

**A6.4-SB005-AA-A06**

## Draft Procedure

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Development, revision, clarification and  
update of standardized baselines

Version 01.0



**United Nations**  
Framework Convention on  
Climate Change

## COVER NOTE

### 1. Procedural background

1. The Supervisory Body, at its fourth meeting, considered the concept note “Process for development of methodologies, methodological tools and standardized baselines”,<sup>1</sup> and requested the secretariat to prepare the draft procedure for the development of methodologies, methodological tools and standardized baselines for consideration by the Supervisory Body at its next meeting (SB 005, 31 May–3 June, 2023).

### 2. Purpose

2. The purpose of this document is to define processes for the development of standardized baselines for consideration by the Supervisory Body.

### 3. Key issues and proposed solutions

3. The draft procedure has been developed based on the guidance provided by the Supervisory Body at its last meeting:<sup>2</sup>
  - a) The Supervisory Body will establish a methodological expert panel comprised of 10 members, drawing on the roster of methodological experts;
  - b) The methodological expert panel will be chaired by two of the Supervisory Body members/alternates;
  - c) The roster of methodological experts may be grouped into several working groups. The methodological expert panel may utilize the expertise of working groups as required;
  - d) The operationalization of the methodological expert panel and working groups should be linked to a methodology-related workplan and occur on a progressive basis (e.g. the methodological expert panel and working groups are formed, but will be engaged on an “on demand” basis, and in the interim the Supervisory Body may engage a small number of experts from the roster on a case-by-case basis;
  - e) The secretariat will work with the methodological expert panel and working groups, and a final recommendation will be made by the methodological expert panel;
  - f) The Supervisory Body agreed to always consider the cases at its meetings, as indicated in Option A in paragraph 26 of the concept note and agreed that it may

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<sup>1</sup> As contained in document A6.4-SB004-AA-A08 available at:  
<https://unfccc.int/sites/default/files/resource/a64-sb004-aa-a08.pdf>.

<sup>2</sup> As contained in document A6.4-SB004 paragraph 19 available at:  
<https://unfccc.int/sites/default/files/resource/a64-sb004.pdf>.

include other simplified fast-track approaches in the future after more experience is gained.

4. The proposed key changes compared to the corresponding procedure under the CDM are as follows:

- (a) **Development of standardized baselines for a group of Parties:** The proposed procedure excludes the possibility of developing the standardized baseline for a group of Parties.
- (b) **Prioritization of standardized baselines through the top-down process:** It is proposed that the Supervisory Body may consider prioritizing the development of standardized baselines that are particularly useful for host Parties that are least developed countries and small island developing States as a means to meet the requirement in paragraph 29 of the “Rules, modalities and procedures for the mechanism established by Article 6, paragraph 4 of the Paris Agreement”, subject to availability of resources. Similarly, it is proposed that the Supervisory Body may wish to consider prioritizing the development of standardized baselines applicable to programmes of activities (PoAs) through the top-down process, particularly for the PoAs that contribute to the sustainable development of the host Parties and that facilitate the involvement of small and micro businesses, taking into account the request from the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement in paragraph 5(g) of decision 3/CMA.3 (see **paragraph 46** of this draft procedure.)
- (c) **Consultation with relevant working group:** In preparing the draft recommendation (bottom-up cases) or the draft standardized baseline (top-down cases), it is proposed that the secretariat and the selected members of the methodological expert panel may consult with the relevant working group comprised of the sectoral experts on the roster. In this way, a broader range of technical expertise and experience from the roster of experts may be accessed and utilized. Also, consultation with the relevant working group will be helpful to make more comprehensive recommendations (see **paragraphs 27, 54, 85, 109 and 138** of this draft procedure.)
- (d) **Speedy consultation on clarifications:** It is recommended that the Supervisory Body consider clarifications processed under regular track through electronic consultation. Only if at least one Supervisory Body member or alternate member requests further discussion at a Supervisory Body meeting will such a case be considered at the next meeting. Otherwise, the clarification is deemed adopted. (see **paragraphs 142, 143 and 144** of this draft procedure.)
- (e) **Preparation of assessment report:** Under the CDM, proponents of a proposed standardized baseline are required to provide an assessment report prepared by a designated operational entity (DOE). Based on past experience under the CDM, it was observed that:
  - (i) Unlike the validation of activities, assessment of standardized baselines is limited to checking the credibility of the data used; therefore, the assessment can be conducted based solely on a desk review of calculations and documents since there is no specific activity site directly linked to the proposed standardized baseline;

- (ii) Designated national authorities of the host Parties for which standardized baselines were developed have faced difficulties with regard to financial resources and lengthy procedures/timelines for the procurement of services of DOEs;
- (iii) The scope of the assessment report prepared before the submission and the subsequent assessments conducted by the secretariat and experts or the methodological expert panel may overlap because both assessments examined almost the same elements of the standardized baselines.

Therefore, for the Article 6.4 mechanism, it is proposed that an assessment report could be prepared by either external methodological experts on the roster established by the Supervisory Body or by a DOE.

#### **4. Impacts**

- 5. An efficient and effective process for the development, consideration and approval of methodological products will be crucial for the Supervisory Body to ensure the availability of robust methodologies, methodological tools and standardized baselines to activity participants, DOEs and other stakeholders in a timely manner, following rigorous technical assessment. This will facilitate a quick start to the Article 6.4 mechanism.

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

- 6. The draft procedure will be revised, taking into account feedback from the Supervisory Body, and will be considered by the Supervisory Body at its next meeting (SB 006, 10-13 July 2023).

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

- 7. The Supervisory Body may wish to consider the draft procedure and provide guidance for further work.

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## 1. Introduction

1. The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA), at its third session, adopted decision 3/CMA.3, containing in its annex the “Rules, modalities and procedures for the mechanism established by Article 6, paragraph 4 of the Paris Agreement” (RMPs), setting out principles, key requirements and processes of the mechanism (hereinafter referred to as the Article 6.4 mechanism).<sup>3</sup> The aforementioned decision and the RMPs contain, inter alia, provisions for the Supervisory Body to advance work related to methodologies and standardized baselines.
2. Given the mandates above, the Supervisory Body included the provisions to develop the process for the development, consideration, and approval of methodologies, methodological tools, and standardized baselines in its workplan for 2022–2023,<sup>4</sup> with the aim to complete the process by 2023.

## 2. Scope, applicability and entry into force

### 2.1. Scope

3. The “Procedure: Development, revision, clarification and update of standardized baselines” (hereinafter referred to as this procedure) defines the process for the development of new standardized baselines as well as for revising, clarifying, and updating approved standardized baselines.

### 2.2. Applicability

4. This procedure applies to standardized baselines that may be applied for an Article 6.4 mechanism project or programme of activities (PoA).
5. This procedure does not contain the process to develop or revise a baseline and monitoring methodology or methodological tool for the purpose of developing a proposed standardized baseline, or for using the baseline and monitoring methodology together with a proposed standardized baseline to estimate emission reductions.

### 2.3. Entry into force

6. Version 01.0 of this procedure enters into force on DD Month YYYY.

## 3. Normative references

7. The following referenced documents are indispensable for the application of this procedure:
  - (a) “Procedure: Activity cycle procedure for project activities” or “Procedure: Activity cycle procedure for programmes of activities”;
  - (b) “Guideline: Quality assurance and quality control of data used in the establishment of standardized baselines”;

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<sup>3</sup> See document FCCC/PA/CMA/2021/10/Add.1 available at: <https://unfccc.int/documents/460950>.

<sup>4</sup> Available at: <https://unfccc.int/sites/default/files/resource/a64-sb002-a02.pdf>.

- (c) “Standard: Determining coverage of data and validity of standardized baselines”;
- (d) “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools”.

## 4. Definitions

8. In addition to the definitions in the “Glossary: Article 6.4 mechanism terms”, 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) “Proponent” is a Party, activity participant, international industry organization or admitted observer organization.<sup>5</sup>

## 5. Development of a standardized baseline

### 5.1. Approaches to develop a standardized baseline

9. A standardized baseline shall be developed using one of the following approaches:
- (a) The approach of the “Standard: Establishment of sector specific standardized baselines”;
  - (b) A methodological approach contained in an approved, proposed new or revised baseline and monitoring methodology;
  - (c) A methodological approach contained in an approved, proposed new or revised methodological tool; or
  - (d) The approach in the “Standard: Establishment of standardized baselines for removal activities under the Article 6.4 mechanism”.

### 5.2. Bottom-up process

#### 5.2.1. Submission of a proposed standardized baseline

10. A proponent may propose a standardized baseline through the designated national authority (DNA) of the Party for which the standardized baseline is proposed. In doing so, the proponent shall ensure that the proposed standardized baseline complies<sup>6</sup> with the “Standard: Determining coverage of data and validity of standardized baselines,” including

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<sup>5</sup> The definition of “admitted observer organization” can be found at <[https://cdm.unfccc.int/Reference/Guidclarif/glos\\_CDM.pdf](https://cdm.unfccc.int/Reference/Guidclarif/glos_CDM.pdf)>.

<sup>6</sup> Deviations from the requirements in the standard may be proposed with due justification, when proposing a new standardized baseline.

the requirements related to the data coverage period, data currentness, and the validity<sup>7</sup> of standardized baselines. The DNA should subsequently submit the proposed standardized baseline to the secretariat in accordance with paragraphs 13–16 below.

11. Notwithstanding the provision in paragraph 9 above, if the proponent wishes to use a combination of the approaches for the development of the proposed standardized baseline, or deviate from the selected approach due to a specific issue of the sector or geographical area (e.g. country or region),<sup>8</sup> the proponent shall provide a justification for the necessity and the appropriateness of such combination or deviation in the submission of the proposed standardized baseline. In case of deviation from the approach referred to in paragraphs 9(b) or 9(c) above, the proponent shall also justify why a revision of the approved methodology or methodological tool is not necessary.
12. If the proponent wishes to use a new or revised approach to be contained in a methodology or methodological tool in accordance with paragraphs 9(b) or 9(c) above, or if there is no approved methodology available to be used together with the proposed standardized baseline to estimate emission reductions, it shall, through the DNA of the Party for which the standardized baseline is proposed, request approval from the Supervisory Body of a new or revised methodology or methodological tool in accordance with the “Procedure: Development, revision and clarification of baseline and monitoring methodologies and methodological tools”, through one of the following processes:
  - (a) Propose a new or revised methodology or methodological tool through the bottom-up process.<sup>9</sup> In this case, this proposal of a new or revised methodology or methodological tool shall be referred to in the submission of the proposed standardized baseline; or
  - (b) Request the secretariat to propose to the Supervisory Body the top-down development of a new methodology or methodological tool or the top-down revision of an approved methodology or methodological tool. In this case, this request shall be referred to in the submission of the proposed standardized baseline.
13. The DNA submitting the proposed standardized baseline shall submit the following documentation to the secretariat through a specified e-mail account made available on the United Nations Framework Convention on Climate Change (UNFCCC) website:
  - (a) The completed “Form: Proposed standardized baseline submission”;

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<sup>7</sup> An alternative length of the validity of a standardized baseline compared to the default validity of three years may be proposed in accordance with the “Standard: Determining coverage of data and validity of standardized baselines”.

<sup>8</sup> The following are examples of specific issues of the sector or geographical area: (i) the data available for the development of a proposed standardized baseline have a different vintage than that required by the approved approach(es); (ii) the default values of baseline and additionality threshold per the “Guideline for establishment of sector specific standardized baselines” are not applicable in their sector-specific context and therefore a different value(s) of the threshold is justified.

<sup>9</sup> The proposed new or revised methodology or methodological tool for the purpose of developing a proposed standardized baseline, or the proposed new or revised methodology or methodological tool that will be used together with the proposed standardized baseline, may be submitted to the secretariat at the same time with the proposed standardized baseline in accordance with the “Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools”.



- (b) A spreadsheet<sup>10</sup> containing all data used and the calculations performed for the establishment of the standardized baseline;
  - (c) A quality control report prepared in accordance with the “Guideline: Quality assurance and quality control of data used in the establishment of standardized baselines”;
  - (d) An assessment report prepared in accordance with paragraphs 14, 15 and 16 below;
  - (e) All additional documentation supporting the submission (e.g. statistics and/or, studies etc.), where applicable;
  - (f) Letter of approval on the proposed standardized baseline from the DNA.
14. In cases where no data collection/processing is required to establish the proposed standardized baseline<sup>11</sup>:
- (a) The documentation referred to in paragraphs 13(b)–13(c) above are not required to be submitted;
  - (a) The assessment report, referred to in paragraph 13(d) above, does not need to cover the quality assurance and quality control system referred to in paragraph 16(a) below. Consequently, the assessment report only needs to include an assessment of the compliance of the proposed standardized baseline with one of the approaches referred to in 16(b) below.
15. The assessment report referred to in paragraph 13(d) above may be prepared by a designated operational entity (DOE) contracted and paid for by either the DNA or any other entity under the agreement with the DNA. Alternatively, the DNA may submit a standardized baseline without an assessment report only if the DNA can demonstrate that they faced difficulties in engaging a DOE (e.g., providing concrete information on financial constraints, procurement-related constraints). In this case, the assessment report will be prepared by a maximum of two independent experts in accordance with section 5.2.3 below.
16. The assessment report<sup>12</sup> shall include a positive assessment opinion:
- (a) On the compliance of the quality assurance and quality control system with the provisions and data quality objectives of the “Guideline: Quality assurance and quality control of data in the establishment of standardized baselines”;

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<sup>10</sup> In an accessible and verifiable (unprotected) format.

<sup>11</sup> Such cases are standardized baselines developed based only on existence of or lack of a policy/regulation. For example, since a standardized baseline for landfill gas destruction developed in accordance with the “Standard: Establishment of sector specific standardized baselines” requires information only on regulations on the mandatory destruction level, no data collection/processing is required.

<sup>12</sup> In cases where two independent experts prepare assessment reports, they shall not be consolidated for an aligned assessment opinion i.e. the assessment reports are prepared independently and submitted to the secretariat as independent input for further processing of the proposed standardized baseline and may include different opinions regarding the fulfilment of various elements of requirements (e.g. positive or negative opinion on specific elements and the overall outcome).

- (b) That the proposed standardized baseline meets the requirements of:
  - (i) One of the approaches referred to in paragraph 9 above;
  - (ii) A proposed combination of the approaches referred to in paragraph 9 above;  
or
  - (iii) One of the approaches referred to in paragraph 9 above with a proposed deviation from the approach.<sup>13</sup>

17. No fee shall be payable to the secretariat for the submission of the proposed standardized baseline.

### 5.2.2. Initial assessment

18. The secretariat shall undertake an initial assessment of the submission using the “Form: Proposed standardized baseline initial assessment” within 21 days of receipt of the submission to determine whether:

- (a) The DNA submitted all the documentation in accordance with paragraphs 13, 14 and 15;
- (b) The “Form: Proposed standardized baseline submission” has been completed, including the name and contact details of the proponent;
- (c) The proposed standardized baseline was derived from one of the approaches referred to in paragraph 9 above;
- (d) Except for the cases where an assessment report is not submitted in accordance with paragraph 15, the assessment report includes the positive assessment opinion in accordance with paragraph 16 above.

19. The secretariat shall inform the DNA and the proponent of the outcome of the initial assessment. If the secretariat finds that the required documentation or information is incomplete, it shall notify the DNA and the proponent accordingly. In this case, the DNA should provide the missing documents or information within 42 days of the notification.

20. The secretariat shall conclude the initial assessment within 14 days of the receipt of missing documents or information and inform the DNA and the proponent of the conclusion of the initial assessment. If the DNA does not provide the missing documents or information within the deadline, the secretariat shall suspend processing the submission and ascertain from the DNA whether it wishes that the proposed standardized baseline to continue to be considered. The secretariat shall resume processing the submission as soon as it receives the missing documents or information. In any case, if the DNA does not provide the missing documents or information within one year of the initial notification, the submission shall be considered withdrawn.

21. Upon successful conclusion of the initial assessment, the secretariat shall assign a reference number to the proposed standardized baseline and make the submitted documentation publicly available on the UNFCCC website with the exception of information declared confidential and/or proprietary by the DNA. Aggregated data and

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<sup>13</sup> If the DOE assesses a proposed standardized baseline with a proposed deviation from an approved approach(es), the assessment of the proposed deviation is not required.

information used to derive the standardized baseline shall not be considered confidential or proprietary.

### **5.2.3. Preparation of an assessment report by the independent expert(s)**

22. If the submission of an assessment report is omitted in accordance with paragraph 15, the secretariat shall select a maximum of two independent experts, who will prepare an assessment report containing the information referred to in paragraph 16 above. For this purpose, the secretariat shall use the roster of methodological experts that has been established. For any findings by the independent expert(s) related to the information referred to in paragraph 18 above, the secretariat shall notify the DNA and the proponent to request further input in accordance with paragraph 30 below.

### **5.2.4. Preparation of a draft recommendation**

23. Within 28 days of the successful conclusion of the initial assessment or the completion of the assessment report by the independent expert(s), the secretariat shall prepare a draft recommendation on the proposed standardized baseline using either:
- (a) The “Form: Proposed standardized baseline recommendation” for the recommended course of action referred to in paragraphs 24(a) or 24(c) below; or
  - (e) The “Form: Proposed standardized baseline submission” for the recommended course of action referred to in paragraph 24(b) below.
24. The secretariat shall include in its draft recommendation one of the following courses of action:
- (a) Approve the proposed standardized baseline;
  - (b) Request further input (e.g. additional information or modification to the submitted documentation) from the DNA and the proponent; or
  - (c) Not approve the proposed standardized baseline.
25. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the proposed standardized baseline and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.
26. The secretariat shall select two members of the methodological expert panel and forward its draft recommendation to them.
27. In preparing the draft recommendation, the secretariat and the selected members of the methodological expert panel may consult with the relevant working group, which is comprised of sectoral experts on the roster. For the purpose of this consultation, the roster of methodological experts may be grouped into several working groups (e.g. working group for renewable energy, working group for transport, working group for waste).

### **5.2.5. Consideration by selected members from the methodological expert panel**

28. The two selected members of the methodological expert panel shall, within seven days of receipt of the draft recommendation, independently assess the proposed standardized

baseline and the draft recommendation and inform the secretariat of the outcome of their assessment.

29. If both of the selected members of the methodological expert panel agree to the draft recommendation to approve or not to approve the proposed standardized baseline, the secretariat shall forward it as the recommendation to the Supervisory Body and make it publicly available on the UNFCCC website.
30. If both of the selected members of the methodological expert panel agree to the draft recommendation that the proposed standardized baseline requires further input from the DNA, the secretariat shall notify the DNA and the proponent accordingly using the "Form: Proposed standardized baseline submission". The DNA should submit the requested input within 28 days of the notification. All the input shall be highlighted in the "Form: Proposed standardized baseline submission". If the DNA submits input including new data, the DNA should submit a revised assessment report, as applicable, within the same deadline. If the DNA does not provide the requested input and a revised assessment report, as applicable, within the deadline, the secretariat shall suspend processing the submission and ascertain from the DNA whether it wishes that the proposed standardized baseline continue to be considered. The secretariat shall resume processing the submission as soon as it receives the requested input and a revised assessment report, as applicable. In any case, if the DNA does not provide the requested input and a revised assessment report, as applicable, within one year of the initial notification, the submission shall be considered withdrawn.
31. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to recommend that the proposed standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or conference calls to clarify remaining issues.
32. The secretariat shall revise the draft recommendation, taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the two selected members of the methodological expert panel for their consideration. In this case, the steps in paragraphs 29 above or 33–37 below shall follow.

#### **5.2.6. Consideration by the methodological expert panel**

33. If at least one selected member of the methodological expert panel disagrees with the draft recommendation or requests that it be considered by the methodological expert panel, the secretariat shall forward the draft recommendation to the methodological expert panel. The methodological expert panel shall consider the proposed standardized baseline and the draft recommendation at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the meeting after that one.
34. The methodological expert panel shall finalize its consideration within two meetings, unless it finds that further input from the DNA or guidance from the Supervisory Body is required. In case further input from the DNA or guidance from the Supervisory Body is sought, the methodological expert panel shall finalize its consideration at the meeting immediately following the receipt of such input or guidance. In finalizing its consideration, the methodological expert panel shall conclude to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Supervisory Body and make it publicly available on the UNFCCC website.

35. If the methodological expert panel finds that further input from the DNA is required, the secretariat shall notify the DNA and the proponent accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA does not submit the requested input within the deadline, the secretariat shall suspend processing the submission and ascertain from the DNA whether it wishes that the proposed standardized baseline continues to be considered. The secretariat shall resume processing the submission as soon as it receives the requested input. In any case, if the DNA does not provide the requested input within one year of the initial notification, the submission shall be considered withdrawn.
36. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to recommend that the proposed standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or conference calls to clarify remaining issues.
37. The secretariat shall revise the draft recommendation, taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the methodological expert panel for its final consideration. The methodological expert panel shall conclude to recommend that the proposed standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Supervisory Body and make it publicly available on the UNFCCC website.

#### **5.2.7. Preparation of draft standardized baseline**

38. If the recommendation is to approve the proposed standardized baseline, before forwarding it to the Supervisory Body in accordance with paragraphs 29, 34 or 37 above, the secretariat shall:
  - (a) Reformat the proposed standardized baseline into the form of draft standardized baseline (DSB) and send it to the two selected methodological expert panel members or to the methodological expert panel, whichever considered the draft recommendation last. Upon receipt of an agreement on the DSB from the two selected methodological expert panel members, or from the methodological expert panel, as applicable, the secretariat shall communicate the DSB to the DNA and the proponent. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt. If the DNA does not respond by this deadline, the forwarding of the recommendation to the Supervisory Body may be delayed accordingly. If the DNA does not accept the DSB and/or requests modification to it in its response, the secretariat shall forward the DSB and the response from the DNA to the two selected methodological expert panel members, or to the methodological expert panel, whichever considered the draft recommendation last. In this case, taking into account the response from the DNA, the two selected methodological expert panel members shall finalize the DSB within seven days of receipt, or the methodological expert panel shall finalize the DSB at its next meeting;
  - (b) Ensure that the proposed new or revised approach(es) to develop the proposed standardized baseline and/or the proposed new or revised methodology to be used together with the proposed standardized baseline to estimate emission reductions have been approved by the Supervisory Body, if they have been submitted to the secretariat in accordance with paragraph 12 above;

- (c) Make the assessment report publicly available on the UNFCCC website if it has been prepared by the independent expert(s) in accordance with section 5.2.3 above.

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

- 39. If no member of the Supervisory Body objects to the recommendation received in accordance with paragraphs 29, 34 or 37 above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Supervisory Body.
- 40. An objection by a member of the Supervisory Body shall be made by notifying the Chair of the Supervisory Body through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
- 41. If a member of the Supervisory Body objects to the recommendation 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 Supervisory Body meeting after that one.
- 42. If the Supervisory Body considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
  - (a) Approve the DSB;
  - (a) Not approve the DSB;
  - (b) Continue the consideration of the DSB at the next Supervisory Body meeting; or
  - (c) Request the methodological expert panel to review the recommendation and provide guidance on the issues for the review.
- 43. Once a decision has been made by the Supervisory Body, the secretariat shall inform the DNA and the proponent of the decision and any guidance provided by the Supervisory Body, as applicable, and make the decision and guidance publicly available on the UNFCCC website.
- 44. If the DSB is not approved, the DNA may at any time resubmit a proposed standardized baseline with revised documentation. Upon submission of the revised documentation, the submission shall be treated as a new submission of a proposed standardized baseline.

## **5.3. Top-down process**

### **5.3.1. Initiation**

- 45. The secretariat may propose to the Supervisory Body that the secretariat develop a DSB at any time following the receipt of an expression of interest from the DNA(s) of a Party(ies) for which the DSB will be proposed. The Supervisory Body shall consider the proposal and decide on one of the following courses of action:
  - (a) Approve the proposed development of the DSB including, if required during the course of the preparation of the DSB, the top-down development of, revision to, or deviation from:
    - (i) An approach to develop the DSB; and/or

- (ii) A methodology to be used together with the DSB for the purpose of estimation of emission reductions;
  - (b) Not approve the proposed development of the DSB; or
  - (c) Continue the consideration of the proposed development of the DSB at the next Supervisory Body meeting.
46. The Supervisory Body may consider prioritizing the development of a new standardized baseline that is particularly useful for host Parties that are least developed countries and small island developing States as a means to meet the requirement in paragraph 29 of the RMPs, subject to availability of resources. Similarly, the Supervisory Body may consider prioritizing the development of a new standardized baseline applicable to PoAs, particularly for the PoAs that contribute to the sustainable development of the host Parties and that facilitate the involvement of small and micro businesses, taking into account the request from the CMA in paragraph 5(g) of decision 3/CMA.3.

### **5.3.2. Preparation of a draft standardized baseline**

47. If the Supervisory Body decides to develop a DSB in accordance with paragraph 45(a) above, the DNA shall submit the duly completed “Form: Draft standardized baseline development agreement” to the specified UNFCCC e-mail account made available on the UNFCCC website.
48. Upon receipt of the duly completed “Form: Draft standardized baseline development agreement”, the secretariat shall prepare a draft development plan of the DSB in consultation with the DNA using the “Form: Draft standardized baseline development plan”, defining, inter alia, the scope, applicability, approach(es), data collection process, data quality assurance process, necessity of a new or revised methodology or methodological tool, necessity of a deviation from the selected approach(es), and time frame for the development of the DSB.
49. The secretariat shall select two members of the methodological expert panel and forward the draft development plan to them for their review. The selected members shall provide input on the draft development plan within five days of receipt.
50. The secretariat shall finalize the development plan, taking into account the input from the selected members of the methodological expert panel within five days of receipt of the input.
51. The secretariat shall prepare the DSB in accordance with the development plan. In doing so, the secretariat shall ensure that the DSB complies with the “Standard: Determining coverage of data and validity of standardized baselines”, including the requirements related to the data coverage period, data currentness and the validity of standardized baselines.
52. In preparing the DSB, the secretariat may draw upon external expertise, depending on the technical complexity of the DSB and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.
53. The secretariat shall select two members of the methodological expert panel and forward the DSB to them.

54. In preparing the DSB, the secretariat and the selected members of the methodological expert panel may consult with the relevant working group referred to in paragraph 27 above.

### **5.3.3. Consideration by selected members of the methodological expert panel**

55. The two selected members of the methodological expert panel shall, within seven days of receipt of the DSB, independently assess the DSB and inform the secretariat of their recommendation, indicating one of the following courses of action:

- (a) Approve the DSB;
- (a) Request further input (e.g. additional information or modification to the submitted documentation) from the DNA; or
- (b) Request that the DSB be considered by the methodological expert panel.

56. If both of the selected members of the methodological expert panel recommend that the DSB be approved, the secretariat shall forward it to the Supervisory Body and make it publicly available on the UNFCCC website.

57. If both of the selected members of the methodological expert panel recommend that the DSB requires further input from the DNA, the secretariat shall notify the DNA(s) accordingly. The DNA should submit the requested input within 28 days of the notification. If the DNA does not provide the requested input within the deadline, the secretariat shall suspend processing the development and ascertain from the DNA whether it wishes that the DSB continue to be developed. The secretariat shall resume developing the DSB as soon as it receives the requested input. In any case, if the DNA does not provide the requested input within one year of the initial notification, the secretariat shall terminate the development of the DSB.

58. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to develop the DSB, the secretariat may initiate a direct communication with the DNA via e-mail or conference calls to clarify remaining issues.

59. The secretariat shall revise the DSB, taking into account the further input and direct communication with the DNA, as applicable. The secretariat shall forward the revised DSB to the two selected members of the methodological expert panel for their consideration. In this case, the steps in paragraphs 56 above or 60–64 below shall follow.

### **5.3.4. Consideration by the methodological expert panel**

60. If at least one selected member of the methodological expert panel requests that the DSB be considered by the methodological expert panel, the secretariat shall forward the DSB to the methodological expert panel. The methodological expert panel shall consider the DSB at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the meeting after that one.

61. The methodological expert panel shall finalize the DSB within two meetings, unless it finds that further input from the DNA or guidance from the Supervisory Body is required. In case further input from the DNA or guidance from the Supervisory Body is sought, the methodological expert panel shall finalize the DSB at the meeting immediately following receipt of such input or guidance. The secretariat shall forward it to the Supervisory Body and make it publicly available on the UNFCCC website.



62. If the methodological expert panel finds that further input from the DNA is required, the secretariat shall notify the DNA accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA does not submit the requested input within the deadline, the secretariat shall suspend the development of the DSB and ascertain from the DNA whether it wishes that the DSB continue to be developed. The secretariat shall resume developing the DSB as soon as it receives the requested input. In any case, if the DNA does not provide the requested input within one year of the initial notification, the secretariat shall terminate the development of the DSB.
63. The secretariat shall assess the further input submitted by the DNA(s). If the secretariat finds that the further input is still not sufficient to develop the DSB, the secretariat may initiate a direct communication with the DNA(s) via e-mail or conference calls to clarify remaining issues.
64. The secretariat shall revise the DSB, taking into account the further input and direct communication with the DNA(s), as applicable. The secretariat shall forward the revised DSB to the methodological expert panel for its final consideration. The methodological expert panel shall finalize the DSB. The secretariat shall forward it to the Supervisory Body and make it publicly available on the UNFCCC website.

#### **5.3.5. Finalization of a draft standardized baseline**

65. Before forwarding the DSB to the Supervisory Body in accordance with paragraphs 56, 61 or 64 above, the secretariat shall communicate the DSB to the DNA. The DNA shall confirm that it is acceptable or request modifications to it within 14 days of receipt. If the DNA does not respond by this deadline, the forwarding of the DSB to the Supervisory Body may be delayed accordingly. If the DNA does not accept the DSB and/or requests modification to it in its response, the secretariat shall forward the DSB and the response from the DNA to the two selected methodological expert panel members, or to the methodological expert panel, whichever considered the DSB last. In this case, taking into account the response of the DNA, the two selected methodological expert panel members shall finalize the DSB within seven days of receipt, or the methodological expert panel shall finalize the DSB at its next meeting, as applicable.

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

66. If no member of the Supervisory Body objects to approving the DSB received in accordance with paragraphs 56, 61 or 64 above within 28 days of receipt of the DSB, the DSB shall be deemed to be approved by the Supervisory Body.
67. An objection by a member of the Supervisory Body shall be made by notifying the Chair of the Supervisory Body through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
68. If a member of the Supervisory Body objects to approving the DSB 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 Supervisory Body meeting after that one.
69. If the Supervisory Body considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
  - (a) Approve the DSB;

- (b) Not approve the DSB;
  - (c) Continue the consideration of the DSB at the next Supervisory Body meeting; or
  - (d) Request the methodological expert panel to review the DSB and provide guidance on the issues for the review.
70. Once a decision has been made by the Supervisory Body, the secretariat shall inform the DNA of the decision and any guidance provided by the Supervisory Body, as applicable, and make the decision and guidance publicly available on the UNFCCC website.

## **6. Revision of a standardized baseline**

### **6.1. Bottom-up process**

#### **6.1.1. Submission of proposed revised standardized baseline**

71. A proponent may, taking into account the principles for revisions referred to in appendix to this procedure, propose a revision to an approved standardized baseline through the DNA of a Party for which the revised standardized baseline is proposed. In doing so, if new or additional data were used to establish the proposed revised standardized baseline, the proponent shall ensure that the new or additional data used in the proposed revised standardized baseline complies<sup>14</sup> with the “Standard: Determining coverage of data and validity of standardized baselines,” including the requirements related to the data coverage period and data currentness. The DNA should subsequently submit the proposed revised standardized baseline to the secretariat in accordance with paragraphs 72–74 below.
72. The DNA submitting the proposed revised standardized baseline shall submit the following documentation to the secretariat through a specified e-mail account made available on the UNFCCC website:
- (a) The completed “Form: Approved standardized baseline revision request”;
  - (b) The proposed revised standardized baseline, highlighting the proposed changes to the approved standardized baseline;
  - (c) A spreadsheet<sup>15</sup> containing all data used and the calculations performed for the establishment of the proposed revised standardized baseline;
  - (d) A quality control report prepared in accordance with the “Guideline: Quality assurance and quality control of data used in the establishment of standardized baselines”;
  - (e) An assessment report on the proposed revised standardized baseline containing the information referred to in paragraph 16 above and prepared in accordance with paragraph 73(b) below;
  - (f) All additional documentation supporting the submission (e.g. statistics and/or, studies etc.), where applicable;

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<sup>14</sup> Deviations from the requirements in the standard may be proposed with due justification when proposing a revision to an approved standardized baseline.

<sup>15</sup> In an accessible and verifiable (unprotected) format.

- (g) Letter of approval on the proposed revised standardized baseline from the DNA.
73. In cases where no new or additional data were required to establish the proposed revised standardized baseline:
- (a) The documentation referred to in paragraph 72(d) above is not required to be submitted;
  - (b) The assessment report referred to in paragraph 72(e) above does not need to include a positive assessment opinion on the compliance of the quality assurance and quality control system referred to in paragraph 16(a) above. Consequently, the assessment report only needs to include a positive assessment opinion that the proposed standardized baseline meet the requirements of one of the approaches referred to in paragraph 16(b) above.
74. The assessment report referred to in paragraph 72(e) above may be prepared by a DOE contracted and paid for by either the DNA or any other entity under the agreement with the DNA. Alternatively, the DNA may submit a standardized baseline without an assessment report only where the DNA can demonstrate that it faced difficulties in engaging a DOE (e.g. financial constraints, procurement-related constraints). In this case, the assessment report shall be prepared by a maximum of two independent experts in accordance with section 6.1.3 below.
75. No fee shall be payable to the secretariat for the submission of the proposed revised standardized baseline.

#### **6.1.2. Initial assessment**

76. The secretariat shall undertake an initial assessment of the submission using the “Form: Approved standardized baseline revision request initial assessment” within 21 days of receipt of the submission to determine whether:
- (a) The DNA submitted all the documentation in accordance with paragraphs 72 and 73 above;
  - (b) The “Form: Approved standardized baseline revision request”, has been duly completed, including the name and contact details of the proponent;
  - (c) The proposed revised standardized baseline was derived from the same approach as the one used in the approved standardized baseline that is being proposed for revision;
  - (d) The assessment report includes a positive assessment opinion in accordance with paragraph 16 above.
77. The secretariat shall inform the DNA and the proponent of the outcome of the initial assessment. If the secretariat finds that the required documentation or information is incomplete, it shall notify the DNA and the proponent accordingly. In this case, the DNA should provide the missing documents or information within 42 days of the notification.
78. The secretariat shall conclude the initial assessment within 14 days of receipt of the missing documents or information and inform the DNA and the proponent of the conclusion of the initial assessment. If the DNA does not provide the missing documents or information within the deadline, the secretariat shall suspend processing the submission and ascertain from the DNA whether it wishes that the proposed revised standardized

baseline continues to be considered. The secretariat shall resume processing the submission as soon as it receives the missing documents or information. In any case, if the DNA does not provide the missing documents or information within one year of the initial notification, the submission shall be considered withdrawn.

79. Upon successful conclusion of the initial assessment, the secretariat shall assign a reference number to the proposed revision and make the submitted documentation publicly available on the UNFCCC website with the exception of information declared confidential and/or proprietary by the DNA. Aggregated data and information used to derive the standardized baseline shall not be considered confidential or proprietary.

#### **6.1.3. Preparation of an assessment report by independent expert(s)**

80. If the submission of an assessment report is omitted in accordance with paragraph 74 above, the steps in section 5.2.3 shall follow.

#### **6.1.4. Preparation of a draft recommendation**

81. Within 28 days of the successful conclusion of the initial assessment or the completion of the assessment report by the independent expert(s), the secretariat shall prepare a draft recommendation on the proposed revised standardized baseline using either:
- (a) The “Form: Approved standardized baseline revision recommendation” for the recommended course of action referred to in paragraphs 82(a) or 82(c) below; or
  - (b) The “Form: Approved standardized baseline revision request” for the recommended course of action referred to in paragraph 82(b) below.
82. The secretariat shall include in its draft recommendation one of the following courses of action:
- (a) Approve the proposed revised standardized baseline, indicating that:
    - (i) The revision is a major revision; or
    - (ii) The revision is a minor revision;
  - (b) Request further input (e.g. additional information or modification to the submitted documentation) from the DNA and the proponent; or
  - (c) Not approve the proposed revised standardized baseline.
83. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the proposed revised standardized baseline and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.
84. The secretariat shall select two members of the methodological expert panel and forward its draft recommendation to them.
85. In preparing the draft recommendation, the secretariat and the selected members of the methodological expert panel may consult with the relevant working group referred to in paragraph 27 above.

**6.1.5. Consideration by selected members of the methodological expert panel**

86. The two selected members of the methodological expert panel shall, within seven days of receipt of the draft recommendation, independently assess the proposed revised standardized baseline and the draft recommendation and inform the secretariat of the outcome of their assessment.
87. If both of the selected members of the methodological expert panel agree to the draft recommendation that the proposed revised standardized baseline be approved indicating that the revision is major,<sup>16</sup> approved indicating that the revision is minor,<sup>17</sup> or not approved, the secretariat shall forward it as the recommendation to the Supervisory Body and make it publicly available on the UNFCCC website.
88. If both of the selected members of the methodological expert panel agree to the draft recommendation that the proposed revised standardized baseline requires further input from the DNA, the secretariat shall notify the DNA and the proponent accordingly using the “Form: Approved standardized baseline revision request”. The DNA should submit the requested input within 28 days of the notification. All the input shall be highlighted in the “Form: Approved standardized baseline revision request form”. If the DNA does not provide the requested input within the deadline, the secretariat shall suspend processing the submission and ascertain from the DNA whether it wishes that the proposed revised standardized baseline continues to be considered. The secretariat shall resume processing the submission as soon as it receives the requested input. In any case, if the DNA does not provide the requested input within one year of the initial notification, the submission shall be considered withdrawn.
89. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to recommend that the proposed revised standardized baseline be approved indicating that the revision is major or minor, or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or conference calls to clarify remaining issues.
90. The secretariat shall revise the draft recommendation, taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed revised standardized baseline be either approved indicating that the revision is major or minor, or not approved. The secretariat shall forward the revised draft recommendation to the two selected members of the methodological expert panel for their consideration. In this case, the steps in paragraphs 87 above or 91–94 below shall follow.

**6.1.6. Consideration by the methodological expert panel**

91. If at least one selected member of the methodological expert panel disagrees with the draft recommendation or requests that it be considered by the methodological expert panel, the secretariat shall forward the draft recommendation to the methodological expert panel. The methodological expert panel shall consider the proposed revised standardized baseline and the draft recommendation at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the meeting after that one.
92. The methodological expert panel shall finalize its consideration within two meetings, unless it finds that further input from the DNA or guidance from the Supervisory Body is

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<sup>16</sup> See paragraph 185.

<sup>17</sup> See paragraph 188.

required. In case further input from the DNA or guidance from the Supervisory Body is sought, the methodological expert panel shall finalize its consideration at the meeting immediately following receipt of such input or guidance. In finalizing its consideration, the methodological expert panel shall conclude to recommend that the proposed revised standardized baseline be either approved indicating that the revision is major or minor, or not approved. The secretariat shall forward it as the recommendation to the Supervisory Body and make it publicly available on the UNFCCC website.

93. If the methodological expert panel finds that further input from the DNA is required, the secretariat shall notify the DNA and the proponent accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA does not submit the requested input within the deadline, the secretariat shall suspend processing the submission and ascertain from the DNA whether it wishes that the proposed revised standardized baseline continues to be considered. The secretariat shall resume processing the submission as soon as it receives the requested input. In any case, if the DNA does not provide the requested input within one year of the initial notification, the submission shall be considered withdrawn.
94. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to recommend that the proposed revised standardized baseline be approved indicating that the revision is major or minor, or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or conference calls to clarify remaining issues.
95. The secretariat shall revise the draft recommendation, taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed revised standardized baseline be either approved indicating that the revision is major or minor, or not approved. The secretariat shall forward the revised draft recommendation to the methodological expert panel for its final consideration. The methodological expert panel shall conclude to recommend that the proposed revised standardized baseline be either approved indicating that the revision is major or minor or not approved. The secretariat shall forward it as the recommendation to the Supervisory Body and make it publicly available on the UNFCCC website.

#### **6.1.7. Preparation of draft revised standardized baseline**

96. If the draft recommendation is to approve the proposed revised standardized baseline in accordance with paragraphs 87, 92 or 95 above, the secretariat shall, before forwarding it as the recommendation to the Supervisory Body, reformat the proposed revised standardized baseline and send it to the two selected methodological expert panel members or to the methodological expert panel, whichever considered it last. Upon receipt of an agreement on the reformatted revised standardized baseline from the two selected methodological expert panel members, or from the methodological expert panel, as applicable, the secretariat shall communicate the reformatted revised standardized baseline to the DNA and the proponent. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt. If the DNA does not respond by this deadline, the forwarding of the recommendation to the Supervisory Body may be delayed accordingly. If the DNA does not accept the reformatted revised standardized baseline and/or requests modification to it in its response, the secretariat shall forward the reformatted revised standardized baseline and the response from the DNA to the two selected methodological expert panel members, or to the methodological expert panel, whichever considered the draft recommendation last. In this case, taking into account the response from the DNA, the two selected methodological expert panel members shall

finalize the reformatted revised standardized baseline within seven days of receipt, or the methodological expert panel shall finalize the reformatted revised standardized baseline at its next meeting, as applicable.

97. The secretariat shall also make the assessment report publicly available on the UNFCCC CDM website if it has been prepared by the independent expert(s) in accordance with section 6.1.3 above.

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

98. If no member of the Supervisory Body objects to the recommendation received in accordance with paragraphs 87, 92 or 95 above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Supervisory Body.
99. An objection by a member of the Supervisory Body shall be made by notifying the Chair of the Supervisory Body through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
100. If a member of the Supervisory Body objects to the recommendation 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 Supervisory Body meeting after that one.
101. If the Supervisory Body considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
- (a) Approve the proposed revised standardized baseline, indicating that:
    - (i) The revision is a major revision; or
    - (ii) The revision is a minor revision;
  - (b) Not approve the proposed revised standardized baseline;
  - (c) Continue the consideration of the proposed revised standardized baseline at the next Supervisory Body meeting; or
  - (d) Request the methodological expert panel to review the recommendation and provide guidance on the issues for the review.
102. Once a decision has been made by the Supervisory Body, the secretariat shall inform the DNA and the proponent of the decision and any guidance provided by the Supervisory Body, as applicable, and make the decision and guidance publicly available on the UNFCCC website.
103. If the proposed revised standardized baseline is not approved, the DNA may at any time resubmit a proposed revised standardized baseline with revised documentation. Upon submission of the revised documentation, the submission shall be treated as a new submission of a proposed revised standardized baseline.

## **6.2. Top-down process**

### **6.2.1. Initiation**

104. The Supervisory Body may, taking into account the principles for revisions referred to in appendix to this procedure, decide to revise an approved standardized baseline at any time. If the Supervisory Body decides to revise an approved standardized baseline, the Supervisory Body shall also decide to:
- (a) Put on hold the approved standardized baseline with immediate effect. In this case, DOEs shall not submit, through a dedicated interface on the UNFCCC website, any project design document (PDD) or programme of activities design document (PoA-DD) for global stakeholder consultation, any request for registration or any request for renewal of the crediting period of a project or PoA applying the approved standardized baseline from the day following the date of publication of the Supervisory Body's meeting report containing the decision;
  - (b) Put on hold the approved standardized baseline with a grace period of 28 days. In this case, DOEs shall not submit, through a dedicated interface on the UNFCCC website, any PDD or PoA-DD for global stakeholder consultation, any request for registration or any request for renewal of the crediting period of a project or PoA applying the approved standardized baseline more than 28 days following the date of publication of the Supervisory Body's meeting report containing the decision; or
  - (c) Maintain the current version of the approved standardized baseline until the expiry of its validity in accordance with section 9 below.
105. The methodological expert panel or the secretariat may at any time, taking into account the principles for revisions referred to in appendix to this procedure, propose that the Supervisory Body revise an approved standardized baseline. If the methodological expert panel or the secretariat considers that the current version of the approved standardized baseline should be put on hold, it shall recommend so to the Supervisory Body. In these cases, the Supervisory Body shall consider the proposal and/or the recommendation and decide whether to revise and/or to put on hold the current version of the approved standardized baseline in accordance with paragraph 104 above.

### **6.2.2. Preparation of a draft revised standardized baseline**

106. If the Supervisory Body decides to revise an approved standardized baseline in accordance with paragraphs 104 or 105 above, the secretariat shall communicate the decision to the DNA of the Party for which a revised standardized baseline will be proposed and seek its agreement to the initiation of the revision. Following receipt of the agreement with the DNA using the "Form: Approved standardized baseline revision agreement", the secretariat shall prepare a draft revised standardized baseline highlighting the proposed changes to the approved standardized baseline.
107. In preparing the draft revised standardized baseline, the secretariat may draw upon external expertise, depending on the technical complexity of the revision and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.



108. The secretariat shall select two members of the methodological expert panel and forward the draft revised standardized baseline to them.
109. In preparing the draft revised standardized baselines, the secretariat and the selected members of the methodological expert panel may consult with the relevant working group referred to in paragraph 27 above.

### **6.2.3. Consideration by selected members of the methodological expert panel**

110. The two selected members of the methodological expert panel shall, within seven days of receipt of the draft revised standardized baseline, independently assess the draft revised standardized baseline and inform the secretariat of their recommendation indicating one of the following courses of action:
  - (a) Approve the draft revised standardized baseline, indicating that:
    - (i) The revision is a major revision; or
    - (ii) The revision is a minor revision;
  - (b) Request further input (e.g. additional information or modification to the submitted documentation) from the DNA; or
  - (c) Request that the draft revised standardized baseline be considered by the methodological expert panel.
111. If both of the selected members of the methodological expert panel recommend that the draft revised standardized baseline be approved indicating that the revision is either major or minor, the secretariat shall forward it to the Supervisory Body and make it publicly available on the UNFCCC website.
112. If both of the selected members of the methodological expert panel recommend that the draft revised standardized baseline requires further input from the DNA, the secretariat shall notify the DNA accordingly. The DNA should submit the requested input within 28 days of the notification. If the DNA does not provide the requested input within the deadline, the secretariat shall suspend processing the development and ascertain from the DNA whether it wishes that the draft revised standardized baseline continue to be developed. The secretariat shall resume development of the draft revised standardized baseline as soon as it receives the requested input. In any case, if the DNA does not provide the requested input within one year of the initial notification, the secretariat shall terminate the development of the draft revised standardized baseline.
113. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to develop the draft revised standardized baseline, the secretariat may initiate a direct communication with the DNA via e-mail or conference calls to clarify remaining issues.
114. The secretariat shall revise the draft revised standardized baseline, taking into account the further input and direct communication with the DNA, as applicable. The secretariat shall forward the revised draft revised standardized baseline to the two selected members of the methodological expert panel for their consideration. In this case, the steps in paragraphs 111 above or 115–119 below shall follow.

#### **6.2.4. Consideration by the methodological expert panel**

115. If at least one selected member of the methodological expert panel requests that the draft revised standardized baseline be considered by the methodological expert panel, the secretariat shall forward the draft revised standardized baseline to the methodological expert panel. The methodological expert panel shall consider the draft revised standardized baseline at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the Supervisory Body meeting after that one.
116. The methodological expert panel shall finalize the draft revised standardized baseline within two meetings, unless it finds that further input from the DNA or guidance from the Supervisory Body is required. In case further input from the DNA or guidance from the Supervisory Body is sought, the methodological expert panel shall finalize the draft revised standardized baseline at the meeting immediately following receipt of such input or guidance. The secretariat shall forward it to the Supervisory Body and make it publicly available on the UNFCCC website.
117. If the methodological expert panel finds that further input from the DNA is required, the secretariat shall notify the DNA accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA does not submit the requested input within the deadline, the secretariat shall suspend the development of the draft revised standardized baseline and ascertain from the DNA whether it wishes that the draft revised standardized baseline continue to be developed. The secretariat shall resume development of the draft revised standardized baseline as soon as it receives the requested input. In any case, if the DNA does not provide the requested input within one year of the initial notification, the secretariat shall terminate the development of the draft revised standardized baseline.
118. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to develop the draft revised standardized baseline, the secretariat may initiate a direct communication with the DNA via e-mail or conference calls to clarify remaining issues.
119. The secretariat shall revise the draft revised standardized baseline, taking into account the further input and direct communication with the DNA, as applicable. The secretariat shall forward the revised draft revised standardized baseline to the methodological expert panel for its final consideration. The methodological expert panel shall finalize the draft revised standardized baseline. The secretariat shall forward it to the Supervisory Body and make it publicly available on the UNFCCC website.

#### **6.2.5. Finalization of draft revised standardized baseline**

120. Before forwarding the draft revised standardized baseline in accordance with paragraphs 111, 116 or 119 above, the secretariat shall communicate the draft revised standardized baseline to the DNA. The DNA shall confirm that it is acceptable or request modifications to it within 14 days of receipt. If the DNA does not respond by this deadline, the forwarding of the draft revised standardized baseline to the Supervisory Body may be delayed accordingly. If the DNA does not accept the draft revised standardized baseline and/or requests modification to it in its response, the secretariat shall forward the draft revised standardized baseline and the response from the DNA to the two selected methodological expert panel members, or to the methodological expert panel, whichever considered the draft revised standardized baseline last. In this case, taking into account

the response of the DNA, the two selected methodological expert panel members shall finalize the draft revised standardized baseline within seven days of receipt, or the methodological expert panel shall finalize the draft revised standardized baseline at its next meeting, as applicable.

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

121. If no member of the Supervisory Body objects to approving the draft revised standardized baseline received in accordance with paragraphs 111, 116 or 119 above within 28 days of receipt of the draft revised standardized baseline, the draft revised standardized baseline shall be deemed to be approved by the Supervisory Body.
122. An objection by a member of the Supervisory Body shall be made by notifying the Chair of the Supervisory Body through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
123. If a member of the Supervisory Body objects to approving the draft revised standardized baseline 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 Supervisory Body meeting after that one.
124. If the Supervisory Body considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
  - (a) Approve the draft revised standardized baseline, indicating that:
    - (i) The revision is a major revision; or
    - (ii) The revision is a minor revision;
  - (b) Not approve the draft revised standardized baseline;
  - (c) Continue the consideration of the draft revised standardized baseline at the next Supervisory Body meeting; or
  - (d) Request the methodological expert panel to review the draft revised standardized baseline and provide guidance on the issues for the review.
125. Once a decision has been made by the Supervisory Body, the secretariat shall inform the DNA(s) of the decision and any guidance provided by the Supervisory Body, as applicable, and make the decision and guidance publicly available on the UNFCCC website.

#### **6.2.7. Other**

126. The secretariat may propose an editorial revision to an approved standardized baseline at any time. In this case, the secretariat shall submit a draft revised standardized baseline to the Chair of the Supervisory Body for his/her review. If the Chair agrees to the draft revised standardized baseline, the secretariat shall publish the revised standardized baseline on the UNFCCC website. The editorial revision shall be noted in the report of the next meeting of the Supervisory Body.

## **7. Clarification of a standardized baseline**

### **7.1. Bottom-up process**

#### **7.1.1. Submission of request for clarification**

127. The activity participants of a planned project or PoA, the coordinating/managing entity of a planned PoA, a DOE, a DNA or any other stakeholder (hereinafter in section 7.1 referred to as the enquirer) may, taking into account the principles for clarifications referred to in appendix to this procedure, request clarification of an approved standardized baseline by submitting the completed “Form: Approved standardized baseline clarification request” to the secretariat through a specified e-mail account made available on the UNFCCC website.

#### **7.1.2. Initial assessment**

128. The secretariat shall give notice of the receipt of the request for clarification to the DNA of a Party to which the approved standardized baseline applies within seven days of receipt.

129. The secretariat shall undertake an initial assessment of the submission using the “Form: Approved standardized baseline clarification request initial assessment” within 21 days of receipt of the submission, to determine whether:

- (a) The “Form: Approved standardized baseline clarification request”, including the name and contact details of the enquirer, has been duly completed; and
- (a) The submission is categorized as either:
  - (i) Involving no regulatory and/or technical ambiguity or only simple regulatory and/or technical issues, hence requiring no analysis or only a simple analysis to formulate a clarification; or
  - (ii) Involving complex regulatory and/or technical issues and/or having the potential to apply to multiple versions of the approved standardized baseline, hence requiring a thorough analysis to formulate a clarification.

130. If the secretariat finds that the submission is incomplete, it shall request the enquirer to submit the missing or revised documents and/or information. In this case, the enquirer shall submit the requested documents and/or information to the secretariat within five days of the receipt of the request. If the enquirer does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the submission is incomplete.

131. Upon conclusion of the initial assessment, the secretariat shall notify the enquirer of the conclusion of the initial assessment. If the submission is concluded as incomplete in accordance with paragraph 130 above, the secretariat shall communicate the underlying reasons to the enquirer. In this case, the enquirer may resubmit the request for clarification with revised documentation at any time. Upon submission, the revised documentation shall be treated as a new submission of a request for clarification under this procedure.

#### **7.1.3. Fast track**

132. If the submission is determined as being the case referred to in paragraph 129(a)(i) above, the secretariat shall prepare a clarification using the “Form: Approved standardized

baseline clarification response” and send it to the enquirer and the DNA within nine days of the successful conclusion of the initial assessment.

133. In preparing the clarification, the secretariat may consult with the methodological expert panel. In this case, the timeline referred to in paragraph 132 above shall not apply. The secretariat shall send a draft clarification to the methodological expert panel within nine days of the successful conclusion of the initial assessment. If no member of the methodological expert panel objects to the draft clarification within seven days of receipt of the draft clarification, the clarification shall be deemed finalized by the methodological expert panel. If a member of the methodological expert panel objects to the draft clarification, the case shall be placed on the agenda of the next meeting of the methodological expert panel. At the meeting where the case is placed on the agenda, the methodological expert panel shall make every effort to finalize the clarification within one meeting.
134. The secretariat shall publish the clarification on the UNFCCC website.

#### **7.1.4. Regular track**

135. If the submission is determined as being the case referred to in paragraph 129(a)(ii) above, the secretariat shall prepare a draft recommendation of a clarification to the methodological expert panel using the “Form: Approved standardized baseline clarification response”.
136. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the issues in question and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.
137. The secretariat shall select one member of the methodological expert panel and forward the draft recommendation to him/her for review. The selected member shall provide input on the draft recommendation within three days of receipt.
138. In preparing the draft recommendation, the secretariat and the selected members of the methodological expert panel may consult with the relevant working group referred to in paragraph 27 above.
139. The secretariat may also forward the draft recommendation to the DNA for review. In this case, the DNA shall provide input on the draft recommendation within seven days of receipt.
140. The secretariat shall finalize the recommendation, taking into account the input from the selected member and the DNA, as applicable, and submit it to the methodological expert panel for consideration.
141. The methodological expert panel shall consider the recommendation, finalize the recommendation and forward it to the Supervisory Body and publish it in its corresponding meeting report, indicating the version(s) of the approved standardized baseline to which the clarification applies. The methodological expert panel shall make every effort to finalize the recommendation within one meeting.
142. If no member of the Supervisory Body objects to the recommendation above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Supervisory Body.

143. An objection by a member of the Supervisory Body shall be made by notifying the Chair of the Supervisory Body through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
144. If a member of the Supervisory Body objects to the recommendation 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 Supervisory Body meeting after that one.
145. At the Supervisory Body meeting for which the recommendation to the Supervisory Body is placed on the agenda, the Supervisory Body shall decide to either:
- (a) Approve the recommended clarification; or
  - (a) Request the methodological expert panel to review the recommendation to the Supervisory Body and provide guidance on the issues for review.
146. If the Supervisory Body approves the clarification, the secretariat shall send the finalized clarification to the enquirer and the DNA.
147. The secretariat shall publish the clarification on the UNFCCC website.

#### **7.1.5. Other**

148. At any step before the clarification is finalized in accordance with paragraphs 132, 133 or (a) above, the secretariat may request the enquirer to provide additional information regarding the request for clarification within a defined time frame to facilitate the assessment by the secretariat and/or the consideration by the methodological expert panel. If such information significantly affects the outcome of the consideration, the secretariat shall make the information publicly available on the UNFCCC website.

### **7.2. Top-down process**

149. If the Supervisory Body, the methodological expert panel, or the secretariat finds it necessary, taking into account the principles for clarifications referred to in appendix to this procedure, to clarify provisions of an approved standardized baseline, the process to revise the approved standardized baseline as defined in section 6.2 shall be followed. In this case, the draft revised standardized baseline shall incorporate all relevant clarifications issued prior to the revision.

## **8. Update of a standardized baseline**

### **8.1. Bottom-up process**

#### **8.1.1. Submission of a proposed updated standardized baseline**

150. A proponent may propose an updated standardized baseline through the DNA of the Party for which the updated standardized baseline is proposed. In doing so, the proponent shall ensure that the proposed updated standardized baseline complies<sup>18</sup> with the “Standard: Determining coverage of data and validity of standardized baselines”, including the requirements related to the data coverage period, data currentness and the validity of

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<sup>18</sup> Deviations from the requirements in the standard may be proposed with due justification when proposing an update of an approved standardized baseline.

standardized baselines. The DNA should subsequently submit the proposed updated standardized baseline to the secretariat in accordance with paragraphs 151–153 below.

151. The DNA submitting the proposed updated standardized baseline shall submit the following documentation to the secretariat through a specified e-mail account made available on the UNFCCC website between 270 to 180 days prior to the date when the validity of the current standardized baseline expires:<sup>19</sup>
- (a) The completed “Form: Approved standardized baseline update request”;
  - (a) The proposed updated standardized baseline, highlighting the proposed changes to the approved standardized baseline;
  - (b) A spreadsheet<sup>20</sup> containing all data used and the calculations performed for the establishment of the proposed updated standardized baseline;
  - (c) A quality control report prepared in accordance with the “Guideline: Quality assurance and quality control of data used in the establishment of standardized baselines”;
  - (d) An assessment report on the proposed updated standardized baseline containing the information referred to in paragraph 16 above and prepared in accordance with paragraph 152 below.
  - (e) All additional documentation supporting the submission (e.g. statistics and/or, studies etc.), where applicable;
  - (f) Letter of approval on the proposed updated standardized baseline from the DNA.
152. In cases where no new or additional data were required to establish the proposed updated standardized baseline:
- (a) The documentation referred to in paragraph 151(c) above is not required to be submitted;
  - (b) The assessment report referred to in paragraph 151(d) above does not need to include a positive assessment opinion on the compliance of the quality assurance and quality control system referred to in paragraph 16(a) above. Consequently, the assessment report only needs to include a positive assessment opinion that the proposed standardized baseline meets the requirements of one of the approaches referred to in paragraph 16(b) above.
153. The assessment report referred to in paragraph 151(d) above may be prepared by a DOE contracted and paid for by either the DNA or any other entity under agreement with the DNA. Alternatively, the DNA may submit a standardized baseline without an assessment report only where the DNA can demonstrate that it faced difficulties in engaging a DOE (e.g. financial constraints, procurement-related constraints). In this case, the assessment report shall be prepared by a maximum of two independent experts in accordance with section 8.1.3 below.

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<sup>19</sup> Any delay in the submission from this time frame may create a gap period between the expiry of the current standardized baseline and the entry-into-force of the updated standardized baseline. For the requirement for addressing such gap period, see section 9 below.

<sup>20</sup> In an accessible and verifiable (unprotected) format.

154. The secretariat shall make every effort to inform the DNA in advance of the period for requesting update of the approved standardized baseline. It remains the responsibility of the DNA to ensure that all actions are taken in accordance with this section of the procedure in a timely manner.
155. The Supervisory Body may, upon request from the DNA, decide to request the secretariat to provide technical support to the DNA for the preparation of the request without prejudice to the outcome of the subsequent request.
156. No fee shall be payable to the secretariat for the submission of the proposed updated standardized baseline.

#### **8.1.2. Initial assessment**

157. The secretariat shall undertake an initial assessment of the submission using the “Form: Approved standardized baseline update request initial assessment” within 21 days of receipt of the submission. The secretariat shall assess whether:
  - (a) The DNA submitted all the documentation in accordance with paragraphs 151 and 152 above;
  - (b) The “Form: Approved standardized baseline update request”, including the name and contact details of the proponent, has been duly completed;
  - (a) The proposed updated standardized baseline was derived from the same approach as the one used in the approved standardized baseline that is being proposed for an update;
  - (b) The proposed updated standardized baseline, if developed using the approach referred to in paragraphs 9(b) or 9(c) above, does not require revision to the underlying approved methodology or methodological tool. If it requires such revision, the secretariat shall propose that the Board carry out the revision through the top-down process in accordance with the “Procedure: development, revision and clarification of baseline and monitoring methodologies and methodological tools”;
  - (c) The assessment report includes positive assessment opinion in accordance with paragraph 16 above.
158. The secretariat shall inform the DNA and the proponent of the outcome of the initial assessment. If the secretariat finds that the required documentation or information is incomplete, it shall notify the DNA and the proponent accordingly. In this case, the DNA should provide the missing documents or information within 42 days of the notification.
159. The secretariat shall conclude the initial assessment within 14 days of receipt of missing documents or information and inform the DNA and the proponent of the conclusion of the initial assessment. If the DNA does not provide the missing documents or information within the deadline, the secretariat shall suspend processing the submission and ascertain from the DNA whether it wishes that the proposed updated standardized baseline continues to be considered. The secretariat shall resume processing the submission as soon as it receives the missing documents or information. In any case, if the DNA does not provide the missing documents or information within one year of the initial notification, the submission shall be considered withdrawn.



160. Upon successful conclusion of the initial assessment, the secretariat shall assign a reference number to the proposed updated standardized baseline and make the submitted documentation publicly available on the UNFCCC website with the exception of information declared confidential and/or proprietary by the DNA. Aggregated data and information used to derive the standardized baseline shall not be considered confidential or proprietary.

#### **8.1.3. Preparation of an assessment report by independent expert(s)**

161. If the submission of an assessment report is omitted in accordance with paragraph 153 above, the steps in section 5.2.3 shall follow.

#### **8.1.4. Preparation of a draft recommendation**

162. Within 28 days of the successful conclusion of the initial assessment or the completion of the assessment report by the independent expert(s), the secretariat shall prepare a draft recommendation on the proposed updated standardized baseline using either:

- (a) The "Form: Approved standardized baseline update recommendation" for the recommended course of action referred to in paragraphs 163(a) or 163(c) below; or
- (a) The "Form: Approved standardized baseline update request" for the recommended course of action referred to in paragraph 163(b) below.

163. The secretariat shall include in its draft recommendation one of the following courses of action:

- (a) Approve the proposed updated standardized baseline;
- (b) Request further input (e.g. additional information or modification to the submitted documentation) from the DNA and the proponent; or
- (c) Not approve the proposed updated standardized baseline.

164. In preparing the draft recommendation, the secretariat may draw upon external expertise, depending on the technical complexity of the proposed updated standardized baseline and the availability of expertise in the secretariat, by selecting a maximum of two external experts from the Methodologies Roster of Experts. If the secretariat does not find suitable and available experts on the roster, it may use the services of experts not included on the roster.

165. The secretariat shall select two members of the methodological expert panel and forward its draft recommendation to them.

#### **8.1.5. Consideration by selected members of the methodological expert panel**

166. The two selected members of the methodological expert panel shall, within seven days of receipt of the draft recommendation, independently assess the proposed updated standardized baseline and the draft recommendation and inform the secretariat of the outcome of their assessment.

167. If both of the selected members of the methodological expert panel agree to the draft recommendation to approve or not to approve the proposed updated standardized

baseline, the secretariat shall forward it as the recommendation to the Supervisory Body and make it publicly available on the UNFCCC website.

168. If both of the selected members of the methodological expert panel agree to the draft recommendation that the proposed updated standardized baseline requires further input from the DNA, the secretariat shall notify the DNA and the proponent accordingly using the "Form: Approved standardized baseline update request". The DNA should submit the requested input within 28 days of the notification. All the input shall be highlighted in the "Form: Approved standardized baseline update request". If the DNA does not provide the requested input within the deadline, the secretariat shall suspend processing the submission and ascertain from the DNA whether it wishes that the proposed standardized baseline continue to be considered. The secretariat shall resume processing the submission as soon as it receives the requested input. In any case, if the DNA does not provide the requested input within one year of the initial notification, the submission shall be considered withdrawn.
169. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that it is still not sufficient to recommend that the proposed updated standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or conference calls to clarify remaining issues.
170. The secretariat shall revise the draft recommendation, taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the two selected members of the methodological expert panel for their consideration. In this case, the steps in paragraphs 167 or 171–175 below shall follow.

#### **8.1.6. Consideration by the methodological expert panel**

171. If at least one selected member of the methodological expert panel disagrees with the draft recommendation or requests that it be considered by the methodological expert panel, the secretariat shall forward the draft recommendation to the methodological expert panel. The methodological expert panel shall consider the proposed updated standardized baseline and the draft recommendation at its next meeting, provided it is received at least 14 days before the meeting; otherwise it shall be considered at the meeting after that one.
172. The methodological expert panel shall finalize its consideration within two meetings, unless it finds that further input from the DNA or guidance from the Supervisory Body is required. In case further input from the DNA or guidance from the Supervisory Body is sought, the methodological expert panel shall finalize its consideration at the meeting immediately following receipt of such input or guidance. In finalizing its consideration, the methodological expert panel shall conclude to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Supervisory Body and make it publicly available on the UNFCCC website.
173. If the methodological expert panel finds that further input from the DNA is required, the secretariat shall notify the DNA and the proponent accordingly. In this case, the DNA should submit the requested input within 28 days of the notification. If the DNA does not submit the requested input within the deadline, the secretariat shall suspend processing the submission and ascertain from the DNA whether it wishes that the proposed standardized baseline continues to be considered. The secretariat shall resume

processing the submission as soon as it receives the requested input. In any case, if the DNA does not provide the requested input within one year of the initial notification, the submission shall be considered withdrawn.

174. The secretariat shall assess the further input submitted by the DNA. If the secretariat finds that the further input is still not sufficient to recommend that the proposed updated standardized baseline be approved or not approved, the secretariat may initiate a direct communication with the DNA and the proponent via e-mail or conference calls to clarify remaining issues.
175. The secretariat shall revise the draft recommendation, taking into account the further input and direct communication with the DNA and the proponent, as applicable, to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward the revised draft recommendation to the methodological expert panel for its final consideration. The methodological expert panel shall conclude to recommend that the proposed updated standardized baseline be either approved or not approved. The secretariat shall forward it as the recommendation to the Supervisory Body and make it publicly available on the UNFCCC website.

#### **8.1.7. Preparation of draft updated standardized baseline**

176. If the draft recommendation is to approve the proposed updated standardized baseline in accordance with paragraphs 167, 172 or 175 above, the secretariat shall, before forwarding it as the recommendation to the Supervisory Body, reformat the proposed updated standardized baseline and send it to the two selected methodological expert panel members or to the methodological expert panel, whichever considered it last. Upon receipt of an agreement on the reformatted updated standardized baseline from the two selected methodological expert panel members, or from the methodological expert panel, as applicable, the secretariat shall communicate the reformatted updated standardized baseline to the DNA and the proponent. The DNA shall confirm that it is acceptable or request modifications to it within seven days of receipt. If the DNA does not respond by this deadline, the forwarding of the recommendation to the Supervisory Body may be delayed accordingly. If the DNA does not accept the reformatted updated standardized baseline and/or requests modification to it in its response, the secretariat shall forward the reformatted updated standardized baseline and the response from the DNA to the two selected methodological expert panel members, or to the methodological expert panel, whichever considered the draft recommendation last. In this case, taking into account the response from the DNA, the two selected methodological expert panel members shall finalize the reformatted updated standardized baseline within seven days of receipt, or the methodological expert panel shall finalize the reformatted updated standardized baseline at its next meeting, as applicable.
177. The secretariat shall also make the assessment report publicly available on the UNFCCC CDM website if it has been prepared by the independent expert(s) in accordance with section 8.1.3 above.

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

178. If no member of the Supervisory Body objects to the recommendation received in accordance with paragraphs 167, 172 or 175 above within 28 days of receipt of the recommendation, the recommended course of action shall be deemed to be the decision adopted by the Supervisory Body.

179. An objection by a member of the Supervisory Body shall be made by notifying the Chair of the Supervisory Body through the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
180. If a member of the Supervisory Body objects to the recommendation 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 Supervisory Body meeting after that one.
181. If the Supervisory Body considers the case at its meeting, it shall decide on one of the following courses of action at the meeting:
- (a) Approve the proposed updated standardized baseline;
  - (b) Not approve the proposed updated standardized baseline;
  - (c) Continue the consideration of the proposed baseline at the next Supervisory Body meeting; or
  - (d) Request the methodological expert panel to review the recommendation and provide guidance on the issues for the review.
182. Once a decision has been made by the Supervisory Body, the secretariat shall inform the DNA and the proponent of the decision and any guidance provided by the Supervisory Body, as applicable, and make the decision and guidance publicly available on the UNFCCC website.
183. If the proposed updated standardized baseline is not approved, the DNA may at any time resubmit a proposed updated standardized baseline with revised documentation. Upon submission of the revised documentation, the submission shall be treated as a new submission of a proposed updated standardized baseline.

## **9. Validity of new, updated and revised standardized baselines**

184. The reference number of an approved new standardized baseline shall indicate the year when the standardized baseline comes into force. The approved new or revised standardized baseline shall come into force from the date as indicated in the approved new or revised standardized baseline. From this date, a project or PoA may apply the approved new or revised standardized baseline for the purpose of publishing a PDD or PoA-DD for global stakeholder consultation, submitting a request for registration, or submitting a request for renewal of the crediting period or PoA period, in accordance with the “Activity cycle procedure for projects” or “Activity cycle procedure for programmes of activities”. The approved new or revised standardized baseline shall be valid for the period indicated in the approved new or revised standardized baseline. The validity period of a standardized baseline does not change due to a revision.
185. The year indicated in the reference number of an approved standardized baseline shall be replaced by the year when an updated standardized baseline comes into force if the Supervisory Body approves the updated standardized baseline in accordance with paragraph 181(a) above. The version number of the updated standardized baseline shall also be reset to 01.0 (e.g. from 02.1 to 01.0). The updated standardized baseline shall come into force from the date as indicated in the updated standardized baseline for the purpose of publishing a PDD or PoA-DD for global stakeholder consultation, submitting a

request for registration, or submitting a request for renewal of the crediting period or PoA period, in accordance with the “Activity cycle procedure for projects” or “Activity cycle procedure for programmes of activities”. If, after the publication of a PDD or PoA-DD for global stakeholder consultation, the applied standardized baseline has expired and an updated standardized baseline is available at the time of submission of a request for registration or renewal, the activity participants or the coordinating/managing entity shall revise the PDD or PoA-DD applying the updated standardized baseline. If, after the publication of the PDD or PoA-DD for global stakeholder consultation, the applied standardized baseline has expired and no valid updated standardized baseline is available at the time of submission of a request for registration or renewal, the activity participants or the coordinating/managing entity shall revise the PDD or PoA-DD replacing the standardized baseline with the corresponding parameter values calculated by themselves in accordance with the applied methodology and/or applicable methodological tool. In these cases, the DOE shall not publish the revised PDD or PoA-DD for global stakeholder consultation but shall submit it when it submits a request for registration unless otherwise decided by the Supervisory Body when it approves the updated standardized baseline. The updated standardized baseline shall be valid for the period indicated in the approved updated standardized baseline.

186. If the entry into force of an updated standardized baseline is not immediately after the expiry of its previous version, thus creating a gap period in the validity of the two consecutive versions of the standardized baseline, the activity participants and the coordinating/managing entities shall, for the purpose of publishing a PDD or PoA-DD for global stakeholder consultation, submitting a request for registration, or submitting a request for renewal of the crediting period or PoA period, in accordance with the “Activity cycle procedure for projects” or “Activity cycle procedure for programmes of activities”, choose one of the following options for calculating baseline emissions for such gap period:
- (a) Determine the parameter values in accordance with the applied methodology and/or applicable methodological tool;
  - (b) Use the more conservative value between the previous and the updated standardized baseline.
187. The version number of an approved standardized baseline shall increase by one whole number (e.g. from 01.0 to 02.0) if the Supervisory Body approves a revised standardized baseline indicating that it is a major revision in accordance with paragraphs 101(i) or 124(i) above. In this case, for the purpose of publishing a PDD or PoA-DD for global stakeholder consultation, submitting a request for registration, or submitting a request for renewal of the crediting period or PoA period in accordance with the “Activity cycle procedure for projects” or “Activity cycle procedure for programmes of activities”:
- (a) A project or PoA may still apply the previous version:
    - (i) Until the 240<sup>th</sup> day from the date when the revised version becomes effective unless the previous version has been put on hold by the Supervisory Body in accordance with paragraphs 104(a) or 104(b) above, if the remaining validity of the standardized baseline for the current period is longer than this 240-day period; or
    - (ii) Until the validity of the standardized baseline for the current period expires unless the previous version has been put on hold by the Supervisory Body in accordance with paragraphs 104(a) or 104(b) above, if the remaining

validity of the standardized baseline for the current period is not longer than this 240-day period; and

- (b) A project or PoA shall apply the revised version after this 240-day period, or immediately after its adoption if the previous version has been put on hold in accordance with paragraphs 104(a) or 104(b) above, as applicable, for the purpose of publishing a PDD or PoA-DD for global stakeholder consultation, submitting a request for registration, or submitting a request for renewal of the crediting period or PoA period in accordance with the “Activity cycle procedure for projects” or “Activity cycle procedure for programmes of activities”. If a PDD or PoA-DD applying the previous version has already been published for global stakeholder consultation, the activity participants or coordinating/managing entity shall revise the PDD or PoA-DD, applying the revised version. In this case, the DOE shall not publish the revised PDD or PoA-DD for global stakeholder consultation but submit it when it submits a request for registration unless otherwise decided by the Supervisory Body when it approves the revised standardized baseline.
188. The version number of an approved standardized baseline shall increase by one fractional number in the first decimal place (e.g. from 01.0 to 01.1) if the Supervisory Body approves a revised standardized baseline indicating that it is a minor revision in accordance with paragraphs 101(ii) or 124(ii) above, or if an editorial revision to an approved standardized baseline has been made in accordance with paragraph 126 above. In this case, for the purpose of publishing a PDD or PoA-DD for global stakeholder consultation, submitting a request for registration, or submitting a request for renewal of the crediting period or PoA period in accordance with the “Activity cycle procedure for projects” or “Activity cycle procedure for programmes of activities”, a project or PoA may still apply the previous version or any earlier version of minor revision:
- (a) Until the 240<sup>th</sup> day from the date when the next major revision becomes effective unless the previous or earlier version(s) has been put on hold by the Supervisory Body in accordance with paragraphs 104(a) or 104(b) above, if the remaining validity of the standardized baseline for the current period after the next major revision is longer than this 240-day period; or
  - (b) Until the validity of the standardized baseline for the current period expires unless the previous version has been put on hold by the Supervisory Body in accordance with paragraphs 104(a) or 104(b) above, if the remaining validity of the standardized baseline after the next major revision is not longer than this 240-day period.

## **Appendix. Principles for the revision and clarification of standardized baselines**

### **1. Background**

1. This appendix provides guiding principles for initiating a revision to an approved standardized baseline and for initiating a (request for) clarification of an approved standardized baseline.

### **2. Principle for revision**

2. A revision is the modification of an approved standardized baseline in order to improve it or broaden its scope and applicability.
3. A revision of an approved standardized baseline may be initiated if one or more of the following conditions apply:
  - (a) New or generally accepted scientific evidence indicates that emission reductions or removal enhancements will be overestimated or underestimated based on the approved standardized baseline or that the reductions or enhancements may not be real, measurable and verifiable;
  - (b) The applicability conditions require broadening to include more potential project activity types or conditions for use;
  - (c) There are identified inconsistencies, errors and/or ambiguities in the language and/or formulae used within the approved standardized baseline;
  - (d) Further simplification (e.g. default values) is required to improve the user-friendliness of the approved standardized baseline;
  - (e) Key issues clarified through a request for clarification of the approved standardized baseline in accordance with section 7 of (the main part of) this procedure are required to be incorporated in the approved standardized baseline;
  - (f) There are changes to the additionality demonstration, baseline and/or baseline emission factors as determined in the approved standardized baseline.

### **3. Principles for clarification**

4. A clarification on an approved standardized baseline is to clarify:
  - (a) The applicability of the approved standardized baseline;
  - (b) Various procedures provided in the approved standardized baseline, inter alia, for identifying the baseline scenario, demonstrating additionality and estimating baseline emission factors; or
  - (c) Monitoring data and procedures provided in the approved standardized baseline.

- 5. A clarification on an approved standardized baseline may be requested if:
  - (a) Any of the provisions of the approved standardized baseline are unclear or ambiguous, and there is room for interpretation of the provisions; and/or
  - (b) Rationale or further background information is needed regarding conditions under which the approved standardized baseline is to be applied.

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