A6.4-SB006-A02

Procedure

Procedure for the transition of CDM activities to the Article 6.4 mechanism

Version 01.0

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1. Background

- 1. The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA), at its third session, adopted rules, modalities and procedures (RMPs) for the mechanism established by Article 6, paragraph 4, of the Paris Agreement (the Article 6.4 mechanism). 1 Chapter XI.A of the RMPs contains provisions that allow transition of project activities and programmes of activities (PoAs) registered under the clean development mechanism (CDM) under Article 12 of the Kyoto Protocol or listed as provisional as per the temporary measures adopted by the Executive Board of the CDM² (hereinafter referred to as provisional requests) to the Article 6.4 mechanism.
- 2. The CMA, at its fourth session, elaborated key conditions and processes for such transition (hereinafter referred to as the elaboration of the RMPs).³ At the same session, the CMA also requested⁴ the Supervisory Body to facilitate the tasks related to the transition of CDM activities to the Article 6.4 mechanism by:
 - (a) Developing and operationalizing a procedure for requesting transition, which includes relevant forms, by no later than June 2023;
 - (b) Developing and operationalizing the transition process and reporting back to the CMA at its fifth session.
- 3. Pursuant to its mandate from the CMA to operationalize the transition process, the Supervisory Body has adopted the "Standard for transition of CDM activities to the Article 6.4 mechanism" (hereinafter referred to as the transition standard) and the "Procedure for ransition of CDM activities to the Article 6.4 mechanism" (hereinafter referred to as this procedure) and relevant forms as contained in this document.

2. Scope

4. This procedure sets out procedural steps for CDM project activities, PoAs and component project activities (CPAs) therein to transition to the Article 6.4 mechanism, as well as corresponding procedural steps for provisional requests to be finalized under the Article 6.4 mechanism.

3. Entry into force

5. Version 01.0 of this procedure enters into force on 1 January 2024 except for the process of submission of transition requests to the secretariat, which is 30 June 2023, subject to the availability of the detailed regulatory elements to enable the operationalization of the

Decision 3/CMA.3, annex, as contained in document FCCC/PA/CMA/2021/10/Add.1 available at: https://unfccc.int/sites/default/files/resource/cma2021 10 add1 adv.pdf#page=25.

² At its 108th meeting (see paragraphs 7–8 of the meeting report) and later clarified in the document entitled "Clarification: Regulatory requirements under temporary measures for post-2020 cases" available at http://cdm.unfccc.int/sunsetcms/storage/contents/stored-file-20220314132358671/Reg_Clar03v02.pdf.

³ Decision 7/CMA.4, annex I, chapter I, in document FCCC/PA/CMA/2022/10/Add.2 (Advance Version) available at: https://unfccc.int/sites/default/files/resource/cma2022_10a02_adv.pdf#page=33.

⁴ Decision 7/CMA.4, paragraph 23.

transition process referred to in this procedure and the transition standard, to be developed by the Supervisory Body.

4. Terms and definitions

- 6. The following terms apply in this procedure:
 - (a) "Shall" is used to indicate requirements to be followed;
 - (b) "Should" is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
 - (c) "May" is used to indicate what is permitted;
 - (d) "The project participant" shall be read as the focal point entity designated by the project participants of the CDM project activity or PoA for scope (c) as communicated to the secretariat in the modalities of communication in accordance with the relevant provisions in the "CDM project cycle procedure for project activities" and the "CDM project cycle procedure for programmes of activities", respectively".⁵

5. Process for transition

5.1. Submission of transition request

- 7. The project participants of a CDM project activity or PoA that is eligible for transition to the Article 6.4 mechanism in accordance with the relevant provisions in the transition standard shall, if they wishes for such transition, submit a request for transition to indicate the wish of transition to the secretariat through a dedicated interface on the UNFCCC website, providing the information in the form contained in attachment 1,6 by 31 December 2023, 24:00 (Central European Time).
- 8. In requesting the transition of a CDM PoA that had included CPAs under the CDM, the project participants shall specify which of the included CPAs that are eligible for transition to the Article 6.4 mechanism in accordance with the relevant provisions in the transition standard they wish to transition to the Article 6.4 mechanism. CPAs included in a PoA under the CDM may transition to the Article 6.4 mechanism only in conjunction with the transition of the PoA to the Article 6.4 mechanism.
- 9. The secretariat shall check the completeness of the information provided in the submitted request for transition and, if found complete, publish the request on the UNFCCC website providing the web link to the project information page of the CDM project activity or CDM

In accordance with paragraph 42 of the "CDM project cycle procedure for project activities" (version 03.0) and paragraph 33 of the "CDM project cycle procedure for programmes of activities" (version 03.0), the focal point entities designated by the project participants for scope (c) are granted the authority to communicate on their behalf with the Board and the secretariat on all other project-related matters not covered by: (a) communication in relation to requests for forwarding of certified emission reductions to individual accounts of the project participants; or (b) communication in relation to requests for addition and/or voluntary withdrawal of the project participants and focal points, as well as changes to company names, legal status, contact details and specimen signatures.

⁶ The secretariat may convert the form into electronic interface.

PoA on the UNFCCC CDM website, and assigning a unique reference number(s) that enable(s) the identification of the CDM project activity, or PoA and CPAs therein, transitioned to the Article 6.4 mechanism, distinguishing them from new activities registered under the Article 6.4 mechanism. If found incomplete, the secretariat shall promptly notify the reason for the incompleteness to the project participants. The project participants shall submit a corrected request for transition within 14 days of the notification; otherwise the secretariat shall reject the request.

10. After publishing the request for transition on the UNFCCC website, the secretariat shall promptly inform the DNA for the Article 6.4 mechanism and the DNA for the CDM of the host Party of the CDM project activity or PoA of the receipt of the request. If the host Party has not yet established the DNA for the Article 6.4 mechanism, the secretariat shall inform its national focal point to the UNFCCC (hereinafter collectively referred to as the DNA for the Article 6.4 mechanism) of the request. With this, the request for transition shall be deemed as having been submitted by the project participants to both the secretariat and the host Party in accordance with paragraph 73(a) of the RMPs.

5.2. Global stakeholder consultation

- 11. Parties, stakeholders and UNFCCC admitted observer organizations may submit comments, in English, on the transition of the CDM project activity, or PoA and CPAs therein, to the secretariat through a dedicated interface on the UNFCCC website within 28 days of the publication of the request for transition on the UNFCCC website. The submitters of the comments shall provide the names and contact details of the individuals or organizations on whose behalf the comments are submitted. Comments from stakeholders shall:
 - (a) Be specific to the CDM project activity, or PoA and CPAs therein, being requested for transition:
 - (b) Be related to the compliance with applicable rules and regulations for transition.
- 12. The secretariat shall make the comments that meet the requirements in paragraph 11 above publicly available on the UNFCCC website where the transition request is displayed and inform the publication of the comments to the Supervisory Body and the DNAs of the host Party and other Parties involved.

5.3. Submission of host Party approval

13. The host Party of the CDM project activity, or PoA and CPAs therein, regarding which a request for transition has been published on the UNFCCC website shall, if it approves such transition, submit an approval of transition from its DNA for the Article 6.4 mechanism to the Supervisory Body through a dedicated interface on the UNFCCC website, providing the information in the form contained in attachment 2,8 by 31 December 2025, 24:00

The contacts of national focal points of Parties to the UNFCCC are listed at: https://unfccc.int/process/parties-non-party-stakeholders/parties/national-focal-point.

⁸ The secretariat may convert the form into electronic interface.

- (Central European Time). If there is more than one host Party for a transitioning CDM PoA,⁹ all host Parties of the PoA shall submit such approval by the deadline.
- 14. The host Party may submit an approval of transition only after it has fulfilled the requirements for participating in the Article 6.4 mechanism referred to in paragraph 26 of the RMPs by demonstrating the fulfilment in accordance with the relevant provisions in the "Article 6.4 mechanism activity cycle procedure for projects" or the "Article 6.4 mechanism activity cycle procedure for programmes of activities", as applicable.
- 15. [Placeholder for possible provisions on the submission of the statement of authorization on the use of A6.4ERs that will be issued for the proposed A6.4 project]¹⁰
- 16. The secretariat shall publish the host Party approval of transition on the UNFCCC website and promptly inform the project participants of the receipt of such approval.

5.4. Submission of additional documentation

- 17. If the project participants continue to apply the currently applied CDM methodology to the transitioning CDM project activity, or PoA and CPAs therein, in accordance with the relevant provisions in the transition standard, they shall, within six months of the publication of the host Party approval of transition in accordance with paragraph 16 above, submit to the secretariat, through a dedicated interface on the UNFCCC website, an addendum to the respective project design document (PDD), or PoA design document (PoA-DD) and CPA design documents (CPA-DDs), using the "Addendum form for transition request" (A6.4M-TR-ADD-FORM) to attest that the CDM project activity, or PoA and CPAs therein, have been implemented in accordance with the registered PDD, or PoA-DD and CPA-DDs, as well as to demonstrate the compliance with additional requirements for registration under the Article 6.4 mechanism in accordance with the relevant provisions in the transition standard. With the attestation in the addendum, the relevant PDD, or PoA-DD and CPA-DDs, shall be deemed submitted by the project participants.
- 18. If the project participants voluntarily replace, or are required to replace, the CDM methodology currently applied to the transitioning CDM project activity, or PoA and CPAs therein, with an Article 6.4 mechanism methodology (hereinafter referred to as mechanism methodology) in accordance with the relevant provisions in the transition standard, they shall revise the PDD, or PoA-DD and CPA-DDs, accordingly, using the corresponding forms developed for Article 6.4 mechanism activities, and request a designated operational entity (DOE) accredited in the relevant sectoral scope under the Article 6.4 mechanism to validate them to demonstrate appropriate application of the mechanism methodology and the compliance with additional requirements for registration under the Article 6.4 mechanism in accordance with the relevant provisions in the transition standard. If the validation outcome is positive (i.e. the mechanism methodology is appropriately applied and the compliance with additional requirements for registration under the Article 6.4 mechanism is demonstrated), the DOE shall, within one year of the publication of the host Party approval of transition in accordance with paragraph 16 above

Under the CDM, a PoA may be designed beyond the border of a country and thus could have more than one host Party, while a project activity shall be designed within the border of a country and thus will always have only one host Party.

This placeholder may be developed based on the relevant guidance of the CMA.

or within one year after the applicable mechanism methodology becomes available, whichever is later, submit to the secretariat, through a dedicated interface on the UNFCCC website, the revised PDD, or PoA-DD and CPA-DDs, as well as the validation report.

5.5. Processing of transition request

- 19. The secretariat shall, upon receipt of the additional documentation referred to in paragraph 17 or 18 above, issue a statement of the transition fee due, determined based on the following principles, and shall communicate it to the project participants or the DOE who submitted the additional documentation (hereinafter collectively referred to as the proponent):
 - (a) Requests for transition of CDM project activities and PoAs are subject to the share of proceeds applicable to requests for registration of projects and PoAs, respectively, under the Article 6.4 mechanism;¹¹
 - (b) All fees for requests for registration, issuance, renewal and post-registration changes to project activities and PoAs as well as inclusion of CPAs under the Article 6.4 mechanism are waived for activities in least developed countries and small island developing States.¹²
- 20. The project participants shall pay the transition fee by bank transfer, quoting the unique reference number referred to in paragraph 9 above. The project participants shall submit a proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC website.
- 21. The paid transition fee may be reimbursed in full or partially if the request for transition is withdrawn by the proponent or rejected by the Supervisory Body in line with the corresponding provisions on the reimbursement of the registration fee as contained in the "Article 6.4 mechanism activity cycle procedure for projects" or the "Article 6.4 mechanism activity cycle procedure for programmes of activities".
- 22. The secretariat shall, upon receipt of the proof of payment of the transition fee if it is due, or upon receipt of the additional documentation if the transition fee is not due, commence the completeness check of the additional documentation. To commence the completeness check, the secretariat shall prioritize requests for transition for small-scale CDM project activities and CDM PoAs.
- 23. The secretariat shall conclude the completeness check within seven days of its commencement. If, during the completeness check, the secretariat identifies issues of an editorial nature or of consistency in the documentation, it shall request the proponent to submit revised documents to correct them. In this case, the proponent shall submit the requested documents within two days of receipt of the request. Upon receipt of the revised documents, the secretariat shall resume the completeness check. If the proponent does not submit the requested documents by this deadline, the secretariat shall conclude that the request submission is incomplete and inform the proponent that the request for transition cannot be processed any further. The proponent may restart the process by submitting the additional documentation again with the revised documents in accordance with section 5.4 above, which is subject to a new transition fee.

¹¹ In accordance with decision 7/CMA.4, annex I, paragraph 14(a).

¹² In accordance with decision 7/CMA.4, annex I, paragraph 58.

- 24. Upon positive conclusion of the completeness check, the secretariat shall commence the substantive check of the additional documentation to determine whether the transitioning CDM project activity, or PoA and CPAs therein, complies with the relevant requirements for transition contained in the transition standard within 21 days of its commencement. Upon conclusion of the substantive check, the secretariat shall publish the additional documentation and indicate the completion of the substantive check on the UNFCCC website and notify the host Party and the Supervisory Body of the completion of the substantive check to initiate the review process in accordance with section 5.6 below. If, during the substantive check, the secretariat identifies substantive issues that may be resolved by revising the additional documentation, it shall request the proponent to submit revised documents to resolve them. In this case, the proponent shall submit the requested documents within four days of receipt of the request. Upon receipt of the revised documents, the secretariat shall resume the substantive check. If the proponent does not submit the requested documents by this deadline, the secretariat shall conclude that the request submission is incomplete.
- 25. The secretariat shall prepare and send to the Supervisory Body a summary note on the transition request, summarizing its findings in respect of the compliance with the relevant requirements for transition contained in the transition standard and including its recommendation whether to approve the requested transition within 14 days of the date of publication of the additional documentation.

5.6. Requesting review of transition request

- 26. The host Party of the transitioning CDM project activity or PoA, or any member or alternate member of the Supervisory Body, may request a review of the request for transition within 28 days of receipt of the notification of the completion of the substantive check in accordance with paragraph 24 above, through a dedicated interface on the UNFCCC website, providing reasons for requesting a review.
- 27. If a review of the request for transition is requested by the host Party or any member or alternate member of the Supervisory Body, the secretariat shall notify the proponent that the request is under review, indicate such status on the UNFCCC website, and present the case to the Supervisory Body at its next meeting or electronically.

5.7. Finalizing transition request

- 28. If no review of the request for transition is requested by the deadline referred to in paragraph 26 above, the request for transition shall be deemed approved by the Supervisory Body.
- 29. If a review of the request for transition is requested, the Supervisory Body shall review the request and take one of the following decisions, taking into account the presentation on the case by the secretariat:
 - (a) Approve the request as in the additional documentation;
 - (b) Approve the request with modifications to the additional documentation, pending the proponent's agreement with the modifications;
 - (c) Reject the request.

- 30. For the case referred to in paragraph 29(b) above, if the proponent does not agree with the modification within seven days of the decision, the request shall be deemed rejected by the Supervisory Body.
- 31. The secretariat shall notify the decision of the Supervisory Body to the proponent and the host Party, and indicate it on the UNFCCC website.
- 32. If the decision of the Supervisory Body is to reject the request for transition, the proponent may not resubmit a request for transition of the same CDM project activity, or PoA and CPAs therein.
- 33. If the decision of the Supervisory Body is to approve the transition of the CDM project activity, or PoA and CPAs therein, the secretariat shall inform the Executive Board of the CDM of the decision. The secretariat shall register the activity under the Article 6.4 mechanism, to be effective on the day it is deregistered from the CDM.
- 34. The crediting period of the transitioned project activity and CPAs as well as the PoA period of the transitioned PoA under the Article 6.4 mechanism shall start from 1 January 2021.
- 35. Once registered under the Article 6.4 mechanism, the transitioned project activities, PoAs and CPAs shall be subject to all relevant requirements under the Article 6.4 mechanism at all subsequent steps in the activity cycle of the Article 6.4 mechanism, taking into account the relevant provisions in the transition standard.

6. Process for finalizing provisional requests

- 36. Process for finalization of provisional requests shall follow the provisions in section 5 above, mutatis mutandis, with the following modifications:
 - (a) The project participants may submit a request for finalization of a provisional request for issuance under the transition procedure if the underlying CDM project activity or PoA continues to apply the currently applied CDM methodology at transition, and only after the Supervisory Body has approved the transition of the underlying CDM project activity, or PoA and CPAs therein, to the Article 6.4 mechanism. In this case, the deadline for submission for the transition request referred to in paragraph 7 above is not applicable and additional documentation to be submitted in accordance with paragraph 17 above shall be a revised monitoring report instead of an addendum to the PDD, or PoA-DD and CPA-DDs, applying the global warming potentials for the period from 1 January 2021 as specified in the transition standard;
 - (b) Provisional inclusion of CPAs may be finalized if the underlying CDM PoA continues to apply the currently applied CDM methodology at transition, and only in conjunction with the transition of the CDM PoA to the Article 6.4 mechanism. For this reason, the project participants shall include provisionally included CPAs in the request for transition of the underlying CDM PoA in accordance with section 5 above;
 - (c) For finalization of the provisional request for issuance and the provisional inclusion of CPAs referred to in subparagraphs (a) and (b) above, an approval of the

- finalization by the host Party shall not be required;¹³ therefore, section 5.3 above shall be skipped;
- (d) The project participants may not submit a request for finalization of the following provisional requests, noting that the corresponding requests may be submitted under the Article 6.4 mechanism in accordance with the relevant requirements and processes applicable to any Article 6.4 mechanism activities, after the Supervisory Body has approved the transition of the underlying CDM project activity, or PoA and CPAs therein, to the Article 6.4 mechanism:
 - (i) Provisional requests for issuance if the underlying CDM project activity, or PoA and CPAs therein, voluntarily replaced, or were required to replace, the currently applied CDM methodology with a mechanism methodology in accordance with paragraph 18 above;
 - (ii) Provisional requests for renewal;
- (e) The fee for finalization of a provisional request shall be determined based on the following principles:¹⁴
 - (i) Requests for finalization of provisional requests for registration of project activities and PoAs are subject to the share of proceeds applicable to requests for registration of projects and PoAs, respectively, under the Article 6.4 mechanism:
 - (ii) Requests for finalization of provisional inclusion of CPAs are subject to the share of proceeds applicable to inclusion of CPAs in a registered PoA under the Article 6.4 mechanism;
 - (iii) Requests for finalization of provisional requests for issuance are subject to the share of proceeds applicable to requests for issuance under the Article 6.4 mechanism:
 - (iv) All fees for requests for registration, issuance, renewal and post-registration changes to project activities and PoAs as well as inclusion of CPAs under the Article 6.4 mechanism are waived for activities in least developed countries and small island developing States.

¹³ This is due to the fact that a request for finalization of a provisional request for issuance or provisional inclusion of a CPA may be submitted only after the underlying CDM project activity, or PoA and CPAs therein, have successfully transitioned to the Article 6.4 mechanism in accordance with paragraph 36(a)–(b), for which the host Party approval has been provided.

¹⁴ Pursuant to decision 7/CMA.4, annex I, paragraphs 14(b)-(e) and 58.

Appendix 1. Form for transition request

CDM activity transition request form ¹ (Version 01.0)				
Type of transition request (Tick box(es))	 □ Transition of CDM activity □ Finalization of provisional request² □ For registration □ For issuance 			
Type of activity (Tick box(es))	 □ Project activity □ Programme of activities (PoA) □ Including component project activities (CPAs)³ 			
Title and UNFCCC reference number of activity				
Host Party(ies)				
Crediting period type and expiry date of the current crediting period (for a project activity or PoA) (Tick box(es)) (Indicate the hypothetical expiry date under the CDM rules in the DD/MM/YYYY format)	□ Renewable □ In the first crediting/PoA period expiring on □ In the second crediting/PoA period expiring on □ In the third crediting/PoA period expiring on □ In the fourth PoA period expiring on □ (applicable only for PoAs) □ Fixed, expiring on			

This form is to be filled, signed and submitted by the person authorized for scope (c) by the project participants of the CDM project activity or PoA as indicated in the modalities of communication submitted in accordance with the "CDM project cycle procedure for project activities" or "CDM project cycle procedure for programmes of activities" to the secretariat and to the host Party(ies) of the project activity or PoA by no later than 31 December 2023. The secretariat may convert this form into electronic interface for submission of transition requests, in which case, the signature will be replaced with electronically secure means.

Provisional requests for renewal will not be finalized under the transition process. Therefore, this form is not relevant.

³ CPAs already included in a CDM PoA may transition to the Article 6.4 mechanism only in conjunction with the transition of the PoA. Therefore, this box must be ticked if the project participants wish the CPAs to also transition to the Article 6.4 mechanism.

	CPA ref. #	Crediting period type (renewable or fixed)	Expiry date of the current crediting period
Crediting period type and duration			
of activity (for CPAs)			
(Tick box(es))			
(Add rows as needed)			
	☐ Continue to apply the currently applied CDM methodology at transition		
Applied methodology	 □ Replace the currently applied CDM methodology with an Article 6.4 mechanism methodology □ For project activity □ For both PoA and all CPAs 		
(Tick boxes)			
	☐ For only F	PoA ⁴	
	Date (DD/MM/YYYY):		
I confirm that the crediting period or the PoA period of the activity was active as of 1 January 2021 and hereby submit request for transition to the Article 6.4	Names of the enti participants: ⁵	ty and the representativ	e of the project
mechanism	Signature:		

⁴ For a PoA requesting transition, it is possible to voluntarily replace the currently applied CDM methodology with an Article 6.4 mechanism methodology at transition only for the PoA, while continuing to apply the currently applied CDM methodology for CPAs until either the end of the current crediting period or 31 December 2025, whichever is earlier.

Please write the name of the focal point entity designated by the project participants of the CDM project activity or PoA for scope (c) and the name of its representative as communicated to the secretariat in the modalities of communication in accordance with the relevant provisions in the "CDM project cycle procedure for project activities" or the "CDM project cycle procedure for programmes of activities", respectively.

Appendix 2. Form for host Party approval

CDM activity transition approval form ²⁰ (Version 01.0)			
Type of transition request (Tick box(es))	 □ Transition of CDM activity □ Finalization of provisional request²¹ □ For registration □ For issuance 		
Type of activity (Tick box(es))	 □ Project activity □ Programme of activities (PoA) □ Including component project activities (CPAs)²² 		
Title and UNFCCC reference number of activity			
Confirmation of receipt of transition request (Tick box to confirm)	☐ The transition request for this activity(ies) has been received by the host Party by 31 December 2023		
Confirmation on activity type (Tick box to confirm)	☐ The type of activity in the transition request is among the activity types that the host Party intends to approve as Article 6.4 mechanism activities ²³		
Approving host Party			

²⁰ This form is to be filled, signed and submitted by the representative of the designated national authority for the Article 6.4 mechanism as notified to the UNFCCC secretariat by no later than 31 December 2025. The secretariat may convert this form into electronic interface for submission of host Party approval, in which case, the signature will be replaced with electronically secure means.

²¹ Provisional requests for renewal will not be finalized under the transition process. Therefore, this form is not relevant.

²² CPAs already included in a CDM PoA may transition to the Article 6.4 mechanism only in conjunction with the transition of the PoA. Therefore, this box must be ticked if the host Party also approves the transition of the CPAs to the Article 6.4 mechanism.

In accordance with paragraph 26(e) of the annex to decision 3/CMA.3, the host Party shall indicate publicly to the Supervisory Body the types of Article 6.4 mechanism activity that it would consider approving and how such types of activity and any associated emission reductions would contribute to the achievement of its nationally determined contribution, if applicable, its long-term low greenhouse gas emission development strategy, if it has submitted one, and the long-term goals of the Paris Agreement. Paragraph 6 of annex I to decision 7/CMA.4 further elaborated that CDM project activities, PoAs and the CPAs therein, and activities in provisional requests that may transition to the Article 6.4 mechanism shall be among the activity types indicated by the host Party.

I hereby approve the transition of the CDM activity to, or finalization of the provisional request under, the Article 6.4 mechanism, subject to approval by the Supervisory Body	Date (DD/MM/YYYY):
	Name of designated national authority organization:
	Name of representative of designated national authority:
	Signature:

Document information

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