses or contact details;
  - (c) Withdrawal of other activity participants of the same PoA on the basis of their cessation. In this case, the submission shall be accompanied by documented evidence of the cessation;
  - (d) Administrative withdrawal of other activity participants of the same PoA who are not contactable. In this case, the submission shall be accompanied by the written evidence referred to in paragraph 167(a)(ii) above.

169. The secretariat may effect the withdrawal of an activity participant that has ceased to exist, provided that the cessation can be unambiguously confirmed through the relevant official company registrar.
170. In cases as per paragraph 164(b) above, where the change relates to the name or legal status of the activity participant, and in cases referred to in paragraph 169 above, the secretariat shall notify the DNA that had authorized the activity participant and request a confirmation as to whether to approve the change of the name or legal status of the activity participant or the withdrawal of an activity participant through the dedicated interface on the UNFCCC website.

## **7. Pre-issuance activities**

### **7.1. Preparation of monitoring report**

171. The activity participants of a registered A6.4 PoA shall, using the “Monitoring report form for PoAs”, prepare for each monitoring period and in accordance with the activity standard:
- (a) A single monitoring report for all CPs implemented in a single host Party that have been included in the PoA in a single batch (hereinafter referred to as single batch of CPs); or
  - (b) Multiple separate monitoring reports for multiple batches of CPs, provided that these batches of CPs have the same monitoring period and apply the same version of the methodology (hereinafter referred to as multiple batches of CPs). For multi-country PoAs, each of the batches of CPs shall include only CPs monitored in the same host Party.

### **7.2. Verification of emission reductions or removals**

172. The activity participants shall submit the monitoring report(s) and any other supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform verification of GHG emission reductions or net GHG removals. In this regard, the selection of the DOEs to perform the verification shall follow the requirements below:
- (a) A DOE that performed the validation for registration of the PoA shall not be selected to perform the first verification for the PoA;
  - (b) A DOE that performed the validation for renewal of the PoA period shall not be selected to perform the first verification for the PoA after the renewal of the PoA period;
  - (c) A DOE that performed the validation for inclusion of a CP shall not be selected to perform the first verification of the request for issuance that involves the CP;
  - (d) A DOE that performed the validation for renewal of the crediting period of a CP shall not be selected to perform the first verification of a request for issuance that involves the CP after the renewal of the crediting period of the CP.
173. The DOE shall (i) perform verification of whether the implementation of the CPs, and the monitoring and calculation of GHG emission reductions or net GHG removals comply with the relevant requirements in the activity standard and any other applicable Article 6.4

mechanism rules and requirements based on the information provided in the monitoring report(s) and any supporting documentation it has received from the activity participants as well as further information obtained during the verification activity; and (ii) prepare a single verification and certification report for a single batch of CPs or one verification and certification report for each of multiple batches of CPs, in accordance with the validation and verification standard, using the “Verification and certification report form for PoAs”. The DOE shall verify and certify for the entire monitoring period covered by the monitoring report.

174. If the DOE or activity participants identify that the sum of the amount of GHG emission reductions or net GHG removals requested for issuance and the cumulative amount of GHG emission reductions or net GHG removals issued for the PoA would exceed the maximum annual amount of GHG emission reductions or net GHG removals approved by the host Party under paragraph 22(d) above, a post-registration change to the PoA, to increase the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by the PoA shall be approved by the Supervisory Body prior to proceeding with the request for issuance.
175. For the purpose of the possible selection of the verification activity for the performance assessment of the DOE in accordance with the “**Procedure:** Article 6.4 accreditation procedure”, the DOE shall notify the secretariat, through a dedicated interface on the UNFCCC website, of the timing of the site inspection of the CPs included in the batch of the request for issuance, which is to be conducted in accordance with the validation and verification standard, no later than four weeks prior to the inspection.

## **8. Issuance of Article 6.4 emission reductions**

### **8.1. Request for issuance**

#### **8.1.1. Submission of request for issuance**

176. The DOE, after verifying that GHG emission reductions or net GHG removals achieved by the registered A6.4 PoA during the monitoring period covered by the monitoring report were determined in accordance with all applicable requirements for implementation and monitoring in the activity standard and any other applicable Article 6.4 mechanism rules and requirements, and certifying the quantity of A6.4ERs that may be requested for issuance, shall submit a request for issuance of A6.4ERs to the secretariat through a dedicated interface on the UNFCCC website, including the reference to the notification of the timing of the site inspection made in accordance with paragraph 175 above and attaching:
- (a) The monitoring report and any supporting documentation prepared by the activity participants in accordance with paragraph 171 above and verified by the DOE in accordance with paragraph 173 above;
  - (b) The verification and certification report prepared by the DOE in accordance with paragraph 173 above.;
  - ~~(c) The request for distribution of A6.4ERs upon their issuance, specifying the receiving accounts and the proportion of A6.4ERs for each distribution.~~

177. Requests for issuance for a registered A6.4 PoA shall be submitted in chronological order in terms of monitoring periods covered by separate monitoring reports and shall not have a gap period between any two successive monitoring periods.
178. A request for issuance for a registered A6.4 PoA for a monitoring period may be separated into multiple requests for issuance, each of which is based on different monitoring reports covering mutually exclusive batches of CPs and for the same monitoring period prepared in accordance with the activity standard. In this case, a request for issuance for a batch of CPs for a subsequent monitoring period can only be submitted after the requests for issuance for all batches of CPs for the previous monitoring period have been submitted. Compositions of CPs in multiple batches may be changed for different monitoring periods.
179. Each request for issuance shall indicate the verified and certified GHG emission reductions or net GHG removals achieved by each CP for each vintage year when they have occurred.
180. Requests for issuance for GHG emission reductions or net GHG removals occurring in a crediting period of a CP shall be submitted within two years after the end of that crediting period of the CP, at the latest.<sup>15</sup> If a submission misses this deadline, A6.4ERs shall no longer be issued for the CP for that crediting period.
181. Once the documents referred to in paragraph 176 above are uploaded, the secretariat shall, through the dedicated interface on the UNFCCC website, automatically check whether the amount of GHG emission reductions or net GHG removals claimed in the request for issuance will result in the total annual amount of GHG emission reductions or net GHG removals for the registered PoA being within the maximum annual amount approved by the host Party in accordance with paragraph 22(d) or 125(a) above. If the total annual amount exceeds the maximum annual amount approved by the host Party, the dedicated interface shall automatically block the processing of the uploaded documents, otherwise, the secretariat shall issue a statement of the issuance fee due (or confirmation that no issuance fee is due), determined in accordance with the provisions on the issuance fee contained in Appendix 1, and communicate it to the DOE.
182. The activity participants shall pay the issuance fee by bank transfer, quoting the unique PoA reference number referred to in paragraph 15 above, within one year of the issuance to the DOE of the statement of the issuance fee due.
183. The DOE shall submit a proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC website.
184. If the secretariat does not receive the deposit of the issuance fee by the one-year deadline referred to in paragraph 182 above, the request for issuance shall be deemed withdrawn. The same or a different DOE may submit a new request for issuance for the monitoring period covered by the withdrawn request for issuance anytime thereafter, following the applicable Article 6.4 mechanism rules and requirements valid at the time of the new submission.
185. If the DOE submits a request for approval of a post-registration change to the PoA together with the request for issuance in accordance with paragraph 118 above, it shall also submit

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<sup>15</sup> The Supervisory Body may set a different deadline for removal projects in the future.

the documentation and information listed in paragraph 122 above in addition to those referred to in paragraph 176 above.

#### **8.1.2. Processing of request for issuance**

186. The secretariat shall maintain on the UNFCCC website a publicly available list of all submitted requests for issuance for which the applicable issuance fee has been received by the secretariat or for which no issuance fee is due. The secretariat shall make publicly available the schedule and the status of processing of each request for issuance. The secretariat shall schedule the commencement of the processing of requests for issuance in accordance with the secretariat's operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Supervisory Body.
187. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to guidance from the Supervisory Body, conduct within seven days a completeness check to determine whether the request for issuance submission is complete in accordance with the completeness check checklist for requests for issuance.
188. If the secretariat, during the completeness check, identifies an editorial or consistency issues in the submission, it shall request the DOE by e-mail, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request for issuance submission is incomplete unless the DOE provides a justification, by this deadline, for not being able to submit the requested documents and/or information in time. In this case, the deadline shall be extended accordingly.
189. Upon conclusion of the completeness check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the activity participants and the DOE and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for issuance with revised documentation. If the resubmission of the request for issuance is made within 28 days of the notification, the secretariat shall promptly commence the completeness check again, otherwise the resubmission shall be treated as a new submission of a request for issuance.
190. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to guidance from the Supervisory Body, conduct within 21 days a substantive check in accordance with the substantive checklist for requests for issuance.
191. If the secretariat, during the substantive check, identifies issues of a substantive nature or missing basic information, it shall request the DOE by e-mail, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete unless the DOE provides a justification, by this deadline, for not being able to submit the

requested documents and/or information in time. In this case, the deadline shall be extended accordingly.

192. Upon conclusion of the substantive check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the substantive check stage. If the request for issuance submission for which the secretariat conducted a substantive check does not meet the requirements of the substantive check, the secretariat shall conclude that the request for issuance submission is incomplete and communicate the underlying reasons to the activity participants and the DOE and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for issuance with revised documentation. If the resubmission of the request for issuance is made within 28 days of the notification, the secretariat shall promptly commence the substantive check again, otherwise the resubmission shall be treated as a new submission of a request for issuance.
193. Upon positive conclusion of the substantive check stage, the secretariat shall publish the request for issuance on the UNFCCC website, and the request for issuance shall be deemed received by the Supervisory Body for consideration.
194. The secretariat shall notify the activity participants, the DNAs of the host Party(ies) and other participating Parties, and the DOE: that the Supervisory Body has received the request for issuance for its consideration; that the secretariat has published the request for issuance on the UNFCCC website; and of the last day by which members and alternate members of the Supervisory Body and the host Party and other participating Parties may request a review of the request for issuance, as referred to in paragraph 196 below.
195. The secretariat shall, subject to guidance from the Supervisory Body, prepare and send to the Supervisory Body a summary note on the request for issuance within 14 days of the date of publication of the request for issuance.

#### **8.1.3. Requesting review of request for issuance**

196. Any host Party and any other participating Party of the registered A6.4 PoA, and any member or alternate member of the Supervisory Body, may request a review of the request for issuance within 28 days of the date of publication of the request for issuance. If a host Party or other participating Party wishes to request a review, its DNA shall submit the request through a dedicated interface on the UNFCCC website. If a member or an alternate member of the Supervisory Body wishes to request a review, they shall submit the request through a dedicated interface on the UNFCCC website.
197. The secretariat shall acknowledge receipt of a request for review and promptly notify the Supervisory Body. A request for review shall not be recognized if it is received after 24:00 (Central European Time/Central European Summer Time) on the last day of the 28-day period following the publication of the request for issuance.
198. A request for review shall provide, inter alia, the reasons for the request for review based on the activity standard, the validation and verification standard, or any other applicable Article 6.4 mechanism rules and requirements.

#### **8.1.4. Finalizing request for issuance if there is no request for review**

199. If the secretariat does not receive a request for review from any host Party, any other participating Party, or any member or alternate member of the Supervisory Body in

accordance with the modalities described in section 8.1.3 above, the request for issuance shall be deemed approved by the Supervisory Body.

200. Eligible stakeholders, activity participants or Parties may, in accordance with the appeal and grievance procedure, file an appeal to the decision of the Supervisory Body to approve the request for issuance within 14 days of the request for issuance having been deemed approved. If no appeal is deemed received from an eligible stakeholder, activity participant or Party within this time frame, the step referred to in paragraph 203 below shall be followed. If an appeal is deemed received from an eligible stakeholder, activity participant or Party within this time frame, the appeal and grievance procedure shall be followed.
201. The secretariat shall inform the activity participants of the Supervisory Body's instruction to the Article 6.4 mechanism registry administrator and update the status of the request for issuance on the UNFCCC website accordingly.
202. If, as a result of the substantive check of the request for issuance, the quantity of A6.4ERs to be issued changed from that in the initial request for issuance, the activity participants or the secretariat shall settle the difference in the issuance fees in accordance with 0. If an additional issuance fee is due, the mechanism registry administrator shall issue A6.4ERs upon receipt, by the secretariat, of the additional issuance fee.
203. The mechanism registry administrator shall issue the specified quantity of A6.4ERs into the pending account in the mechanism registry, assigning their authorization status in line with the authorization statement on the use of the A6.4ERs provided by the host Party as per paragraph 24 above.
204. The mechanism registry administrator shall distribute the A6.4ERs in accordance with the request for distribution of A6.4ERs and provided by activity participants in accordance with the "Procedure: Article 6.4 mechanism registry procedure". ~~If the activity participants wish to change the receiving accounts and/or the proportion of A6.4ERs in each distribution, the DOE shall submit a revised request for distribution before the last day of the 28-day period following the publication of the request for issuance.~~

## **8.2. Review of request for issuance**

### **8.2.1. Commencement of review**

205. If any host Party, any other participating Party, or any member or alternate member of the Supervisory Body, requests a review of the request for issuance, the secretariat shall:
  - (a) Notify the activity participants and the DOE that the request for issuance has been placed under review;
  - (b) Mark the request for issuance as "under review" on the UNFCCC website and make publicly available an anonymous version of each request for review;
  - (c) Establish an expert review team comprising two external experts selected from the roster of experts referred to in paragraph 65(c) above to conduct an assessment of the request for review. The secretariat shall appoint one of the team members to serve as the lead, who shall be responsible for all communications with the secretariat and delivery of an assessment report.
206. The DOE or the activity participants may request the secretariat, by e-mail through a dedicated e-mail address, to make a call to them to provide clarification on the issues



identified. Only one such request, regardless of the requesting party, shall be allowed per review of the request for issuance. In this case, the DOE or the activity participants shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.

207. The activity participants and the DOE shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request for issuance having been placed under review.
208. For each issue (or sub-issue) raised in the request for review, the activity participants and the DOE shall either:
- (a) Respond by making any revisions that they deem necessary to the monitoring report, its supporting documentation (e.g. spreadsheets), verification report, and/or certification report to ensure, inter alia, that all facts are clearly stated and sufficiently verified; or
  - (b) Respond in writing by explaining why no revisions to the monitoring report, its supporting documentation, verification report, and/or certification report are necessary.
209. The date of commencement of the review shall be the date when the secretariat notifies the activity participants and the DOE that the review has commenced.

#### **8.2.2. Assessment**

210. The expert review team established in accordance with paragraph 205(c) above shall conduct an assessment of the request for issuance in the context of the reasons for the request for review provided by the requesting party and the applicable Article 6.4 mechanism rules and requirements, taking into account the responses from the activity participants and the DOE, and prepare an assessment report including a proposed decision within 14 days of the commencement of the review. A proposed decision shall suggest that either:

- (a) A6.4ERs be issued; or

The request for issuance be rejected.

211. If the proposed decision is to reject the request for issuance, the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
212. In addition, the expert review team shall, in its assessment report, highlight any issues of significance related to the policies and goals of the Article 6.4 mechanism arising from the assessment. The secretariat, in consultation with the Chair of the Supervisory Body, shall

bring these issues to the attention of the Supervisory Body by preparing background notes and policy options and presenting them to the Supervisory Body at its meetings.

213. The expert review team shall submit its assessment report to the Supervisory Body through the secretariat.
214. The secretariat shall make the assessment report available to the Supervisory Body, together with any responses from the activity participants and the DOE, and any revision to the monitoring report, its supporting documentation, verification report and/or certification report.

### 8.2.3. Consideration by the Supervisory Body

215. The Supervisory Body shall, at its meeting, taking into account the assessment report prepared by the expert review team and the summary note prepared by the secretariat, decide either to:
  - (a) Issue A6.4ERs; or
  - (b) Reject the request for issuance.
216. Eligible stakeholders, activity participants and Parties may, in accordance with the appeal and grievance procedure, file an appeal to the decision of the Supervisory Body within 14 days of the decision. If no appeal is deemed received from an eligible stakeholder, activity participant or Party within this time frame, the process contained in section 8.2.4 below shall be followed. If an appeal is deemed received from an eligible stakeholder, activity participant or Party within this time frame, the appeal and grievance procedure shall be followed.

### 8.2.4. Finalization and implementation of ruling

217. If the Supervisory Body's final decision made in accordance with paragraph 215 above is to issue A6.4ERs, the mechanism registry administrator shall issue the specified quantity of A6.4ERs into the pending account in the mechanism registry.
218. The secretariat shall inform the activity participants of the issuance of A6.4ERs into the pending account in the mechanism registry and update the status of the request for issuance on the UNFCCC website accordingly.
219. If, as a result of the substantive check by the secretariat or the review by the Supervisory Body of the request for issuance, the quantity of A6.4ERs to be issued changed from that in the initial request for issuance, the activity participants or the secretariat shall settle the difference in the issuance fees in accordance with Appendix 1. If an additional issuance fee is due, the mechanism registry administrator shall issue A6.4ERs upon receipt by the secretariat of the additional issuance fee.
- 219<sub>bis</sub>. The mechanism registry administrator shall issue the specified quantity of A6.4ERs into the pending account in the mechanism registry, assigning their authorization status in line with the authorization statement on the use of the A6.4ERs provided by the host Party as per paragraph 24 above.
220. The mechanism registry administrator shall distribute the A6.4ERs in accordance with the request for distribution of A6.4ERs and provided by activity participants in accordance with the "Procedure: Article 6.4 mechanism registry procedure". If the activity participants wish

~~to change the receiving accounts and/or the proportion of A6.4ERs for each distribution, the DOE shall submit a revised request for distribution before the Supervisory Body decides on the request for issuance in accordance with paragraph 215 above.~~

221. If the Supervisory Body's final decision made in accordance with paragraph 215 above is to reject the request for issuance, the secretariat shall update the information on the UNFCCC website accordingly on the first working day subsequent to the final decision. Furthermore, within 21 days of the final decision, the secretariat shall provide the Chair of the Supervisory Body with an information note containing a proposed ruling incorporating the final decision.
222. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision of rejection, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
223. Once approved by the Chair of the Supervisory Body, the secretariat shall immediately make the proposed ruling available to the Supervisory Body. The proposed ruling shall become the final ruling of the Supervisory Body 10 days after the date when the proposed ruling was made available to the Supervisory Body, unless a member or alternate member of the Supervisory Body objects to the proposed ruling.
224. An objection by a member or alternate member of the Supervisory Body shall be made by notifying the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
- 224<sup>bis</sup>.** If a member of the Supervisory Body objects to the proposed ruling more than 14 days prior to the next Supervisory Body meeting, the case shall be placed on the agenda of the next Supervisory Body meeting; otherwise, it shall be placed on the agenda of the subsequent Supervisory Body meeting.
225. At the Supervisory Body meeting for which the case is placed on the agenda, the Supervisory Body shall finalize the ruling.
226. The secretariat shall publish a ruling note on the UNFCCC website no later than three days after the ruling is finalized.
227. If the request for issuance is rejected by the Supervisory Body, the same or a different DOE may resubmit the request for issuance with revised documentation, addressing the issues that constitute the reason for the rejection by the Supervisory Body. Upon

submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.

### **8.3. Withdrawal of request for issuance**

#### **8.3.1. Submission of request for withdrawal**

228. For the following cases, the DOE shall submit a request for withdrawal of a request for issuance to the secretariat through a dedicated interface on the UNFCCC website:

- (a) The activity participants voluntarily wish that the request for issuance be withdrawn;<sup>16</sup>
- (b) The DOE has revised its verification report and/or certification report based on new insights or information.

#### **8.3.2. Processing of request for withdrawal**

229. Upon receipt of the request for withdrawal of a request for issuance, the secretariat shall check the information provided as soon as possible and, if the request is complete, reimburse the issuance fee if applicable in accordance with Appendix 1 and update the information on the activity view page of the relevant registered A6.4 PoA on the UNFCCC website. If the DOE requests the withdrawal after the publication of the request for issuance in accordance with paragraph 193 above, the request for issuance shall be marked as “withdrawn”. The same or a different DOE may resubmit the request for issuance at any time.

230. If the activity participants wish to change the monitoring period covered by the monitoring report contained in the withdrawn request for issuance, and if the final date of the changed monitoring period is after the date when the DOE conducted an on-site inspection, the same or different DOE shall undertake an additional on-site inspection; or decide whether an on-site inspection is necessary in order to duly perform its verification by following the applicable provisions of the validation and verification standard. After the verification, the DOE may submit a request for issuance for the changed monitoring period as a new submission.

### **8.4. Post-issuance authorization of the use of A6.4ERs**

230<sup>bis</sup>. The host Party may authorize, for use towards achievement of NDCs and/or for other international mitigation purposes as defined in decision 2/CMA.3, annex, paragraph 1(d) and (f), mitigation contribution A6.4ERs already issued, by providing to the Supervisory Body, through a dedicated interface on the UNFCCC website, a statement or a revised statement of authorization no later than 31 December of the year prior to the submission of the biennial transparency report referred to in decision 2/CMA.3, annex, paragraph 12, for the NDC period in which the emission reductions or net removals associated with the A6.4ERs occurred.

230<sup>ter</sup>. The host Party may authorize, for use towards achievement of NDCs and/or for other international mitigation purposes, as defined in decision 2/CMA.3, annex, paragraph 1(d) and (f), mitigation contribution A6.4ERs already issued only prior to any transfer of the mitigation contribution A6.4ERs in or out of the mechanism registry and provided they are

<sup>16</sup> In such cases, the DOE shall process the request expeditiously.

still held in the holding accounts of the activity participants and participating Parties involved and in the adaptation account held by the Adaptation Fund.

230<sub>quater</sub>. After receiving the statement or a revised statement of authorization submitted by the host Party, the secretariat shall make the statement or the revised statement publicly available on the UNFCCC website and inform the participating Parties and the activity participants.

230<sub>quinquies</sub>. The mechanism registry administrator shall check to confirm that the conditions related to the mitigation contribution A6.4ERs referred to in paragraph 230<sub>ter</sub> above are satisfied.

230<sub>sexies</sub>. If it is confirmed that the conditions related to the mitigation contribution A6.4ERs status change are satisfied, the mechanism registry administrator shall:

(a) Track and change the authorization status of the issued mitigation contribution A6.4ERs to authorized A6.4ERs in the holding account of the activity participants and participating Parties involved for which the change to the authorization status applies to authorized A6.4ERs;

(b) Track and change the authorization status of the 5 per cent of the issued mitigation contribution A6.4ERs to authorized A6.4ERs that were forwarded to the share of proceeds for adaptation account held by the Adaptation Fund and change the type of the transfer to distinguish it as first transfer;

(c) Track and change the status of the transfer of the 2 per cent of the issued mitigation contribution A6.4ERs to deliver OMGE to distinguish it as first transfer;

(d) Send a notification to the host Party that provided the statement or revised statement of authorization about the completion of the status change, together with a reminder to the host Party to apply corresponding adjustments regarding the A6.4ERs for which the authorization status has been changed as if the authorization had been provided no later than at the time of issuance;

(e) Make the change to the authorization status publicly available on the UNFCCC website.

230<sub>septies</sub>. The mechanism registry administrator shall undertake the changes of the authorization status as per paragraph 230<sub>sexies</sub> following the operational provisions pursuant to "Procedure: Article 6.4 mechanism registry", provided that the respective A6.4ERs are still held in the relevant mechanism registry accounts as per paragraph 230<sub>ter</sub>.

## 9. Renewal of programme of activities and component projects

### 9.1. General requirements

231. A crediting period is defined only at the CP level, for each CP individually. A registered A6.4 PoA, as the framework, is to be renewed every five years (every 15 years for a PoA involving removals) for a maximum of three times, that is, a maximum of 20 years in total (a maximum of 60 years in total for a PoA involving removals), by updating the PoA-DD in accordance with the activity standard.

232. If the host Party provided an approval of renewal of the PoA period and the renewal of the crediting period of CPs at the registration of the A6.4 PoA in accordance with paragraph 22(b) above, the PoA period and the crediting periods of CPs may be renewed in accordance with this section.
233. For the purpose of renewal of the PoA period, it is not necessary to obtain a new approval from the host Party(ies) and new authorization of activity participants from the host Party(ies) and other participating Parties.
234. The new PoA period shall start on the day immediately after the expiration of the current PoA period regardless of the date when the renewal of the PoA period is approved by the Supervisory Body. If the PoA period is deemed renewed after the start of the next PoA period, the activity participants shall not include new CPs or renew the crediting periods of existing CPs from the first day of the next PoA period until the last day before the PoA period is deemed renewed.
235. The new crediting period of a CP shall start on the day immediately after the expiration of the current crediting period of the CP regardless of the date when the renewal of the crediting period of the CP is deemed complete.
236. If the date when the renewal of the crediting period of a CP is deemed complete is after the expiration of the current crediting period, and due to this delay or for any other reasons, the monitoring temporarily does not comply with the monitoring plan in the updated CP-DD, the activity participants may opt for a temporary deviation from the registered monitoring plan of the CP in accordance with the process for post-registration changes contained in section 6.5 above.

## **9.2. Request for renewal of programme of activities period**

### **9.2.1. Update of programme of activities design document**

237. For renewal of the PoA period, the activity participants shall update the PoA-DD by preparing a new version of the PoA-DD in accordance with the activity standard. In doing so, the activity participants shall ensure that any changes to the list of activity participants in the PoA-DD have been communicated to the secretariat in accordance with section 6.6 above.
238. If the new version of the PoA-DD cannot apply the methodologies or methodological tools applied in the registered PoA-DD because the registered A6.4 PoA does not meet the applicability conditions of the valid version of the methodologies or methodological tools at the time of the submission of the request for renewal of the PoA period, the activity participants shall select other applicable methodologies or submit a request for clarification, through the DOE, on a deviation from the selected methodologies or methodological tools for the purpose of the renewal of the PoA period in accordance with the "Procedure: Development, revision and clarification of methodologies and methodological tools".

### **9.2.2. Validation of an updated programme of activities design document**

239. The activity participants shall submit the new version of the PoA-DD to any DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation for renewal of the PoA period.

240. The DOE shall perform validation of whether the updated programme design complies with the relevant requirements in the activity standard and any other applicable Article 6.4 mechanism rules and requirements based on the information provided in the new version of the PoA-DD and any supporting documentation it has received from the activity participants as well as further information obtained during the validation activity, and prepare a validation report, in accordance with the validation and verification standard, using the “Validation report form for renewal of PoAs”.
241. For the purpose of possible selection of the validation activity for performance assessment of the DOE in accordance with the “**Procedure:** Article 6.4 accreditation-~~procedure~~”, the DOE shall notify the secretariat, through a dedicated interface on the UNFCCC website, of the timing of the site inspection of the A6.4 PoA, which is to be conducted in accordance with the validation and verification standard, no later than four weeks prior to the inspection.

### **9.2.3. Submission of request for renewal of programme of activities period**

242. The DOE shall, after validating that the programme design updated for renewal of the PoA period and described in the new version of the PoA-DD meets all applicable requirements for renewal of the PoA period in the activity standard and any other applicable Article 6.4 mechanism rules and requirements, submit a request for renewal of the PoA period to the secretariat through a dedicated interface on the UNFCCC website, including the reference to the notification of the timing of the site inspection made in accordance with paragraph 241 above and attaching:
- (a) The new version of the PoA-DD prepared by the activity participants in accordance with paragraphs 237-238 above and validated by the DOE in accordance with paragraph 240 above;
  - (b) The validation report prepared by the DOE in accordance with paragraph 240 above.
243. Submission of a request for renewal of the PoA period shall be made no earlier than 270 days prior to, but no later than one year after, the expiry of the PoA period. If a submission misses this deadline, the PoA period may no longer be renewed. The secretariat, through the Article 6.4 mechanism information system, shall send a reminder to the activity participants 270 days prior to the expiry of the PoA period, including information on the consequences of missing the deadline.
244. Notwithstanding the provision in paragraph 243 above, for the PoAs that transitioned from the clean development mechanism (CDM) to the Article 6.4 mechanism in accordance with the “Procedure for transition of CDM activities to the Article 6.4 mechanism”, if the PoA period ended or will end after 31 December 2020, submission of a request for renewal of the PoA period shall be made no later than one year after the approval by the Supervisory Body of the transition to the Article 6.4 mechanism.
245. The secretariat shall issue a statement of the renewal fee due, or confirmation that no renewal fee is due, determined in accordance with the provisions on the renewal fee contained in Appendix 1, and shall communicate it to the DOE. The processes for payment of the PoA renewal fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of no-payment of the CP inclusion fee within a deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 45-47 above, *mutatis mutandis*.

#### **9.2.4. Processing of request for renewal of programme of activities period**

246. For processing of the request for renewal of the PoA period, the provisions in section 5.1.2 above shall apply, mutatis mutandis.

#### **9.2.5. Requesting a review of request for renewal of programme of activities period**

247. For requesting a review of the request for renewal of the PoA period, the provisions in section 5.1.3 above shall apply, mutatis mutandis.

#### **9.2.6. Finalizing the request for renewal of programme of activities period if there is no request for review**

248. For finalizing the request for renewal of the PoA period if no request for review is received by the secretariat within the 28-day deadline, the provisions in section 5.1.4 above shall apply mutatis mutandis, except for the start of the new PoA period, which shall be the next day of the end of the previous PoA period irrespective of the date when the renewal of the PoA period is approved by the Supervisory Body in accordance with paragraph 234 above.

#### **9.2.7. Review of request for renewal of programme of activities period**

249. For a review of the request for renewal of the PoA period, the provisions in section 5.2 above shall apply, mutatis mutandis.

#### **9.2.8. Withdrawal of request for renewal of programme of activities period**

250. For a withdrawal of a request for renewal of the PoA period, the provisions in section 5.3 above shall apply, mutatis mutandis.

### **9.3. Notification of renewal of crediting period of a component project**

#### **9.3.1. Update of component project design document**

251. For the renewal of the crediting period of a CP, the activity participants shall update the CP-DD by preparing a new version of the CP-DD in accordance with the activity standard.
252. If the activity participants plan to make, or have made, a post-registration change to the project design effective from the start date of the new crediting period of the CP, they shall clearly indicate the post-registration change in the new version of the CP-DD, distinguishing it from other updates of information due to the renewal of the crediting period of the CP.
253. If a post-registration change becomes effective prior to or after the renewal of the crediting period of a CP, such a post-registration change shall not be included in the notification of renewal of the crediting period of the CP, but shall be a separate notification in accordance with section 6.5 above before or after the submission of the notification of renewal of the crediting period of the CP, respectively.

#### **9.3.2. Validation of the updated component project design document**

254. The activity participants shall submit the new version of the CP-DD to any DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation for renewal of the crediting period of the CP.



255. The DOE shall perform validation of whether the updated project design complies with the relevant requirements in the activity standard and any other applicable Article 6.4 mechanism rules and requirements based on the information provided in the new version of the CP-DD and any supporting documentation it has received from the activity participants as well as further information obtained during the validation activity, and prepare a validation report, in accordance with the validation and verification standard, using the “Validation report form for renewal of the crediting period for CPs”.

### **9.3.3. Notification of renewal of crediting period of a component project**

256. If the DOE confirms that the updated project design complies with the requirements for renewal of the crediting period of CPs as referred to in paragraph 255 above, it shall notify the renewal of the crediting period of the CP by uploading the updated CP-DD through a dedicated interface on the UNFCCC website together with the “Component project renewal form” and the validation report.
257. The secretariat shall issue a statement of the renewal fee due, or confirmation that no renewal fee is due, determined in accordance with the provisions on the renewal fee contained in Appendix 1, and shall communicate it to the DOE.
258. The processes for payment of the renewal fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of non-payment of the renewal fee within a deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 45-47 above, *mutatis mutandis*. If the secretariat does not receive the deposit of the renewal fee by the one-year deadline, the crediting period of the CP may no longer be renewed due to the condition referred to in paragraph 260 below.
259. The crediting period of the CP will be renewed and displayed on the activity view page of that PoA on the UNFCCC website after the processing of the renewal fee. The secretariat shall automatically notify the DOE, the activity participants and the DNA of the host Party of the renewal of the crediting period of the CP and the change in status of the PoA, and shall assess, on a sample basis, the renewals of the crediting periods of the CPs in accordance with the process referred to in sections 5.1.2-5.3 above, *mutatis mutandis*.
260. Submission of a notification of renewal of the crediting period of a CP shall be made no earlier than 270 days prior to, but no later than one year after, the expiry of the crediting period of the CP. If a submission misses this deadline, the crediting period of the CP may no longer be renewed. The secretariat, through the Article 6.4 mechanism information system, shall send a reminder to the activity participants 270 days prior to the expiry of the crediting period of the CP, including information on the consequences of missing the deadline.
261. Notwithstanding the provision in paragraph 260 above, for the CPs that transitioned from the CDM to the Article 6.4 mechanism in accordance with the “Procedure for transition of CDM activities to the Article 6.4 mechanism”, if the crediting period ended or will end after 31 December 2020, submissions of notifications of renewal of the crediting periods of the CPs shall be made no later than one year after the approval by the Supervisory Body of the transition to the Article 6.4 mechanism.
262. For the review of an erroneous renewal of crediting period of a CP, the provisions in section 6.2.4 above shall apply, *mutatis mutandis*.

## **10. Voluntary exclusion of component projects from a registered programme of activities**

### **10.1. Submission of request for voluntary exclusion**

263. The activity participants of a registered A6.4 PoA may submit, through the focal point for scope (c) referred to in paragraph 32 above, a request for voluntary exclusion of an included CP from a registered A6.4 PoA to the secretariat through a dedicated interface on the UNFCCC website, attaching written agreement of all implementers of the CP to the voluntary exclusion using the “Component project voluntary exclusion form”.

### **10.2. Processing of request for voluntary exclusion**

264. The secretariat shall, as soon as possible, and in any case striving to do so within five days of receipt of the request for voluntary exclusion of an included CP, conduct a completeness check of the request and attached written no-objections from all implementers of the CP.
265. If the secretariat, during the completeness check, identifies missing information, it shall request the activity participants to revise the request and/or submit revised written no-objections, providing the missing information. In this case, the activity participants shall revise the request and/or submit revised written no-objections through the dedicated interface on the UNFCCC website. Upon receipt of the complete request and written no-objections, the secretariat shall resume processing the request.
266. Upon conclusion of the completeness check, the secretariat shall notify the activity participants of the conclusion of the completeness check and publish the request for voluntary exclusion on the UNFCCC website. The request for voluntary exclusion shall be deemed received by the Supervisory Body.
267. The secretariat shall promptly inform the Supervisory Body of the receipt of the request for voluntary exclusion and mark the CP as “excluded” on the UNFCCC website.
268. The secretariat shall inform the host Party(ies) and other participating Parties of the PoA of the voluntary exclusion of the CP.

### **10.3. Effects of voluntary exclusion**

269. The effective date of exclusion shall be the date when the secretariat received a complete submission of the request for voluntary exclusion.
270. A DOE may submit a request for issuance of A6.4ERs in accordance with section 8.1.1 above for the monitoring report covering the excluded CP for the period prior to the effective date of exclusion.
271. A DOE shall not make any request for issuance for the monitoring report that covers the excluded CP for the monitoring period, including any date that is on or after the effective date of exclusion. The mechanism registry administrator shall not issue A6.4ERs for the excluded CP for the period from the effective date of exclusion.
272. A CP that has been excluded from a registered A6.4 PoA may be registered as an A6.4 project under the Article 6.4 mechanism or included in another registered A6.4 PoA, provided that its crediting period is limited to the crediting period under the original PoA.

273. The CP inclusion fee shall not be reimbursed for an excluded CP.

## **11. Withdrawal of approval of a programme of activities, or authorization of activity participant, or authorization of A6.4ERs**

### **11.1. Withdrawal of approval of project or authorized activity participant**

#### **11.1.1. Submission of withdrawal notification**

274. A host Party of a proposed or registered A6.4 PoA may, through its DNA, submit a notification to the secretariat to withdraw approval of the PoA or the authorization of any of the activity participants, made in accordance with paragraphs 21-22 above, at any time through a dedicated interface on the UNFCCC website, providing the following information:

- (a) The PoA title and its unique UNFCCC reference number;
- (b) The type of withdrawal (withdrawal of approval of the PoA or withdrawal of authorization of activity participants);
- (c) The names of the activity participants to whom the withdrawal of authorization applies (applicable if the withdrawal only relates to the authorization of activity participants);
- (d) The effective date of the withdrawal, which shall be at least 60 days after the date of notification of the withdrawal unless the host Party specifies an earlier date with justification;
- (e) The reason(s) for the withdrawal.

275. Other participating Parties may, through their DNAs, withdraw the authorization of the activity participants made in accordance with paragraph 26 above, at any time through the dedicated interface on the UNFCCC website, providing the information listed in paragraph 274(a)-(e) above.

276. Upon receipt of the withdrawal notification, the secretariat shall promptly inform the affected activity participants of the notification and check whether the information provided is complete. If found incomplete, the secretariat shall request the DNAs of the Parties submitting the withdrawal to provide the missing information.

277. The secretariat shall publish the withdrawal of the approval of the PoA and/or the authorization of activity participants on the UNFCCC website on the effective date of withdrawal.

278. If any of the host Parties withdraws the approval of the PoA:

- (a) If the effective date of the withdrawal is before the submission by a DOE of a request for registration of the PoA in accordance with paragraph 41 above, such a request may not be submitted;

- (b) If the effective date of the withdrawal is after the submission by a DOE of a request for registration of the PoA but before the final decision of the Supervisory Body on the request, the request shall be removed from processing;
- (c) If the effective date of the withdrawal is after the final decision of the Supervisory Body to register the PoA, the modalities contained in paragraph 279 below shall apply.

#### **11.1.2. Impact of withdrawal of approval of PoA or authorized activity participant**

279. For a registered A6.4 PoA from which any of the host Parties withdrew its approval, requests for issuance for GHG emission reductions or net GHG removals achieved by the PoA in the period prior to the effective date of the withdrawal may continue to be submitted until the date referred to in paragraph 180 above and consequently A6.4ERs may be issued in accordance with sections 7 and 8 above. In this case, requests for issuance shall not cover a monitoring period from the effective date of the withdrawal of the approval of the PoA.
280. For a registered A6.4 PoA from which any of the host Parties did not withdraw its approval, but any of the host Parties or other participating Parties withdrew the authorization of one or more activity participants, requests for issuance for GHG emission reductions or net GHG removals achieved by the PoA may continue to be submitted until the date referred to in paragraph 180 above and consequently A6.4ERs may be issued in accordance with sections 7 and 8 above, as long as one activity participant authorized by the host Party remains. For the purpose of requests for issuance and distribution of A6.4ERs, the activity participants whose authorization was withdrawn shall be treated as if they were still activity participants of the PoA for the monitoring period prior to the effective date of the withdrawal of the authorization.

### **11.2. Withdrawal of authorization of A6.4ERs**

#### **11.2.1. Submission of withdrawal of authorization of A6.4ERs**

280<sup>bis</sup>. The host Party of a registered A6.4 project may withdraw, at any time through a dedicated interface on the UNFCCC website, the authorization of A6.4ERs to be issued or already issued, from authorized A6.4ERs to mitigation contribution A6.4ERs, by submitting a revised statement of the authorization referred to in paragraph 24 above, provided that the issued A6.4ERs have not been transferred in or out of the mechanism registry. In doing so, the host Party shall additionally provide the following information:

- (a) The effective date of the change to the authorization status, which shall not be before the date of submission of the revised statement;
- (b) The reason for the change in reference to the pre-defined circumstances in which such change may occur as in the original statement of the authorization referred to in paragraph 24<sup>bis</sup>, (g) above.

280<sup>ter</sup>. The secretariat shall make the revised statement publicly available, clearly indicating the effective date of the change to the authorization status, and notify the participating Party(ies) and the activity participants of the change.

### 11.2.2. Impact of change to authorization status

280<sup>quater</sup>. If the host Party withdraws the authorization of the use of the A6.4ERs, as per paragraph 280<sup>bis</sup>. above, prior to final decision of the Supervisory Body to issue the A6.4ERs for the PoA, the registry administrator shall issue mitigation contribution A6.4ERs for the PoA as per the revised authorization statement, into the pending account of the mechanism registry on or after the effective date of withdrawal.

280<sup>sexies</sup>. If the host Party withdraws the authorization of the use of the A6.4ERs, as per paragraph 280<sup>bis</sup>. above, after the A6.4ERs are issued for the PoA but prior to any transfer in or out of the mechanism registry of the A6.4ERs, the mechanism registry administrator shall:

- (a) Track and change the authorization status of the issued authorized A6.4ERs to mitigation contribution A6.4ERs in the holding account of the activity participants and participating Parties involved;
- (b) Track and change the authorization status of the 5 per cent of the issued authorized A6.4ERs to mitigation contribution A6.4ERs that were forwarded to the share of proceeds for adaptation account held by the Adaptation Fund and change the type of the transfer which was previously distinguished as first transfer to non-first transfer type;
- (c) Track and change the status of type of the transfer of the 2 per cent of the issued authorized A6.4ERs to the cancellation for OMGE account which was previously distinguished as first transfer to non-first transfer type.

280<sup>septies</sup>. The mechanism registry administrator shall undertake the changes of the authorization status as per paragraph 280<sup>sexies</sup>. following the operational provisions pursuant to "Procedure: Article 6.4 mechanism registry", provided that the respective A6.4ERs are not transferred in or out of the mechanism registry.

## 12. Appeals and grievances

281. Stakeholders, the activity participants, the host Party(ies) and other participating Parties, through their DNAs, may appeal decisions of the Supervisory Body in accordance with paragraphs 63, 76, 200 and 216 above request that a grievance be addressed, in accordance with the "Procedure: Appeal and grievance processes under the Article 6.4 mechanism".

## **Attachment 1. Fee schedule**

### **1. Background**

1. This appendix contains (i) the rates of fees payable by the activity participants of proposed or registered programmes of activities (PoAs) under the mechanism established by Article 6, paragraph 4, of the Paris Agreement (Article 6.4 mechanism) to cover the administrative expenses for processing requests submitted at various stages of the Article 6.4 mechanism activity cycle; and (ii) the rules of reimbursement of paid fees where the requests are withdrawn by the submitting designated operations entities (DOEs), concluded as incomplete by the secretariat, or rejected by the Supervisory Body.
2. The fee types and rates are set based on decisions by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) relating to the share of proceeds to cover administrative expenses as contained in decision 3/CMA.3, annex, paragraphs 48, and chapter VII, and as elaborated in decision 7/CMA.4, annex I, chapter V.

### **2. General**

3. In accordance with the relevant sections of this procedure, all fees referred to in this appendix shall be paid at the time of submission of the respective requests. The initiation of processing of a request shall be subject to the payment of the fee.
4. All fees referred to in this appendix shall be waived for PoAs and component projects (CPs) therein in the least developed countries and small island developing States or for multi-country PoAs where at least one of the host Parties is a least developed country or a small island developing State.
5. The Supervisory Body may adjust and implement the fee structure and levels within the boundary to be set by the CMA in its decision 7/CMA.4, annex I, chapter V, on the basis of the guiding principles of balancing income and expenditure, enabling long-term sound operation of the Article 6.4 mechanism, being fair to activity participants, ensuring administrative efficiency and providing predictability to activity participants and the Supervisory Body.

### **3. Registration and inclusion fees**

6. The fees to be charged for a request for registration of a proposed Article 6.4 mechanism PoA (the PoA registration fee) and for the inclusion of a CP (the CP inclusion fee) shall be fixed rates as follows:
  - (a) USD 10,000 for the registration of a PoA;
  - (b) USD 800 per CP for its inclusion in a registered Article 6.4 mechanism PoA (A6.4 PoA).
7. If the request for registration of the PoA is withdrawn by the DOE, concluded as incomplete by the secretariat, or rejected by the Supervisory Body in accordance with this procedure,

the paid registration fee shall be reimbursed to the activity participants in the following manner:

- (a) Reimbursement in full if the request is withdrawn by the DOE before the secretariat starts the completeness check stage, or removed due to the withdrawal of host Party approval;
  - (b) Reimbursement of USD 8,500 if the request is withdrawn by the DOE or concluded as incomplete by the secretariat at the completeness check stage and the resubmission of the request for registration is not made within the time frame referred to in paragraph 51 of the main part of this procedure;
  - (c) Reimbursement of USD 5,000 if the request is withdrawn by the DOE or concluded as incomplete by the secretariat at the substantive check stage and the resubmission of the request for registration is not made within the time frame referred to in paragraph 54 of the main part of this procedure;
  - (d) No reimbursement if the request is withdrawn by the DOE any time after the substantive check stage or rejected by the Supervisory Body.
8. The CP inclusion fee shall not be reimbursed even if the notification of inclusion of the CP is selected for a sample assessment that concludes that the notification is incomplete or rejected by the Supervisory Body.

#### **4. Post-registration change fee**

9. The fee to be charged for a request for approval of post-registration change to a registered A6.4 PoA (the post-registration change fee for PoA) or to an included CP (the post-registration change fee for CP) shall be a fixed rate, set at USD 1,500 per request.
10. If the request for approval of post-registration change to a registered A6.4 PoA is withdrawn by the DOE, concluded as incomplete by the secretariat, or rejected by the Supervisory Body, the paid post-registration fee shall be reimbursed to the activity participants in the following manner:
- (a) Reimbursement in full if the request is withdrawn by the DOE before the secretariat starts the completeness check stage in accordance with this procedure;
  - (b) No reimbursement if the request is withdrawn by the DOE any time after the secretariat starts the completeness check stage.
11. The post-registration change fee for CP shall not be reimbursed even if the notification of post-registration change to an included CP is selected for a sample assessment that concluded that the notification is incomplete or rejected by the Supervisory Body.

#### **5. Issuance fee**

12. The fee to be charged for a request for issuance of Article 6, paragraph 4, emission reductions (A6.4ERs) for a registered A6.4 PoA (the issuance fee) shall be a levy proportional to the amount of A6.4ERs requested for issuance, set at USD 0.15 per A6.4ER being requested for issuance.

13. If the request for issuance is withdrawn by the DOE, concluded as incomplete by the secretariat, or rejected by the Supervisory Body in accordance with this procedure, the paid issuance fee shall be reimbursed to the activity participants in the following manner:
- (a) Reimbursement in full if the request is withdrawn by the DOE before the secretariat starts the completeness check stage;
  - (b) Reimbursement of any amount above USD 1,500 if the request is withdrawn by the DOE or concluded as incomplete by the secretariat at the completeness check stage and the resubmission of the request for issuance is not made within the time frame referred to in paragraph 189 of the main part of this procedure;
  - (c) Reimbursement of any amount above USD 5,000 if the request is withdrawn by the DOE or concluded as incomplete by the secretariat at the substantive check stage and the resubmission of the request for issuance is not made within the time frame referred to in paragraph 192 of the main part of this procedure;
  - (d) Reimbursement of any amount above USD 10,000 if the request is withdrawn by the DOE any time after the substantive check stage or rejected by the Supervisory Body.
14. If, as a result of the substantive check by the secretariat or a review by the Supervisory Body of the request for issuance, the quantity of A6.4ERs to be issued changed from that in the initial request for issuance, the activity participants or the secretariat shall settle the difference in the issuance fees if the difference is more than USD 300.

## 6. Renewal fee

15. The fee to be charged for a request for renewal of the PoA period (the PoA renewal fee) shall be at the same rate as the PoA registration fee referred to in paragraph 6 above.
16. The fee to be charged for a request for renewal of the crediting period of a CP included in a registered A6.4 PoA (the CP renewal fee) shall be at the same rate as the CP inclusion fee referred to in paragraph 6 above.
17. If the request for renewal of the PoA period is withdrawn by the DOE, concluded as incomplete by the secretariat, or rejected by the Supervisory Body in accordance with this procedure, the paid PoA renewal fee shall be reimbursed to the activity participants in the same manner as referred to in paragraph 7 above.
18. The CP renewal fee shall not be reimbursed even if the notification of the renewal of the crediting period of the CP is selected for a sample assessment that concludes that the notification is incomplete or rejected by the Supervisory Body.

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## **Attachment 2. Indicative list of post-registration changes to programmes of activities that may be suitable for approval under the issuance track**

1. A request for approval of a post-registration change to a programme of activities (PoA) registered under the mechanism established by Article 6, paragraph 4, of the Paris Agreement (Article 6.4 mechanism) may be suitable to be submitted under the issuance track referred to in paragraph 135 of this procedure for:
  - (a) Any corrections to programme information<sup>1</sup> a registered Article 6.4 mechanism PoA that does not affect the design of the PoA;
  - (b) Any changes to the PoA that do not affect the project designs of and monitoring for all component projects (CPs) covered by the issuance request;
  - (c) Temporary deviations from the registered monitoring plan for which alternative monitoring arrangements are proposed if the proposed alternative monitoring arrangements produce a conservative estimate of greenhouse gas (GHG) emission reductions or net GHG removals;
  - (d) Changes to the description in the PoA-DD of how to develop the monitoring plan of each of the corresponding CPs that have no material impact<sup>2</sup> on the (i) applicability of the applied methodologies or the other applied methodological regulatory documents; or (ii) accuracy and completeness of the monitoring.
  - (e) Changes to the description in the PoA-DD of how to design each of the corresponding CPs that do not adversely impact any of the following:
    - (i) The applicability and application of the applied methodologies, applied standardized baselines and other applied methodological regulatory documents with which CPs have been included after post-registration changes;
    - (ii) The additionality of the CPs that have been included after the post-registration changes;
    - (iii) The scale of the CPs that have been included after the post-registration changes.

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<sup>1</sup> Such corrections may include, for example, typographical errors, location, and names and numbers of components.

<sup>2</sup> The same materiality thresholds for verification contained in the validation and verification standard for programme of activities should apply.

**Document information**

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