

**A6.4-SB011-A04**

## Draft Procedure

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# Article 6.4 activity cycle procedure for programmes of activities

Version 02.0

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## 1. Introduction

### 1.1. Background

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

### 1.2. Objectives

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

## 2. Scope and entry into force

### 2.1. Scope

4. This procedure describes the administrative steps to follow for activity participants, designated national authorities (DNAs), designated operational entities (DOEs), other stakeholders, the Supervisory Body and the United Nations Framework Convention on Climate Change (UNFCCC) secretariat (hereinafter referred to as the secretariat) for registration, post-registration change, renewal of crediting period and deregistration of an A6.4 PoA and component projects (CPs) therein, as well as issuance of Article 6, paragraph 4, emission reductions (A6.4ERs) for emission reductions or removals of greenhouse gases (GHGs) achieved by a CP and other actions related to the activity cycle of the Article 6.4 mechanism.

### 2.2. Entry into force

5. This version of this procedure enters into force on [DATE].

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<sup>1</sup> Decision 3/CMA.3, annex. Available at: [https://unfccc.int/sites/default/files/resource/cma2021\\_10\\_add1\\_adv.pdf#page=25](https://unfccc.int/sites/default/files/resource/cma2021_10_add1_adv.pdf#page=25).

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

<sup>3</sup> Decision 7/CMA.4, annex I, chapters III–VI. Available at: [https://unfccc.int/sites/default/files/resource/cma2022\\_10a02\\_adv.pdf#page=33](https://unfccc.int/sites/default/files/resource/cma2022_10a02_adv.pdf#page=33).

### 3. Terms and definitions

6. The following terms apply in this procedure:
- (a) “Shall” is used to indicate requirements to be followed;
  - (b) “Should” is used to indicate that among several possibilities, one course of action is recommended as particularly suitable;
  - (c) “May” is used to indicate what is permitted;
  - (d) “Activity participant” is a public or private entity that participates in an A6.4 programme of activities.
  - (e) “Methodology” is, unless otherwise specified, a mechanism methodology referred to in the RMPs, as approved by the Supervisory Body, to set a baseline for the calculation of emission reductions to be achieved by Article 6.4 mechanism projects and PoAs (hereinafter collectively referred to as A6.4 activities), to demonstrate the additionality of A6.4 activities, to ensure accurate monitoring of GHG emission reductions or net GHG removals, and to calculate GHG emission reductions or net GHG removals achieved by A6.4 activities.
7. The following definitions apply in this procedure
- (a) **Start date of the PoA period:** The earliest between the expected start date of the PoA period indicated in the prior consideration notification form and the first day of the global stakeholder consultation.
  - (b) **Start date of CPs:** The date on which the project participants commit to making expenditures to implement the CP. Where a contract is signed for such expenditures, it is the date on which the contract is signed. In other cases, it is the date on which such expenditures are incurred.
  - (c) **Start date of the crediting period of CPs:** The first date at which verified and certified GHG emission reductions or net GHG removals attributable to a CP may result in the issuance of A6.4 ERs.

### 4. Pre-registration activities

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

8. Each host Party of A6.4 PoAs shall, prior to participating in the Article 6.4 mechanism, ensure that:
- (a) It is a Party to the Paris Agreement;
  - (b) It has prepared, has communicated and is maintaining a nationally determined contribution (NDC) in accordance with Article 4,<sup>4</sup> paragraph 2;
  - (c) It has designated a DNA for the Article 6.4 mechanism and has communicated that designation to the secretariat;

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<sup>4</sup> Unless otherwise stated, “Article” refers to an article in the Paris Agreement.

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

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<sup>5</sup> If a host Party does not provide information referred to in paragraph 9(a) above to the Supervisory Body, the methodological requirements contained in the applied methodology and any other methodological requirements as approved by the Supervisory Body for the relevant activity type shall apply. Likewise, if a host Party does not provide information referred to in paragraph 9(b) above to the Supervisory Body, the type and the length of the crediting period selected by the activity participant for CPs in accordance with paragraph 31(f) of the RMPs shall apply.



## 4.2. Prior consideration of the Article 6.4 mechanism

13. The activity participants of a proposed A6.4 PoA shall demonstrate that the Article 6.4 mechanism benefits were considered necessary in the decision to implement the PoA by notifying the secretariat of the intention to seek registration of the PoA under the Article 6.4 mechanism. The prior consideration notification for the PoA shall accompany a summary of the information of the PoA, which shall include, at a minimum:
- (a) The PoA title;
  - (b) The names of the activity participants;
  - (c) The host Party(ies) where CPs will be implemented, including subnational boundaries if applicable;
  - (d) A brief description of typical CPs, including technologies or measures to be deployed;
  - (e) The expected start date of the PoA period;
  - (f) The expected duration of the PoA;<sup>6</sup>
  - (g) The Article 6.4 mechanism methodology(ies) (hereinafter referred to as methodology) to be applied (if already known);
  - (h) The indicative maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs that may be included in the PoA during its lifetime as an A6.4 PoA under the Article 6.4 mechanism.
14. Notwithstanding paragraph 13 above, if the activity participants wish to set the start date of a proposed A6.4 PoA after 31 December 2020 and prior to the date of entry into force of version 01.0 of this procedure, the activity participants shall provide a prior consideration notification through the dedicated interface on the UNFCCC website referred to in paragraph 13 above no later than 180 days after the entry into force of version 01.0 of this procedure indicating the start date of the PoA period.
15. Once the secretariat confirms that the required information has been duly provided, it shall promptly assign a unique reference number to the proposed A6.4 PoA and publish the prior consideration notification on the UNFCCC website.
16. The secretariat shall, upon publication of the prior consideration notification on the UNFCCC website, inform the host Party(ies) of the receipt of such notification. Any of the host Parties may indicate through the dedicated interface on the UNFCCC website that it has no objection for the proposed A6.4 PoA to proceed with requesting registration under the Article 6.4 mechanism.

## 4.3. Global stakeholder consultation

17. The activity participants shall submit a PoA design document (PoA-DD) prepared in accordance with the “Article 6.4 activity standard for programmes of activities” (hereinafter referred to as the activity standard) to the secretariat, using the “Programme of activities

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<sup>6</sup> The activity participants shall specify the duration of the proposed A6.4 PoA, which shall not exceed 20 years (60 years for the proposed PoAs involving removals), counting from the start date of the PoA period.

design document form” within one year of the publication of the prior consideration notification or within one year after the applicable methodology becomes available, whichever is later. The secretariat shall promptly publish the PoA-DD as submitted on the UNFCCC website.

18. Parties, stakeholders and UNFCCC-admitted observer organizations may submit comments in English on the proposed A6.4 PoA to the secretariat through a dedicated interface on the UNFCCC website within 28 days of the publication of the PoA-DD on the UNFCCC website. The submitters of the comments shall provide the name and contact details of the individual or organization on whose behalf the comments are submitted. Comments from stakeholders shall:
  - (a) Be specific to the proposed A6.4 PoA;
  - (b) Be related to the compliance with applicable Article 6.4 mechanism rules and regulations.
19. The secretariat shall make the comments that meet the requirements in paragraph 18 above publicly available on the UNFCCC website where the PoA-DD is displayed, and inform the activity participants and the DNA of the host Party about the publication.

#### **4.4. Host Party approval**

20. The secretariat shall, upon publication of the PoA-DD on the UNFCCC website, inform the host Party of the receipt of the PoA-DD, and request the host Party, based on the information on the PoA contained in the PoA-DD and, the implications of hosting the PoA on the implementation of its NDC, and, if the host Party wishes to do so, taking into account the comments submitted during the global stakeholder consultation and published on the UNFCCC website in accordance with section 4.3 above, to respond to the publication, through a dedicated interface on the UNFCCC website any time after it has fulfilled the requirements for participating in the Article 6.4 mechanism referred to in paragraph 8 above by:
  - (a) Approving the PoA to be registered under the Article 6.4 mechanism, noting that the registration of the PoA is subject to a positive validation outcome by a DOE and approval by the Supervisory Body; or
  - (b) Rejecting the PoA to be registered under the Article 6.4 mechanism, providing the reason for rejection.
21. The host Party, through its DNA, should promptly respond to the publication but no later than 60 days of the notification or in any longer time frame to be indicated by the host Party through the dedicated interface on the UNFCCC website. Before responding, the host Party, through its DNA, may request the activity participants to provide additional information on the proposed A6.4 PoA to support its consideration on whether to approve the project or authorize the activity participants.
22. If the host Party approves the PoA, the approval shall include:
  - (a) Confirmation that, and information on how, the PoA fosters sustainable development in the host Party;
  - (b) Approval of any potential renewal of the PoA period and the crediting periods of CPs that will be included the PoA, if the Party intends to allow the PoA and CPs to continue beyond the first PoA period and beyond the first crediting periods of CPs

respectively, where the Party has specified that the PoA period and the crediting periods of CPs that it intends to host may be renewed pursuant to paragraph 27(b) of the RMPs;<sup>7</sup>

- (c) Explanation of how the PoA relates to the implementation of its NDC and how the expected GHG emission reductions or net GHG removals contribute to the host Party's NDC and the purposes referred to in Article 6, paragraph 1;
  - (d) The maximum annual amount of GHG emission reductions or net GHG removals approved to be achieved by CPs that may be included in the PoA during its lifetime as an A6.4 PoA under the Article 6.4 mechanism;
  - (e) Authorization of the activity participants to participate in the PoA.
23. If the PoA covers more than one host Party, the approval referred to in paragraph 22 above shall be provided by each of the host Parties, including by indicating the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs implemented in each of the host Parties that may be included in the PoA.
24. *[Placeholder for possible provisions on the submission of the statement of authorization on the use of A6.4ERs that will be issued for the proposed A6.4 PoAs towards achievement of NDCs and/or other international mitigation purposes as defined in decision 2/CMA.3]<sup>8</sup>*
25. The secretariat shall, upon receipt of the response from the host Party, inform the activity participants of the response and publish the response on the UNFCCC website.

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

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

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

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

27. The activity participants of a proposed A6.4 PoA shall complete a PoA-DD in accordance with the activity standard, taking into account the comments submitted during the global stakeholder consultation conducted in accordance with section 4.3 above, applying the same duration of the PoA indicated in the draft PoA-DD referred to in paragraph 17 above.
28. If the design of the proposed PoA has undergone changes after the publication of the PoA-DD for global stakeholder consultation, the DOE shall determine whether these changes are significant. If the changes are determined by the DOE as significant the DOE shall request the activity participants to make a revised PoA-DD publicly available for global stakeholder consultation. The DOE or the activity participant may seek guidance from the Supervisory Body on whether a revised PoA-DD shall be published for global stakeholder

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

<sup>8</sup> This placeholder may be developed based on the relevant guidance of the CMA.

consultation by submitting such a request in accordance with the “Procedure: Consideration of unsolicited letters to the Supervisory Body”.

29. The Supervisory Body shall expeditiously consider the case, through electronic means where possible, and provide guidance to the DOE and/or the activity participants. In doing so, the Supervisory Body shall consider the significance of the changes in terms of the impact on the application of the applied methodologies, the other methodological regulatory documents and local stakeholders.

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

30. The activity participants of the proposed A6.4 PoA shall (i) designate one or more focal point entities (hereinafter referred to as focal points) to communicate on their behalf with the Supervisory Body and the secretariat within the defined scopes of authority referred to in sub-paragraph 32(c) below; and (ii) include this information in a modalities of communication (MoC) statement using the “Modalities of communication statement form”.
31. After the submission of a request for registration of the proposed A6.4 PoA in accordance with paragraph 41 below, all official communication between the activity participants and the Supervisory Body or the secretariat for the PoA shall be conducted in accordance with the MoC statement.
32. The activity participants shall grant the focal points the authority to:
- (a) Communicate in relation to requests for forwarding of A6.4ERs to individual accounts of the activity participants (scope (a)); and/or
  - (b) Communicate in relation to changes to the MoC statement (scope (b)); and/or
  - (c) Communicate on all other PoA-related matters not covered by (a) or (b) above (scope (c)).
33. The activity participants may designate one or multiple entities for each scope of authority in a sole or joint focal point role.<sup>9</sup> The number of joint focal points for a PoA shall be limited to five, or equal to the number of host Parties if greater than five.
34. The activity participants and the focal points may designate one primary authorized signatory and one alternate authorized signatory. The authentication of either the primary or alternate authorized signatory shall suffice for authenticating the activity participant’s or the focal point’s consent or instruction(s). If an entity is an activity participant and also a focal point, the same signatory shall represent the entity in both roles.
35. The activity participants may voluntarily indicate in the MoC statement the end date of their participation in the proposed A6.4 PoA. The secretariat shall monitor the end date of participation and mark the activity participants as “withdrawn” on the UNFCCC website on the day after the end date, provided that at least one activity participant authorized by the host Party of the PoA remains. The activity participants whose participation in the PoA has ended may request inclusion as an activity participant of the same PoA any time thereafter in accordance with paragraph 164(a) below.
36. The secretariat shall, when conducting the completeness check of the request for registration in accordance with paragraphs 49–51 below, consider the contact details

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

included in the MoC statement to be the valid contact details of the activity participants whenever such details differ from the details of the activity participants and their representatives included in the PoA-DD of the proposed A6.4 PoA.

37. The secretariat shall publish non-confidential information included in the MoC statement on the respective A6.4 PoA web page of the UNFCCC website, following the registration of the PoA under the Article 6.4 mechanism.

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

38. The activity participants shall submit the PoA-DD published for the global stakeholder consultation or any later version of the PoA-DD, the MoC statement and a declaration that that the development, implementation and operation of the proposed A6.4 PoA does not involve any illegal activities and any supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation of the PoA for registration.
39. The DOE shall perform validation of whether the proposed A6.4 PoA complies with the relevant requirements in the activity standard and any other applicable Article 6.4 mechanism rules and requirements based on the information provided in the PoA-DD, the MoC statement and any supporting documentation it has received from the activity participants as well as further information obtained during the validation activity, and prepare a validation report, in accordance with the “Article 6.4 validation and verification standard for programme of activities” (hereinafter referred to as the validation and verification standard), using the “Validation report form for PoAs”.
40. For the purpose of possible selection of the validation activity for performance assessment of the DOE in accordance with the “Article 6.4 accreditation procedure”, the DOE shall notify the secretariat, through a dedicated interface on the UNFCCC website, of the timing of the site inspection of the proposed A6.4 PoA, which is to be conducted in accordance with the validation and verification standard, no later than four weeks prior to the inspection.

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

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

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

41. The DOE shall, after validating that the proposed A6.4 PoA described in the PoA-DD meets all relevant requirements for registration in the activity standard and any other applicable Article 6.4 mechanism rules and requirements, submit a request for registration of the PoA to the secretariat through a dedicated interface on the UNFCCC website, including the reference to the prior consideration notification of the PoA published in accordance with paragraph 15 above and the notification of the timing of the site inspection made in accordance with paragraph 40 above, and attaching:
- (a) The PoA-DD and any supporting documentation of the proposed A6.4 PoA prepared by the activity participants in accordance with paragraph 27 above and validated by the DOE in accordance with paragraph 39 above;
  - (b) The validation report prepared by the DOE in accordance with paragraph 39 above;

- (c) The MoC statement prepared by the activity participants in accordance with section 4.6.2 above;
  - (d) A declaration that the development, implementation and operation of the proposed A6.4 PoA does not involve any illegal activities, including money laundering, tax evasion, fraud, bribery and criminal activities.
42. A request for registration of the proposed A6.4 PoA may be submitted any time after the host Party has provided to the Supervisory Body an approval of the PoA in accordance with paragraph 20(a) above and published on the UNFCCC website in accordance with paragraph 25 above but within one year of the publication of such approval.
43. The secretariat shall issue a statement of the registration fee due, or confirmation that no registration fee is due, determined in accordance with the provisions on the registration fee contained in Appendix 1, and shall communicate this to the DOE.
44. The DOE shall communicate the registration fee due, or a confirmation that no registration fee is due, to the activity participants.
45. The activity participants shall pay the registration fee by bank transfer, quoting the unique reference number referred to in paragraph 15 above, within one year of the issuance to the DOE of the statement of the registration fee due.
46. The DOE shall submit a proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC website. If the proposed A6.4 PoA applies:
- (a) A methodology or methodological tool that has been revised, withdrawn or suspended by the Supervisory Body, the proof of payment must be uploaded within 20 days or the payment must be received by the secretariat within 40 days of the end of the grace period for revision or the date of withdrawal or suspension, as defined in the "Procedure: Development, revision and clarification of methodologies and methodological tools"; and/or
  - (b) A standardized baseline that has been revised, suspended or has expired, the proof of payment must be uploaded within 20 days or the payment must be received by the secretariat within 40 days of the end of the grace period for revision or the date of suspension or expiry, as defined in the "Procedure: Development, revision, clarification and update of standardized baselines".
47. If the secretariat does not receive the deposit of the registration fee by the deadline referred to in paragraph 45 above or paragraph 46 above, as applicable, the request for registration shall be deemed withdrawn. The same or a different DOE may submit a new request for registration of the same proposed A6.4 PoA anytime thereafter, following the applicable Article 6.4 mechanism rules and requirements valid at the time of the new submission. In this case, the original prior consideration notification published in accordance with paragraph 15 above remains valid for the new request for registration.

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

48. The secretariat shall maintain on the UNFCCC website a publicly available list of all submitted requests for registration for which the applicable registration fee has been received by the secretariat, or for which no registration fee is due. The secretariat shall make publicly available the schedule and the status of processing each request for registration. The secretariat shall schedule the commencement of the processing of the requests for registration in accordance with the secretariat's operational plans, that

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

55. Upon positive conclusion of the substantive check stage, the secretariat shall publish the request for registration on the UNFCCC website, and the request for registration shall be deemed received by the Supervisory Body for consideration.
56. For resubmission of a request for registration after the completeness check or the substantive check in accordance with paragraphs 51 above or 54 above, respectively, the proposed A6.4 PoA may apply the same version of the methodology, methodological tool and/or standardized baseline applied in the initial submission within 90 days of the initial notification of the negative conclusion of the completeness check or the substantive check, even if the version of any of the methodology, methodological tool or standardized baseline applied is no longer valid. After this period, all resubmissions shall apply the version of the methodology, methodological tool and/or standardized baseline valid for a new request for registration.
57. The secretariat shall notify the activity participants, the DNAs of the host Party and other participating Parties, and the DOE: that the Supervisory Body has received the request for registration for its consideration; that the secretariat has published the request for registration on the UNFCCC website; and of the last day by which members and alternate members of the Supervisory Body, and the host Party and other participating Parties may request a review of the request for registration, as referred to in paragraph 59 below.
58. The secretariat shall, subject to the guidance of the Supervisory Body, prepare and send to the Supervisory Body a summary note on the request for registration within 14 days of the date of publication of the request for registration.

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

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

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

62. If the secretariat does not receive a request for review from any host Party, any other participating Party, or any member or alternate member of the Supervisory Body in accordance with the modalities described section 5.1.3 above, the request for registration shall be deemed approved by the Supervisory Body.
63. [Stakeholders who were eligible to participate in the local or subnational stakeholder consultation of any of the included CPs conducted in accordance with the activity standard, the activity participants, the host Party or other participating Parties (hereinafter referred



to as eligible stakeholders, activity participants or Parties) may, in accordance with the appeal and grievance procedure,<sup>10</sup> file an appeal to the decision of the Supervisory Body to approve the registration within 28 days of the request for registration having been deemed approved. If no eligible appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the Supervisory Body shall register the proposed A6.4 PoA under the Article 6.4 mechanism. If an eligible appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the appeal and grievance procedure shall be followed.]<sup>11</sup>

64. The first PoA period of the registered A6.4 PoA shall start from the date indicated in the PoA-DD as approved by the host Party in accordance with section 4.4 above.

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

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

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

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

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

68. For each issue (or sub-issue) raised in the request for review, the activity participants and the DOE shall either:
- (a) Respond by making any revisions that they deem necessary to the PoA-DD and/or validation report to ensure, inter alia, that all facts are clearly stated and sufficiently validated; or
  - (b) Respond in writing by explaining why no revisions to the PoA-DD and/or validation report are necessary.
69. The date of commencement of the review shall be the date when the secretariat notifies the activity participants and the DOE that the review has commenced.

### **5.2.2. Assessment**

70. The expert review team established in accordance with paragraph 65(c) above shall conduct an assessment of the request for registration in the context of the reasons for the request for review provided by the requesting party and the applicable Article 6.4 mechanism rules and requirements, taking into account the responses from the activity participants and the DOE, and prepare an assessment report including a proposed decision within 14 days of the commencement of the review. A proposed decision shall suggest that either:
- (a) The proposed A6.4 PoA be registered under the Article 6.4 mechanism; or
  - (b) The request for registration be rejected.
71. If the proposed decision is to reject the request for registration, the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
72. In addition, the expert review team shall, in its assessment report, highlight any issues of significance related to the policies and goals of the Article 6.4 mechanism arising from the assessment. The secretariat, in consultation with the Chair of the Supervisory Body, shall bring these issues to the attention of the Supervisory Body by preparing background notes and policy options and presenting them to the Supervisory Body at its meetings.
73. The expert review team shall submit its assessment report to the Supervisory Body through the secretariat.
74. The secretariat shall make the assessment report available to the Supervisory Body, together with any responses from the activity participants and the DOE, and any revision to the PoA-DD, validation report and/or other relevant documentation.

### 5.2.3. Consideration by the Supervisory Body

75. The Supervisory Body shall, at its meeting, taking into account the assessment report prepared by the expert review team and the summary note prepared by the secretariat, decide to either:
- (a) Register the proposed A6.4 PoA under the Article 6.4 mechanism; or
  - (b) Reject the request for registration.
76. [Eligible stakeholders, activity participants and Parties may, in accordance with the appeal and grievance procedure, file an appeal to the decision of the Supervisory Body within 28 days of the decision. If no eligible appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the process contained in section 5.2.4 below shall be followed. If an eligible appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the appeal and grievance procedure shall be followed.]<sup>12</sup>

### 5.2.4. Finalization and implementation of ruling

77. If the Supervisory Body's final decision made in accordance with paragraph 75 above is to register the proposed A6.4 PoA under the Article 6.4 mechanism, the secretariat shall register it as an A6.4 PoA on the first working day subsequent to the final decision and inform the activity participants, the DOE, the host Party and any other participating Party about the decision.
78. The start date of the first PoA period shall be the date indicated in the PoA-DD as approved by the host Party in accordance with section 4.4 above.
79. If the Supervisory Body's final decision made in accordance with paragraph 75 above is to reject the request for registration, the secretariat shall update the information on the UNFCCC website accordingly on the first working day subsequent to the final decision and inform the activity participants, the DOE, the host Party and any other participating Party about the decision. Furthermore, within 21 days of the final decision, the secretariat shall provide the Chair of the Supervisory Body with an information note containing a proposed ruling incorporating the final decision.
80. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision of rejection, including, but not limited to:
- (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
81. Once approved by the Chair of the Supervisory Body, the secretariat shall immediately make the proposed ruling available to the Supervisory Body. The proposed ruling shall become the final ruling of the Supervisory Body 10 days after the date when the proposed

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

ruling was made available to the Supervisory Body, unless a member or an alternate member of the Supervisory Body objects to the proposed ruling.

82. An objection by a member or an alternate member of the Supervisory Body shall be made by notifying the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
83. At the Supervisory Body meeting for which the case is placed on the agenda, the Supervisory Body shall finalize the ruling.
84. The secretariat shall publish a ruling note on the UNFCCC website no later than three days after the ruling is finalized.
85. If the request for registration is rejected by the Supervisory Body, the same or a different DOE may resubmit the request for registration with revised documentation, addressing the issues that constitute the reason for the rejection by the Supervisory Body. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for registration.

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

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

86. For the following cases, the DOE shall submit a request for withdrawal of a request for registration to the secretariat through a dedicated interface on the UNFCCC website:
  - (a) The activity participants voluntarily wish for the request for registration to be withdrawn;<sup>13</sup>
  - (b) The DOE has revised its validation report based on new insights or information.

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

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

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

## 6. Post-registration activities

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

88. The activity participants of a proposed CP shall notify the secretariat of the intention to include the CP in a registered A6.4 PoA under the Article 6.4 mechanism or in a PoA planned to be registered in the future<sup>14</sup> (hereinafter referred to as CP inclusion notification) through a dedicated interface on the UNFCCC website. If the CP has already started as per the definition of the “start date” of an A6.4 CP in the activity standard, the activity participants shall submit such notification no later than 180 days after the start date of the CP. If the start date of the CP is on or after the date of inclusion in a registered A6.4 PoA, such notification is not necessary. The CP inclusion notification shall accompany a summary of the CP, which shall include, at minimum:
- (a) The title of the A6.4 PoA already registered or planned to be registered, as long as the PoA has undergone the global stakeholder consultation process, in which the CP is intended to be included;
  - (b) The title of the CP;
  - (c) The names of the activity participants;
  - (d) The precise geographical location of the CP;
  - (e) A brief description of the technologies or measures to be deployed by the CP;
  - (f) The methodology to be applied by the specific A6.4 CP (if already known);
  - (g) The actual or planned start date of the CP;
  - (h) The type (fixed or renewable), planned start date and duration of the crediting period of the CP;
  - (i) The approximate amount of GHG emission reductions or net GHG removals expected to be achieved by the CP in each year of the crediting period.
89. Notwithstanding the provision in paragraph 88 above, if the start date of a proposed CP is after 31 December 2020, prior to the date of entry into force of version 01.0 of this procedure and after the start date of the first PoA period, the activity participants shall, if they wish to seek the inclusion of the CP in a A6.4 PoA already registered or planned to be registered in the future, provide a CP inclusion notification through the dedicated interface on the UNFCCC website referred to in paragraph 88 above no later than 180 days after the entry into force of version 01.0 of this procedure.
90. Once the secretariat confirms that the required information has been duly provided, it shall promptly assign a unique reference number to the CP linked to the registered A6.4 PoA as applicable, and publish the CP inclusion notification on the UNFCCC website.
91. The secretariat shall, upon publication of the CP inclusion notification on the UNFCCC website, inform the host Party of the receipt of such notification.

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<sup>14</sup> The PoA-DD must have at least been published for global stakeholder consultation.

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

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

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

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

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

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

95. If the DOE confirms that the proposed CP complies with the requirements for inclusion of CPs in the registered A6.4 PoA as referred to in paragraph 92 above, it shall include the specific CP in the PoA by uploading the corresponding CP-DD through a dedicated interface on the UNFCCC website together with the “Component project inclusion form”, the validation report and a declaration that the development, implementation and operation of the proposed CP does not involve any illegal activities, including money laundering, tax evasion, fraud, bribery and criminal activities. Such an upload shall be made only after the registration of the PoA.
96. Once the documents referred to in paragraph 95 above are uploaded, the secretariat shall, through the dedicated interface on the UNFCCC website, automatically check whether the inclusion of the CP will result in the total annual amount of GHG emission reductions or net GHG removals for the registered A6.4 PoA being within the maximum annual amount that have been approved by the host Party in accordance with paragraph 22(d) above. If the total annual amount exceeds the maximum annual amount approved by the host Party, the dedicated interface shall automatically block the processing of the uploaded documents, otherwise, the secretariat shall issue a statement of the CP inclusion fee due

(or confirmation that no CP inclusion fee is due), determined in accordance with the provisions on the registration fee contained in Appendix 1, and communicate it to the DOE.

97. The processes for payment of the CP inclusion fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of no-payment of the CP inclusion fee within the deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 45-47 above mutatis mutandis.
98. The CP described in the CP-DD uploaded by the DOE will be included in the registered A6.4 PoA and displayed on the activity view page of that PoA on the UNFCCC website after the processing of the CP inclusion fee. The secretariat shall automatically notify the DOE, the activity participants and the DNA of the host Party of the CP of the change in the status of the PoA, and shall assess, on a sample basis, the inclusion of CPs in accordance with the process referred to in sections 5.1.2–5.3 above mutatis mutandis.
99. If the methodologies, methodological tools and/or standardized baselines applied to the registered A6.4 PoA are put on hold or withdrawn for any reason other than for the purpose of including the methodology in a consolidated methodology, and the proof of payment of the CP inclusion is not uploaded or received by the secretariat within the timelines indicated in paragraph 97 above, no new CPs shall be included in the PoA.

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

100. If the DNA of a Party involved in the registered A6.4 PoA or a Supervisory Body member identifies information that may disqualify the CP from inclusion in the PoA, they shall request a review of the inclusion of the CP by notifying the secretariat within one year after the inclusion of the CP in the PoA, or within 180 days after the first issuance of A6.4 ERs for that CP, by submitting a completed “Component project inclusion review form”. Such request for review shall be related to issues associated with the compliance of the CP with the requirements for inclusion of CPs in the PoA as referred to in paragraph 92 above.
101. If the request is received from a Supervisory Body member, the Chair of the Supervisory Body, in consultation with the secretariat, shall assess the information referred to in paragraph 100 above and decide, within 14 days, whether to add the request for review to the agenda of the next meeting of the Supervisory Body.
102. If the Chair of the Supervisory Body decides not to add the request for review to the agenda of the next meeting of the Supervisory Body, the secretariat shall inform the relevant Supervisory Body member of the reasons for this decision.
103. If the Chair of the Supervisory Body decides to add the request for review to the agenda of the next meeting of the Supervisory Body, or if the request for review of the inclusion of the CP has been received from the DNA or a Party involved, the secretariat shall accordingly notify the activity participants, the DOE referred to in paragraph 93 above (hereinafter referred to as validating DOE) and the DNAs of all Parties involved in the A6.4 PoA. The activity participants and the validating DOE shall provide initial comments on the request for review no later than 28 days from the date of notification of the review.
104. If the request for review is added to the agenda of the next meeting of the Supervisory Body in accordance with paragraph 103 above, the Supervisory Body, taking into account any comments received from the activity participants and the validating DOE, shall either:
  - (a) Confirm the inclusion of the CP in the registered A6.4 PoA; or

- (b) Exclude the CP from the registered A6.4 PoA with immediate effect if it determines that the CP was erroneously included in the PoA.
105. If the Supervisory Body determines that the consideration of the request for review as per paragraph 103 above or the consideration of an issue identified by the secretariat on the basis of the sample assessment as per paragraph 98 above which raises concerns regarding the processes used to include CPs in the registered A6.4 PoA, the Supervisory Body shall initiate a full review of all CPs included in the PoA.
106. If the Supervisory Body initiates the full review referred to in paragraph 105 above, it shall request the secretariat to contract a DOE that has not performed validation, CP inclusion or verification functions with regard to this registered A6.4 PoA, to review all the CPs that have been included in the PoA in the one-year period or have had their first issuance in the 180-day period preceding the request for review. The DOE shall submit a review report to the secretariat within 30 days.
107. The Supervisory Body shall establish an assessment team to analyse the DOE's review report and provide findings and recommendations to the Supervisory Body within 14 days. The assessment team may discuss the findings of the DOE's review report and seek comments from the activity participants and the validating DOE, as appropriate. Based on this assessment, the assessment team shall make a finding as to:
- (a) Whether any specific CPs have been erroneously included in the registered A6.4 PoA;
- (b) Whether the compliance of each of the CPs reviewed with the requirements for inclusion of CPs in the registered A6.4 PoA as referred to in paragraph 92 above was adequately assessed by the validating DOE in accordance with the validation and verification standard and other Article 6.4 mechanism rules and requirements applicable at the time of the inclusion.
108. The Supervisory Body shall consider the DOE's review report and the assessment team's finding at the next meeting of the Supervisory Body for which the report and the finding have been made available by the 14-day documentation deadline.
109. The Supervisory Body shall decide to exclude any of the specific CPs from the registered A6.4 PoA if it concludes that they have been erroneously included.
110. A specific CP that has been excluded after having been identified as erroneously included in the registered A6.4 PoA may be re-included in the same or different registered A6.4 PoA or registered as an A6.4 project. For re-inclusion in the same or different PoA, the relevant requirements in the activity standard, the validation and verification standard and the process in subsections 6.2.1 – 6.2.3 above shall apply. For registration as an A6.4 project, the relevant requirements in the "Article 6.4 mechanism activity standard for projects" and, the "Article 6.4 mechanism validation and verification standard for projects" and the relevant process in the "Article 6.4 mechanism activity cycle procedure for projects" shall apply.
111. [Where, for any of the specific CPs excluded in accordance with paragraph 104(b) or 109 above, the Supervisory Body determines that the validating DOE failed to adequately assess their compliance with the requirements for inclusion of CPs in the registered A6.4 PoA in accordance with the validation and verification standard, the DOE shall have its performance evaluated according to the "Procedure: Performance monitoring of designated operational entities" and the DOE shall acquire and transfer, within 30 days of the exclusion of the CPAs, an amount of emission reduction units equivalent to the amount



of A6.4 ERs issued for the CPs as a result of the CPs having been included to the cancellation account in the mechanism registry.]

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

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

- (a) Be specific to the registered A6.4 PoA or any CP included therein;
- (b) Be related to the compliance with applicable Article 6.4 mechanism rules and regulations.

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

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

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

114. If there is a change that has occurred or is expected to occur to a registered A6.4 PoA, such change (hereinafter referred to as post-registration change to the PoA) shall be approved by the Supervisory Body in accordance with this section to maintain the registration status under the Article 6.4 mechanism. The post-registration change to the PoA shall not affect the CPs included until the renewal of the crediting period of the CPs, shall be within the scope of the following acceptable changes and shall meet the associated conditions, as specified in the activity standard:

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

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

115. For any of the permanent changes referred to in paragraph 114(a) above, the activity participants shall revise the PoA-DD, reflecting the post-registration change to the PoA. The activity participants shall then submit the revised PoA-DD and any other supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation of the post-registration change to the PoA. In this context, if the activity participants wish to appoint this DOE to submit the request for approval of post-registration change to the PoA under the issuance track referred to in paragraph 120 below, the selection of a DOE shall follow the same rule referred to in paragraph 172 below.
116. If the post-registration change to the PoA is required to be approved by the host Party in cases of changes made under paragraphs 114(a)(iii) and 114(a)(iv) above, especially if the change in the programme design or the addition of a generic CP-DD may result in the cumulative annual amount of GHG emission reductions or net GHG removals expected to be achieved to be higher than the maximum annual amount of GHG emission reductions or net GHG removals approved by the host Party under paragraph 22(d) above, the activity participants shall also submit the revised PoA-DD to the secretariat and through the secretariat obtain an approval from the host Party.
117. In the case of a post-registration change as per paragraph 116 above, the secretariat shall promptly publish the revised PoA-DD on the UNFCCC website, inform the host Party of the publication of the revised PoA-DD, and request the host Party to promptly respond to the publication, through a dedicated interface on the UNFCCC website, either to approve or reject the post-registration change.
118. For the permanent change referred to in paragraph 114(b) above, the validity of the version of the methodology or methodological tool and of standardized baselines applied by generic CPs shall follow the rules contained, respectively, in the "Procedure: Development, revision and clarification of methodologies and methodological tools" and in the "Procedure: Development, revision, clarification and update of standardized baselines". After the expiry of the validity of the previous version of the methodology or methodological tool and of the standardized baseline, the activity participants may submit a request for post-registration change to the PoA by updating the PoA-DD including, inter alia, updating the eligibility criteria for the inclusion of CPs in the PoA to be in line with the revised methodologies, methodological tools and/or standardized baselines. Such revision to the PoA-DD is not required if the methodologies or methodological tools are revised or withdrawn to be included in consolidated methodologies without being placed on hold, unless otherwise indicated in the report of the Supervisory Body meeting at which the Supervisory Body approved the revised or consolidated methodologies or methodological tools.
119. The CPs that were included before the revision of the PoA-DD shall apply the latest version of the PoA-DD only at the time of the renewal of their crediting periods. If the activity participants wish not to revise the PoA-DD to apply the revised version of the methodology, no new CPs shall be included in the PoA.

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

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

registration change prior to submitting a request for issuance of A6.4ERs that are affected by the post-registration change (prior-approval track) or together with such request for issuance of A6.4ERs (issuance track). The choice of whether the DOE submits the request for approval via the prior-approval track or the issuance track shall be at the discretion of the activity participants, who may wish to take into account the indicative list of post-registration changes that may be suitable for approval under the issuance track contained in Appendix 2.

121. A request for approval of post-registration change to the PoA of the permanent changes referred to in paragraph 114(a) above shall be submitted, irrespective of whether it is under the prior-approval track or the issuance track:
- (a) Any time for corrections that do not have material impact on the calculation of achieved GHG emission reductions or net GHG removals;
  - (b) No later than the first issuance request for permanent changes to the description of how to develop the monitoring plan for each CP as per the corresponding generic CP-DD as described in the registered PoA-DD;
  - (c) No later than one year after the occurrence of the permanent changes to the programme design.
122. A request for approval of post-registration change to the PoA of the changes referred to in paragraph 114(b) above may be submitted once the Supervisory Body adopts a revised version of the methodology. No new CPs shall be included in the PoA after the end of the validity period of the previous version of the methodology or methodological tool, until the request for post-registration change to the PoA is approved by the Supervisory Body.
123. Where more than one of the changes referred to in paragraph 114 above have occurred or are expected to occur to the registered A6.4 PoA, the DOE shall, wherever possible, combine such changes into one request for approval of post-registration change to the PoA.
124. Under both the prior-approval track and the issuance track, the DOE shall submit a request for approval of post-registration change to the PoA to the secretariat through a dedicated interface on the UNFCCC website, attaching:
- (a) The revised PoA-DD (in both clean and track-change versions) or a monitoring report, as applicable, and any supporting documentation, prepared by the activity participants in accordance with the activity standard;
  - (b) The validation report on the post-registration change to the PoA prepared by the DOE in accordance with the validation and verification standard.
125. The secretariat shall issue a statement of the post-registration change fee due, or confirmation that no post-registration change fee is due, determined in accordance with the provisions on the post-registration change fee contained in Appendix 1, and shall communicate it to the DOE.
126. The processes for payment of the post-registration change fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of no-payment of the post-registration change fee within a deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 45–47 above, mutatis mutandis.

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

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

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

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

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

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

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

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

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

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

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

132. If there is a change that has occurred or is expected to occur to an included CP, such change (hereinafter referred to as post-registration change to included CP) shall be notified in accordance with this section to maintain the inclusion status under the Article 6.4 mechanism. The post-registration change to an included CP shall be within the scope of the following acceptable changes, and meet the associated conditions, as specified in the activity standard:

- (a) Temporary deviation from the registered monitoring plan as described in the CP-DD, applied methodologies, standardized baselines or other methodological regulatory documents;
- (b) Permanent changes:
  - (i) Corrections that do not have material impact on the calculation of achieved GHG emission reductions or net GHG removals;
  - (ii) Changes to the start date of the crediting period.
  - (iii) Inclusion of a monitoring plan;
  - (iv) Permanent changes to the registered monitoring plan in the CP-DD, or permanent deviation of monitoring from the applied methodologies, standardized baselines, or other methodological regulatory documents;

- (v) Changes to the project design;
- (c) Registration under or overlap of the CP with other crediting scheme.

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

133. For the temporary deviation referred to in paragraph 132(a) above, the activity participants shall describe the deviation in the monitoring report in accordance with the activity standard as part of the preparation of a monitoring report in accordance with section 7.1 below for the monitoring period that covers the period when the temporary deviation occurred, to be subsequently verified by a DOE for requesting issuance for the monitoring period in accordance with sections 7.2 and 8.1 below.
134. For any of the permanent changes referred to in paragraph 132(b) above, the activity participants shall:
- (a) Revise the CP-DD, reflecting the post-registration change;
  - (b) Submit the revised CP-DD and any other supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform validation of the post-registration change;
  - (c) Revise the PoA-DD and obtain approval by the host Party of the request for post-registration change of the PoA if the post-registration changes involve:
    - (i) An increase of capacity leading to estimated GHG emission reductions or net GHG removals of all CPs included exceeding the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs that may be included in the registered PoA that was originally approved by the host Party;<sup>15</sup>
    - (ii) The addition of a technology/measure, leading to estimated GHG emission reductions or net GHG removals of all CPs included exceeding the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs that may be included in the PoA approved by the host Party,<sup>16</sup> or if the technology/measure does not comply with the eligible technologies/measures covered by the registered PoA.

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

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

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<sup>15</sup> If the increase of capacity does not lead to estimated GHG emission reductions or net GHG removals of all CPs included that exceeds the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CPs, activity participants shall ensure that the additionality of the CP still complies with the eligibility criteria on additionality in the registered PoA-DD.

<sup>16</sup> Post-registration changes to the project design involving the addition of a technology/measure shall not trigger a post-registration change to the programme design if the technology/measure is covered in the eligibility criteria of the registered PoA and if the addition of the technology/measure in the does not lead to exceeding the maximum annual amount of GHG emission reductions or net GHG removals expected to be achieved by CP.

- registration change to the included CP prior to submitting a request for issuance of A6.4 ERs for the PoA that are affected by the post-registration change.
136. A notification of post-registration change to the included CP of the permanent changes referred to in paragraph 132(b) above shall be submitted:
- (a) Any time for corrections that do not have material impact on the calculation of achieved GHG emission reductions or net GHG removals;
  - (b) No later than the first issuance request for inclusion of a monitoring plan;
  - (c) No later than one year after the occurrence of the permanent changes to the registered monitoring plan of the included CP, permanent deviation of monitoring from the applied methodologies, standardized baselines, or other methodological regulatory documents, or the permanent change to the project design.
137. Where more than one of the changes referred to in paragraph 132 above have occurred or are expected to occur to the included CP, the DOE shall, wherever possible, combine such changes into one notification of post-registration change.
138. The DOE shall submit a notification of post-registration change to the included CP to the secretariat through a dedicated interface on the UNFCCC website, attaching:
- (a) The revised CP-DD (in both clean and track-change versions) and any supporting documentation, prepared by the activity participants in accordance with the activity standard;
  - (b) The validation report on the post-registration change prepared by the DOE in accordance with the validation and verification standard.

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

139. The secretariat shall issue a statement of the post-registration change fee due, or confirmation that no post-registration change fee is due, determined in accordance with the provisions for the post-registration change fee contained in Appendix 1, and shall communicate it to the DOE.
140. The processes for payment of the post-registration change fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of no-payment of the post-registration change fee within a deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 45-47 above, mutatis mutandis.
141. The secretariat shall maintain a publicly available list of all submitted notifications of post-registration changes to CPs on the UNFCCC website. The secretariat shall assess the notifications of post-registration changes on a sample basis.
142. The notifications of post-registration changes to included CPs selected for assessment by the secretariat shall be further processed, finalized and withdrawn as applicable, by following the provisions in sections 6.4.4–6.4.8 above mutatis mutandis. If the Supervisory Body rejects a change to a CP, the secretariat shall assess all post-registration changes of the same type to CPs that have been notified, by following the provisions in sections 6.4.4–6.4.8 above, mutatis mutandis.
143. A notification of post-registration change to a CP that has not been selected for assessment by the secretariat will be automatically displayed on the activity view page of the registered A6.4 PoA on the UNFCCC website. The secretariat shall automatically

notify the DOE, the activity participants and the DNA of the relevant host Party of the change to the CP.

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

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

### **6.6.1. General requirements**

146. If there is a change to the MoC statement, the focal points for scope (b) of the registered A6.4 PoA referred to in paragraph 32 above shall request approval of the change to the secretariat as soon as possible but no later than 90 days after the change takes place.
147. The authorized signatories or the legal representatives of the activity participants, the focal points, or the DNAs of the host Party or any other Parties participating in the A6.4 PoA may directly notify the secretariat of any issues regarding the MoC statement through a specified e-mail account made available on the mechanism registry section of the UNFCCC website. In this case, the secretariat may request additional clarifications to the notifier. The secretariat may contact any of the focal points or the activity participants of the respective registered A6.4 PoA or the liquidators/administrators in the case of insolvency, in order to request additional clarifications from these entities. The secretariat shall advise the parties involved with regard to further actions, including those referred to in section 6.6.2 below.
148. The secretariat may request a new submission of an MoC statement whenever the secretariat identifies inconsistencies or inaccuracies in the MoC statement or when inconsistencies or inaccuracies are reported to the secretariat. The secretariat may provide specific guidance for the resubmission and, in its role as the mechanism registry administrator, may, after sending a notice to the focal points and the activity participants, temporarily put on hold the forwarding of A6.4ERs if the inconsistencies or inaccuracies prevent the secretariat from establishing the focal points for scope of authority (a), pending resolution of the inconsistencies or inaccuracies.
149. The focal points for scope (b) shall request an approval of the change to the modalities of communication to the secretariat through a dedicated interface on the UNFCCC website by uploading a new MoC statement using the valid version of the “Modalities of communication statement form”.
150. The focal points for scope (b) or the activity participants who submit a new MoC statement in accordance with paragraph 159 below shall ensure that:
- (a) Supporting documentation, including powers of attorney, extracts from board meeting minutes, company association documentation or extracts/certificates from national company registries that cannot be verified online, is dated, or notarized

within six months from the time of submission of a request for change to the MoC statement. This time limitation does not apply to copies of national personal identity documents;

- (b) To the extent possible, changes applicable to more than one A6.4 PoA or multiple changes affecting the same PoA are consolidated in a single change request in accordance with the instructions provided in the mechanism registry section of the UNFCCC website.
151. The legal representatives signing on behalf of the focal points or the activity participants shall provide written evidence that they are authorized to sign on behalf of the respective entities. The evidence shall be submitted in accordance with paragraph 150(a) above.
152. The secretariat shall process the request for approval of changes to the MoC statement following the steps described in sections 6.6.2–6.6.4 below. Wherever specific steps are not described, the secretariat shall review the request based on compliance with the documentation requirements. In the absence of clear evidence to support a specific request, the secretariat may request additional information prior to approving or rejecting the request. In the case of a rejection, the secretariat shall provide reasons for the rejection and additional guidance as appropriate.
153. The secretariat shall make detailed guidance available on the mechanism registry section of the UNFCCC website on how to request changes to the activity participants and focal points.
154. The secretariat shall display the effective date of the new MoC statement on the activity view page of the A6.4 PoA on the UNFCCC website.

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

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



### 6.6.3. Changes of focal points

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

communicate the approval of the withdrawal of the focal point and its implications on the MoC to all remaining focal points and all activity participants of the PoA;

- (d) Approved withdrawal of the focal point shall have no effect on other focal points, with the exception of joint or shared focal point roles that the withdrawn focal point was part of. In such cases, the remaining focal points shall continue to act in a sole, shared or joint focal point role, as appropriate. If no focal point remains for a specific scope of authority after the withdrawal of the focal point, the secretariat shall notify the withdrawal to the remaining focal points for other scopes of authority, or to all activity participants if no focal point remains. The activity participants shall designate a new focal point for any of the scopes of authority for which no focal point remains as soon as possible in accordance with the provisions of this section to enable further engagement with the Supervisory Body and the secretariat.

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

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

participate in the PoA, that has been sent at least 15 days prior to the submission of the withdrawal request to the secretariat;

- (b) The secretariat shall review the completeness of the submission and, if found complete, send an e-mail to the non-contactable activity participant, with a copy to the authorizing DNA, to respond within 30 days, asking whether the activity participant objects to the administrative withdrawal. In addition, the secretariat may use other communication channels to establish contact with the non-contactable activity participant;
  - (c) If the non-contactable activity participant and the authorizing DNA do not object to proceeding with the administrative withdrawal within 30 days of the electronic communication made in accordance with subparagraph (b) above, the secretariat shall mark the non-contactable activity participant as “withdrawn” on the UNFCCC website;
  - (d) If the non-contactable activity participant or the authorizing DNA objects to the administrative withdrawal within the 30-day period, the secretariat shall reject the request and may advise the focal point for scope (b) on further actions;
  - (e) The activity participants whose participation in the PoA has been administratively withdrawn may request inclusion as activity participants of the same PoA any time thereafter in accordance with 164(a) above.
168. Notwithstanding the provisions in paragraphs 167(b)-167(e) above, the activity participants of a registered A6.4 PoA may directly request, by submitting annex 2 of the MoC statement:
- (a) Their own voluntary withdrawal, provided that at least one activity participant authorized by the DNA of any of the host Parties to participate in the PoA remains;
  - (b) Changes to their own names, legal statuses or contact details;
  - (c) Withdrawal of other activity participants of the same PoA on the basis of their cessation. In this case, the submission shall be accompanied by documented evidence of the cessation;
  - (d) Administrative withdrawal of other activity participants of the same PoA who are not contactable. In this case, the submission shall be accompanied by the written evidence referred to in paragraph 167(a)(ii) above.
169. The secretariat may effect the withdrawal of an activity participant that has ceased to exist, provided that the cessation can be unambiguously confirmed through the relevant official company registrar.
170. In cases as per paragraph 164(b) above, where the change relates to the name or legal status of the activity participant, and in cases referred to in paragraph 169 above, the secretariat shall notify the DNA that had authorized the activity participant and request a confirmation as to whether to approve the change of the name or legal status of the activity participant or the withdrawal of an activity participant through the dedicated interface on the UNFCCC website.

## 7. Pre-issuance activities

### 7.1. Preparation of monitoring report

171. The activity participants of a registered A6.4 PoA shall, using the “Monitoring report form for PoAs”, prepare for each monitoring period and in accordance with the activity standard:

- (a) A single monitoring report for all CPs implemented in a single host Party that have been included in the PoA in a single batch (hereinafter referred to as single batch of CPs); or
- (b) Multiple separate monitoring reports for multiple batches of CPs, provided that these batches of CPs have the same monitoring period and apply the same version of the methodology (hereinafter referred to as multiple batches of CPs). For multi-country PoAs, each of the batches of CPs shall include only CPs monitored in the same host Party.

### 7.2. Verification of emission reductions or removals

172. The activity participants shall submit the monitoring report(s) and any other supporting documentation to a DOE accredited in the relevant sectoral scope(s) and contracted by the activity participants to perform verification of GHG emission reductions or net GHG removals. In this regard, the selection of the DOEs to perform the verification shall follow the requirements below:

- (a) A DOE that performed the validation for registration of the PoA shall not be selected to perform the first verification for the PoA;
- (b) A DOE that performed the renewal of the PoA period shall not be selected to perform the first verification for the PoA after the renewal of the PoA period;
- (c) A DOE that performed that inclusion of a CP shall not be selected to perform the first verification for the request for issuance that involves the CP;
- (d) A DOE that performed the renewal of the crediting period of a CP shall not be selected to perform the first verification for the request for issuance that involves the CP after the renewal of the crediting period of the CP.

173. The DOE shall (i) perform verification of whether the implementation of the CPs, and the monitoring and calculation of GHG emission reductions or net GHG removals comply with the relevant requirements in the activity standard and any other applicable Article 6.4 mechanism rules and requirements based on the information provided in the monitoring report(s) and any supporting documentation it has received from the activity participants as well as further information obtained during the verification activity; and (ii) prepare a single verification and certification report for the single batch of CPs or one verification and certification report for each of the multiple batches of CPs, in accordance with the validation and verification standard, using the “Verification and certification report form for PoAs”. The DOE shall verify and certify for the entire monitoring period covered by the monitoring report.

174. If the DOE or activity participants identify that the sum of the amount of GHG emission reductions or net GHG removals requested for issuance and the cumulative amount of GHG emission reductions or net GHG removals issued for the PoA is above the maximum annual amount of GHG emission reductions or net GHG removals approved by the host

Party under paragraph 22(d) above, a post-registration change to the programme design, as per paragraph 114(a)(iii) above, to increase the annual amount of GHG emission reductions or net GHG removals expected to be achieved by the CPs to be included shall be approved by the Supervisory Body prior to proceeding with the request for issuance.

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

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

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

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

176. The DOE, after verifying that GHG emission reductions or net GHG removals achieved by the registered A6.4 PoA during the monitoring period covered by the monitoring report were determined in accordance with all applicable requirements for implementation and monitoring in the activity standard and any other applicable Article 6.4 mechanism rules and requirements, and certifying the quantity of A6.4ERs that may be requested for issuance, shall submit a request for issuance of A6.4ERs to the secretariat through a dedicated interface on the UNFCCC website, including the reference to the notification of the timing of the site inspection made in accordance with paragraph 175 above and attaching:
- (a) The monitoring report and any supporting documentation prepared by the activity participants in accordance with paragraph 171 above and verified by the DOE in accordance with paragraph 173 above;
  - (b) The verification and certification report prepared by the DOE in accordance with paragraph 173 above;
  - (c) The request for distribution of A6.4ERs upon their issuance, specifying the receiving accounts and the proportion of A6.4ERs for each distribution.
177. Requests for issuance for a registered A6.4 PoA shall be submitted in chronological order in terms of monitoring periods covered by separate monitoring reports and shall not have a gap period between any two successive monitoring periods.
178. A request for issuance for a registered A6.4 PoA for a monitoring period may be separated into multiple requests for issuance, each of which is based on different monitoring reports covering mutually exclusive batches of CPs and for the same monitoring period prepared in accordance with the activity standard. In this case, a request for issuance for a batch of CPs for a subsequent monitoring period can only be submitted after the requests for issuance for all batches of CPs for the previous monitoring period have been submitted. Compositions of CPs in multiple batches may be changed for different monitoring periods.
179. Each request for issuance shall indicate the verified and certified GHG emission reductions or net GHG removals achieved by each CP for each vintage year when they have occurred.

180. Requests for issuance for GHG emission reductions or net GHG removals occurring in a crediting period of a CP shall be submitted within two years after the end of that crediting period of the CP, at the latest.<sup>17</sup> If a submission misses this deadline, A6.4ERs shall no longer be issued for the CP for that crediting period.
181. Once the documents referred to in paragraph 176 above are uploaded, the secretariat shall through the dedicated interface on the UNFCCC website, automatically check whether the amount of ERs included in the request for issuance will result in the total amount of GHG emission reductions or net removals for the registered PoA being within the maximum annual amount that have been approved by the host Party under paragraph 22(d) above. If the total annual amount exceeds the maximum annual amount approved by the host Party, the dedicated interface shall automatically block the processing of the uploaded documents, otherwise, the secretariat shall issue a statement of the issuance fee due (or confirmation that no issuance fee is due), determined in accordance with the provisions on the issuance fee contained in Appendix 1, and communicate it to the DOE.
182. The activity participants shall pay the issuance fee by bank transfer, quoting the unique PoA reference number referred to in paragraph 14 above, within one year of the issuance to the DOE of the statement of the issuance fee due.
183. The DOE shall submit a proof of payment (e.g. bank transfer record) through a dedicated interface on the UNFCCC website.
184. If the secretariat does not receive the deposit of the issuance fee by the one-year deadline referred to in paragraph 182 above, the request for issuance shall be deemed withdrawn. The same or a different DOE may submit a new request for issuance for the monitoring period covered by the withdrawn request for issuance any time thereafter, following the applicable Article 6.4 mechanism rules and requirements valid at the time of the new submission.
185. If the DOE submits a request for approval of post-registration change to the PoA together with the request for issuance in accordance with paragraph 120 above, it shall also submit the documentation and information listed in paragraph 124 above in addition to those referred to in paragraph 176 above.

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

186. The secretariat shall maintain on the UNFCCC website a publicly available list of all submitted requests for issuance for which the applicable issuance fee has been received by the secretariat or for which no issuance fee is due. The secretariat shall make publicly available the schedule and the status of processing each request for issuance. The secretariat shall schedule the commencement of the processing of the requests for issuance in accordance with the secretariat's operational plans, that is, monthly quotas, which shall also incorporate any relevant instructions from the Supervisory Body.
187. The secretariat shall commence the completeness check stage in accordance with the schedule. Upon commencement of the completeness check stage, the secretariat shall, subject to the guidance of the Supervisory Body, conduct within seven days a completeness check to determine whether the request for issuance submission is complete in accordance with the completeness check checklist for requests for issuance.

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<sup>17</sup> The Supervisory Body may set a different deadline for removal projects in the future.

188. If the secretariat, during the completeness check, identifies issues of an editorial nature or consistency in the submission, it shall request the DOE by e-mail, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete unless the DOE provides a justification by this deadline for not being able to submit the requested documents and/or information in time. In this case, the deadline shall be extended accordingly.
189. Upon conclusion of the completeness check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the completeness check stage. If the request submission does not meet the requirements of the completeness check, the secretariat shall also communicate the underlying reasons to the activity participants and the DOE and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for issuance with revised documentation. If the resubmission of the request for issuance is made within 28 days of the notification, the secretariat shall promptly commence the completeness check again; otherwise the resubmission shall be treated as a new submission of a request for issuance.
190. Upon positive conclusion of the completeness check stage, the secretariat shall, subject to the guidance of the Supervisory Body, conduct within 21 days a substantive check in accordance with the substantive checklist for requests for issuance.
191. If the secretariat, during the substantive check, identifies issues of a substantive nature or missing basic information, it shall request the DOE by e-mail, copying the activity participants, to submit revised documents and/or information. In this case, the DOE shall submit the requested documents and/or information within seven days of receipt of the request. If the DOE does not submit the requested documents and/or information by this deadline, the secretariat shall conclude that the request submission is incomplete unless the DOE provides a justification by this deadline for not being able to submit the requested documents and/or information in time. In this case, the deadline shall be extended accordingly.
192. Upon conclusion of the substantive check stage, the secretariat shall notify the activity participants and the DOE of the conclusion of the substantive check stage. If the request submission for which the secretariat conducted a substantive check does not meet the requirements of the substantive check, the secretariat shall conclude that the request submission is incomplete and communicate the underlying reasons to the activity participants and the DOE and make them publicly available on the UNFCCC website. In this case, the DOE may resubmit the request for issuance with revised documentation. If the resubmission of the request for issuance is made within 28 days of the notification, the secretariat shall promptly commence the substantive check again, otherwise the resubmission shall be treated as a new submission of a request for issuance.
193. Upon positive conclusion of the substantive check stage, the secretariat shall publish the request for issuance on the UNFCCC website, and the request for issuance shall be deemed received by the Supervisory Body for consideration.
194. The secretariat shall notify the activity participants, the DNAs of the host Party(ies) and other participating Parties, and the DOE: that the Supervisory Body has received the request for issuance for its consideration; that the secretariat has published the request for issuance on the UNFCCC website; and of the last day by which members and alternate

members of the Supervisory Body and the host Party and other participating Parties may request a review of the request for issuance, as referred to in paragraph 196 below.

195. The secretariat shall, subject to the guidance of the Supervisory Body, prepare and send to the Supervisory Body a summary note on the request for issuance within 14 days of the date of publication of the request for issuance.

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

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

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

199. If the secretariat does not receive a request for review from any host Party, any other participating Party, or any member or alternate member of the Supervisory Body in accordance with the modalities described in section 8.1.3 above, the request for issuance shall be deemed approved by the Supervisory Body.
200. [Eligible stakeholders, activity participants or Parties may, in accordance with the appeal and grievance procedure, file an appeal to the decision of the Supervisory Body to approve the request for issuance within 14 days of the request for issuance having been deemed approved. If no eligible appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the step referred to in paragraph 203 below shall be followed. If an eligible appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the appeal and grievance procedure shall be followed.]<sup>18</sup>
201. The secretariat shall inform the activity participants of the Supervisory Body's instruction to the Article 6.4 mechanism registry administrator and update the status of the request for issuance on the UNFCCC website accordingly.
202. If, as a result of the substantive check of the request for issuance, the quantity of A6.4ERs to be issued changed from that in the initial request for issuance, the activity participants or the secretariat shall settle the difference in the issuance fees in accordance with

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<sup>18</sup> The content of this paragraph depends on the "Procedure: Appeal and grievance processes under the Article 6.4 mechanism", which is currently under development, therefore the paragraph is bracketed. The brackets will be removed with the same content or with modifications based on the procedure after its adoption in the next version of this document.



Appendix 1. If an additional issuance fee is due, the mechanism registry administrator shall issue A6.4ERs upon receipt by the secretariat of the additional issuance fee.

203. The mechanism registry administrator shall issue the specified quantity of A6.4ERs into the pending account in the mechanism registry.
204. The mechanism registry administrator shall distribute the A6.4ERs in accordance with the request for distribution of A6.4ERs and the “Article 6.4 mechanism registry procedure”. If the activity participants wish to change the receiving accounts and/or the proportion of A6.4ERs for each distribution, the DOE shall submit a revised request for distribution before the last day of the 28-day period following the publication of the request for issuance.

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

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

205. If any host Party, any other participating Party, or any member or alternate member of the Supervisory Body, requests a review of the request for issuance, the secretariat shall:
- (a) Notify the activity participants and the DOE that the request for issuance has been placed under review;
  - (b) Mark the request for issuance as “under review” on the UNFCCC website and make publicly available an anonymous version of each request for review;
  - (c) Establish an expert review team comprising two external experts selected from the roster of experts referred to in paragraph 65(c) above to conduct an assessment of the request for review. The secretariat shall appoint one of the team members to serve as the lead, who shall be responsible for all communications with the secretariat and delivery of an assessment report.
206. The DOE or the activity participants may request the secretariat, by e-mail through a dedicated e-mail address, to make a call to them to provide clarifications on the issues identified. Only one such request, regardless of the requesting party, shall be allowed per review of the request for issuance. In this case, the DOE or the activity participants shall provide the contact details of the person to be called and the preferred time slots. The secretariat shall fix an appointment for the call within three days of receipt of the request. The secretariat shall record the call.
207. The activity participants and the DOE shall provide responses to the issues identified in the request for review no later than 28 days after the notification of the request having been placed under review.
208. For each issue (or sub-issue) raised in the request for review, the activity participants and the DOE shall either:
- (a) Respond by making any revisions that they deem necessary to the monitoring report, its supporting documentation (e.g. spreadsheets), verification report, and/or certification report to ensure, inter alia, that all facts are clearly stated and sufficiently verified; or
  - (b) Respond in writing by explaining why no revisions to the monitoring report, its supporting documentation, verification report, and/or certification report are necessary.

209. The date of commencement of the review shall be the date when the secretariat notifies the activity participants and the DOE that the review has commenced.

### **8.2.2. Assessment**

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

- (a) A6.4ERs be issued; or
- (b) The request for issuance be rejected.

211. If the proposed decision is to reject the request for issuance, the assessment report shall include a proposed ruling. The proposed ruling shall contain an explanation of the reasons and rationale for the proposed decision, including, but not limited to:

- (a) The facts and any interpretation of the facts that formed the basis of the proposed decision;
- (b) The Article 6.4 mechanism rules and requirements applied to the facts;
- (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.

212. In addition, the expert review team shall, in its assessment report, highlight any issues of significance related to the policies and goals of the Article 6.4 mechanism arising from the assessment. The secretariat, in consultation with the Chair of the Supervisory Body, shall bring these issues to the attention of the Supervisory Body by preparing background notes and policy options and presenting them to the Supervisory Body at its meetings.

213. The expert review team shall submit its assessment report to the Supervisory Body through the secretariat.

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

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

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

- (a) Issue A6.4ERs; or
- (b) Reject the request for issuance.

216. [Eligible stakeholders, activity participants and Parties may, in accordance with the appeal and grievance procedure, file an appeal to the decision of the Supervisory Body within 14 days of the decision. If no eligible appeal is filed by an eligible stakeholder, activity

participant or Party within this time frame, the process contained in section 8.2.4 below shall be followed. If an eligible appeal is filed by an eligible stakeholder, activity participant or Party within this time frame, the appeal and grievance procedure shall be followed.]<sup>19</sup>

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

217. If the Supervisory Body's final decision made in accordance with paragraph 215 above is to issue A6.4ERs, the mechanism registry administrator shall issue the specified quantity of A6.4ERs into the pending account in the mechanism registry.
218. The secretariat shall inform the activity participants of the issuance of A6.4ERs into the pending account in the mechanism registry and update the status of the request for issuance on the UNFCCC website accordingly.
219. If, as a result of the substantive check by the secretariat or the review by the Supervisory Body of the request for issuance, the quantity of A6.4ERs to be issued changed from that in the initial request for issuance, the activity participants or the secretariat shall settle the difference in the issuance fees in accordance with Appendix 1. If an additional issuance fee is due, the mechanism registry administrator shall issue A6.4ERs upon receipt by the secretariat of the additional issuance fee.
220. The mechanism registry administrator shall distribute the A6.4ERs in accordance with the request for distribution of A6.4ERs and the "Article 6.4 mechanism registry procedure". If the activity participants wish to change the receiving accounts and/or the proportion of A6.4ERs for each distribution, the DOE shall submit a revised request for distribution before the Supervisory Body decides on the request for issuance in accordance with paragraph 215 above.
221. If the Supervisory Body's final decision made in accordance with paragraph 215 above is to reject the request for issuance, the secretariat shall update the information on the UNFCCC website accordingly on the first working day subsequent to the final decision. Furthermore, within 21 days of the final decision, the secretariat shall provide the Chair of the Supervisory Body with an information note containing a proposed ruling incorporating the final decision.
222. The proposed ruling shall contain an explanation of the reasons and rationale for the final decision of rejection, including, but not limited to:
  - (a) The facts and any interpretation of the facts that formed the basis of the proposed ruling;
  - (b) The Article 6.4 mechanism rules and requirements applied to the facts;
  - (c) The interpretation of the Article 6.4 mechanism rules and requirements as applied to the facts.
223. Once approved by the Chair of the Supervisory Body, the secretariat shall immediately make the proposed ruling available to the Supervisory Body. The proposed ruling shall become the final ruling of the Supervisory Body 10 days after the date when the proposed

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<sup>19</sup> The content of this paragraph depends on the "Procedure: Appeal and grievance processes under the Article 6.4 mechanism", which is currently under development, therefore the paragraph is bracketed. The brackets will be removed with the same content or with modifications based on the procedure after its adoption in the next version of this document.

ruling was made available to the Supervisory Body, unless a member or an alternate member of the Supervisory Body objects to the proposed ruling.

224. An objection by a member or an alternate member of the Supervisory Body shall be made by notifying the secretariat, giving reasons in writing. The secretariat shall acknowledge receipt of the objection and make it available to the Supervisory Body.
225. At the Supervisory Body meeting for which the case is placed on the agenda, the Supervisory Body shall finalize the ruling.
226. The secretariat shall publish a ruling note on the UNFCCC website no later than three days after the ruling was finalized.
227. If the request for issuance is rejected by the Supervisory Body, the same or a different DOE may resubmit the request for issuance with revised documentation, addressing the issues that constitute the reason for the rejection by the Supervisory Body. Upon submission of the revised documentation, the request shall be treated as a new submission of a request for issuance.

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

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

228. For the following cases, the DOE shall submit a request for withdrawal of a request for issuance to the secretariat through a dedicated interface on the UNFCCC website:
- (a) The activity participants voluntarily wish that the request for issuance be withdrawn;<sup>20</sup>
  - (b) The DOE has revised its verification report and/or certification report based on new insights or information.

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

229. Upon receipt of the request for withdrawal of a request for issuance, the secretariat shall check the information provided as soon as possible and, if the request is complete, reimburse the issuance fee if applicable in accordance with Appendix 1 and update the information on the activity view page of the relevant registered A6.4 PoA on the UNFCCC website. If the DOE requests the withdrawal after the publication of the request for issuance in accordance with paragraph 193 above, the request for issuance shall be marked as “withdrawn”. The same or a different DOE may resubmit the request for issuance at any time.
230. If the activity participants wish to change the monitoring period covered by the monitoring report contained in the withdrawn request for issuance, and if the final date of the changed monitoring period is after the date when the DOE conducted an on-site inspection, the same or different DOE shall undertake an additional on-site inspection; or decide whether an on-site inspection is necessary in order to duly perform its verification by following the applicable provisions of the validation and verification standard. After the verification, the DOE may submit a request for issuance for the changed monitoring period as a new submission.

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<sup>20</sup> In such cases, the DOE shall process the request expeditiously.

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

### **9.1. General requirements**

231. A crediting period is defined only at the CP level, for each CP individually. A registered A6.4 PoA, as the framework, is to be renewed every five years (every 15 years for a PoA involving removals) for a maximum of three times, that is, a maximum of 20 years in total (a maximum of 60 years in total for a PoA involving removals), by updating the PoA-DD in accordance with the activity standard.
232. If the host Party provided an approval of renewal of the PoA period and the renewal of the crediting period of CPs at the registration of the A6.4 PoA in accordance with paragraph 22(b) above, the PoA period and the crediting periods of CPs may be renewed in accordance with this section.
233. For the purpose of renewal of the PoA period, it is not necessary to obtain a new approval from the host Party(ies) and new authorization of activity participants from the host Party(ies) and other participating Parties.
234. The new PoA period shall start on the day immediately after the expiration of the current PoA period regardless of the date when the renewal of the PoA period is approved by the Supervisory Body. If the PoA period is deemed renewed after the start of the next PoA period, the activity participants shall not include new CPs or renew the crediting periods of existing CPs from the first day of the next PoA period until the last day before the PoA period is deemed renewed.
235. The new crediting period of a CP shall start on the day immediately after the expiration of the current crediting period of the CP regardless of the date when the renewal of the crediting period of the CP is deemed complete.
236. If the date when the renewal of the crediting period of a CP is deemed complete is after the expiration of the current crediting period, and due to this delay or for any other reasons, the monitoring temporarily does not comply with the monitoring plan in the updated CP-DD, the activity participants may opt for a temporary deviation from the registered monitoring plan of the CP in accordance with the process for post-registration changes contained in section 6.5 above.

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

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

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

through the DOE, on a deviation from the selected methodologies or methodological tools for the purpose of the renewal of the PoA period in accordance with the “Procedure: Development, revision and clarification of methodologies and methodological tools”.

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

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

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

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

245. The secretariat shall issue a statement of the renewal fee due, or confirmation that no renewal fee is due, determined in accordance with the provisions on the renewal fee contained in Appendix 1, and shall communicate it to the DOE. The processes for payment of the PoA renewal fee by the activity participants and submission of a proof of payment by the DOE, and the consequence of no-payment of the CP inclusion fee within a deadline, shall follow the corresponding provisions for the registration fee contained in paragraphs 45-47 above mutatis mutandis.

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

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

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

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

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

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

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

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

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

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

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

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

251. For the renewal of the crediting period of a CP, the activity participants shall update the CP-DD by preparing a new version of the CP-DD in accordance with the activity standard.

252. If the activity participants plan to make, or have made, a post-registration change to the project design effective from the start date of the new crediting period of the CP, they shall clearly indicate the post-registration change in the new version of the CP-DD, distinguishing it from other update of information due to the renewal of the crediting period of the CP.

253. If a post-registration change becomes effective prior to or after the renewal of the crediting period of the CP, such post-registration change shall not be included in the notification of renewal of the crediting period of the CP, but shall be a separate notification in accordance with section 6.5 above before or after the submission of the notification of renewal of the crediting period of the CP, respectively.

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

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

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

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



262. For the review of an erroneous renewal of crediting period of a CP, the provisions in section 6.2.4 above shall apply mutatis mutandis.

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

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

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

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

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

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

269. The effective date of exclusion shall be the date when the secretariat received a complete submission of the request for voluntary exclusion.
270. A DOE may submit a request for issuance of A6.4ERs in accordance with section 8.1.1 above for the monitoring report covering the excluded CP for the period prior to the effective date of exclusion.
271. A DOE shall not make any request for issuance for the monitoring report that covers the excluded CP for the monitoring period, including any date that is on or after the effective date of exclusion. The mechanism registry administrator shall not issue A6.4ERs for the excluded CP for the period from the effective date of exclusion.

272. A CP that has been excluded from a registered A6.4 PoA may be registered as an A6.4 project under the Article 6.4 mechanism or included in another registered A6.4 PoA, provided that its crediting period is limited to the crediting period under the original PoA.
273. The CP inclusion fee shall not be reimbursed for an excluded CP.

## **11. Withdrawal of approval of a programme of activities or authorization of activity participant**

### **11.1. Submission of withdrawal notification**

274. A host Party of a proposed or registered A6.4 PoA may, through its DNA, submit a notification to the secretariat to withdraw the approval of the PoA or the authorization of any of the activity participants made in accordance with paragraphs 21–22 above at any time through a dedicated interface on the UNFCCC website, providing the following information:
- (a) The PoA title and its unique UNFCCC reference number;
  - (b) The type of withdrawal (withdrawal of the approval of the PoA or withdrawal of the authorization of activity participants);
  - (c) The names of the activity participants to whom the withdrawal of authorization applies (applicable if the withdrawal only relates to the authorization of activity participants);
  - (d) The effective date of the withdrawal, which shall be at least 60 days after the date of notification of the withdrawal unless the host Party specifies an earlier date with justification;
  - (e) The reason(s) for the withdrawal.
275. Other participating Parties may, through their DNAs, withdraw the authorization of the activity participants made in accordance with paragraph 26 above any time through the dedicated interface on the UNFCCC website, providing the information listed in paragraph 274(a)-(e) above.
276. Upon receipt of the withdrawal notification, the secretariat shall promptly inform the affected activity participants of the notification and check whether the information provided is complete. If found incomplete, the secretariat shall request the DNAs of the Parties submitting the withdrawal to provide the missing information.
277. The secretariat shall publish the withdrawal of the approval of the PoA and/or the authorization of activity participants on the UNFCCC website on the effective date of withdrawal.
278. If any of the host Parties withdraws the approval of the PoA:
- (a) If the effective date of the withdrawal is before the submission by a DOE of a request for registration of the PoA in accordance with paragraph 41 above, such request may not be submitted;
  - (b) If the effective date of the withdrawal is after the submission by a DOE of a request for registration of the PoA but before the final decision of the Supervisory Body on the request, the request shall be removed from processing the request;

- (c) If the effective date of the withdrawal is after the final decision of the Supervisory Body to register the PoA, the modalities contained in paragraph 279 below shall apply.

## **11.2. Impact of withdrawal**

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

## **12. Appeals and grievances**

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

## Appendix 1. Fee schedule

### 1. Background

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

### 2. General

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

### 3. Registration and inclusion fees

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

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

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

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

9. The fee to be charged for a request for approval of post-registration change to a registered A6.4 PoA (the post-registration change fee for PoA) or to an included CP (the post-registration change fee for CP) shall be a fixed rate, set at USD [500][800] per request.
10. If the request for approval of post-registration change to a registered A6.4 PoA is withdrawn by the DOE, concluded as incomplete by the secretariat, or rejected by the Supervisory Body, the paid post-registration fee shall be reimbursed to the activity participants in the following manner:
- (a) Reimbursement in full if the request is withdrawn by the DOE before the secretariat starts the completeness check stage in accordance with this procedure;
  - (b) No reimbursement if the request is withdrawn by the DOE any time after the secretariat starts the completeness check stage.
11. The post-registration change fee for CP shall not be reimbursed even if the notification of post-registration change to an included CP is selected for a sample assessment that concluded that the notification is incomplete or rejected by the Supervisory Body.

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

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

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

## **6. Renewal fee**

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

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

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

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

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

### Document information

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<i>Version</i>	<i>Date</i>	<i>Description</i>
02.0	2 May 2024	SB 011, Annex 4. This version takes into account the guidance provided by the Supervisory Body at SB 011. A call for public input will be issued for this draft document.
01.0	15 April 2024	Published as an annex to the annotated agenda of SB 011, this document is referenced as an appendix to document A6.4-SB011-AA-A07.

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Decision Class: Regulatory

Document Type: Procedure

Business Function: A6.4 activity cycle

Keywords: A6.4 mechanism, A6.4 programme of activities, activity cycle procedure, component project

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