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CONFERENCE OF THE PARTIES

REPORT OF THE CONFERENCE OF THE PARTIES
ON ITS EIGHTH SESSION, HELD AT NEW DELHI
FROM 23 OCTOBER TO 1 NOVEMBER 2002

Addendum

PART TWO: ACTION TAKEN BY THE CONFERENCE OF THE PARTIES
AT ITS EIGHTH SESSION

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Decision 21/CP.8

Guidance to the Executive Board of the clean development mechanism

The Conference of the Parties,

Recalling its decisions 15/CP.7 and 17/CP.7,

Noting with appreciation the first report of the Executive Board of the clean development mechanism,¹ and encouraging the Executive Board to continue to report on its activities, including on the implementation of rules 26 and 27 of the rules of procedure contained in annex I to this decision,

Expressing its appreciation to the Executive Board for the successful accomplishment of all elements of the work programme stipulated in decision 17/CP.7 and for its efforts to provide for dialogue and the exchange of information with the public,

1. *Decides*, in accordance with the provisions of decision 17/CP.7 and its annex:
 - (a) To adopt the rules of procedure of the Executive Board as contained in annex I to this decision;
 - (b) To encourage the Executive Board to keep its rules of procedure under review and, if necessary, make recommendations, in accordance with paragraph 5 (b) of the annex to decision 17/CP.7, on any amendments or additions aimed at safeguarding its efficient, cost-effective and transparent functioning;
 - (c) To adopt the simplified modalities and procedures for small-scale clean development mechanism project activities as contained in annex II to this decision;
 - (d) To authorize the Executive Board to accredit operational entities and designate them, on a provisional basis, pending the designation by the Conference of the Parties at its next session;
 - (e) To commend the Executive Board and the secretariat for the provision of up-to-date public information on the operational requirements of the clean development mechanism, such as on the accreditation procedures for operational entities and on the clean development mechanism project design document available in all six official languages of the United Nations on the secretariat web site² and on CD-ROM;
 - (f) To call to the attention of each Party wishing to participate in clean development mechanism project activities the need to identify a designated national authority and the possibility that information pertaining to the establishment of this authority can be made publicly available through the secretariat web site;
 - (g) To reiterate its invitation to Parties to finance the administrative expenses of operating the clean development mechanism by making contributions to the UNFCCC Trust Fund for Supplementary Activities;

¹ FCCC/CP/2002/3 and Add.1.

² <http://unfccc.int/cdm/index.html>

2. *Recommends* that the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, at its first session, adopt the draft decision below.

*7th plenary meeting
1 November 2002*

Draft decision -/CMP.1

Guidance to the Executive Board of the clean development mechanism

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Aware of its decisions -/CMP.1 (Mechanisms), and -/CMP.1 (Article 12),

Cognizant of decisions 15/CP.7 and 17/CP.7,

Decides to confirm and give full effect to any actions taken pursuant to decision 21/CP.8.

ANNEX I

Rules of procedure of the Executive Board of the clean development mechanism

I. SCOPE

Rule 1

These rules of procedures shall apply to all activities of the Executive Board of the clean development mechanism (CDM) undertaken in accordance with decision 17/CP.7, and the annex thereto on the modalities and procedures for a CDM, as defined in Article 12 of the Kyoto Protocol.

II. DEFINITIONS

Rule 2

For the purpose of these rules:

1. “Decision 17/CP.7” means the decision taken by the Conference of the Parties to the United Nations Framework Convention on Climate Change at its seventh session on the modalities and procedures for a clean development mechanism as defined in Article 12 of the Kyoto Protocol;¹
2. “CDM modalities and procedures” means modalities and procedures for a clean development mechanism contained in the annex to decision 17/CP.7;²
3. “UNFCCC” means the United Nations Framework Convention on Climate Change;
4. “COP” means the Conference of the Parties to the United Nations Framework Convention on Climate Change;
5. “COP/MOP” means the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol;
6. “CDM” means the clean development mechanism as defined in Article 12 of the Kyoto Protocol;
7. “Executive Board” means the Executive Board of the clean development mechanism as defined in Article 12 of the Kyoto Protocol;
8. “Chair” and “Vice-Chair” mean the members of the Executive Board elected as Chair and Vice-Chair by the Executive Board of the clean development mechanism;
9. “Member” means member of the Executive Board of the clean development mechanism;
10. “Alternate member” means alternate member of the Executive Board of the clean development mechanism;
11. “Secretariat” means the secretariat referred to in Article 14 of the Kyoto Protocol and the paragraph 19 of the CDM modalities and procedures;
12. “Technical reports commissioned” refers to reports commissioned by the Executive Board to obtain outside expertise other than reports produced by committees, panels and working groups specified in section VII of these rules of procedure;

¹ FCCC/CP/2001/13/Add.2

² FCCC/CP/2001/13/Add/2

Paragraph 1 (e) of the CDM modalities and procedures:

13. “Stakeholders” means the public, including individuals, groups or communities affected, or likely to be affected, by the proposed clean development mechanism project activity.

14. For the purpose of rules 26 and 27, Parties to the Convention that are not Parties to the Kyoto Protocol may exercise the same rights as all other observers.

III. MEMBERS AND ALTERNATE MEMBERS

A. Nomination, election and re-election

Rule 3

Paragraph 7 of the CDM modalities and procedures:

The Executive Board shall comprise ten members from Parties to the Kyoto Protocol, as follows: one member from each of the five United Nations regional groups, two other members from the Parties included in Annex I, two other members from the Parties not included in Annex I, and one representative of the small island developing States, taking into account the current practice in the Bureau of the Conference of the Parties.

Rule 4

Paragraph 8 (a) to (d) of the CDM modalities and procedures:

1. Members, including alternate members, of the Executive Board shall:

(a) Be nominated by the relevant constituencies referred to in paragraph 7 {of the CDM modalities and procedures} and be elected by the COP/MOP. Vacancies shall be filled in the same way;

(b) Be elected for a period of two years and be eligible to serve a maximum of two consecutive terms. Terms as alternate members do not count. Five members and five alternate members shall be elected initially for a term of three years and five members and five alternate members for a term of two years. Thereafter, the COP/MOP shall elect, every year, five new members, and five new alternate members, for a term of two years. Appointment pursuant to paragraph 11 {of the CDM modalities and procedures} shall count as one term. The members, and alternate members, shall remain in office until their successors are elected;

(c) Possess appropriate technical and/or policy expertise and shall act in their personal capacity;

(d) Be bound by the rules of procedure of the Executive Board.

2. The term of service of a member, or an alternate member, shall start on 1 January of the calendar year following his/her election by the COP/MOP and shall end on 31 December, two or three years thereafter, as applicable.

Rule 5

Paragraph 9 of the CDM modalities and procedures:

1. The COP/MOP shall elect an alternate for each member of the Executive Board based on the criteria in paragraphs 7 and 8 {of the CDM modalities and procedures}. The nomination by a constituency of a candidate member shall be accompanied by a nomination for a candidate alternate member from the same constituency.

2. Any reference in these rules to a member shall be deemed to include his/her alternate when such alternate acts for the member.

3. In the absence of a member from a meeting of the Board, his/her alternate shall serve as the member for that meeting.

Rule 6

Paragraph 8 (c) of the CDM modalities and procedures:

1. The cost of participation of members, and of alternate members, from developing country Parties and other Parties eligible under UNFCCC practice shall be covered by the budget for the Executive Board.

2. Funding for participation shall be provided in accordance with the financial regulations of the United Nations and the financial procedures of the UNFCCC.

B. Suspension, termination and resignation

Rule 7

Paragraph 10 of the CDM modalities and procedures:

1. The Executive Board may suspend and recommend to the COP/MOP the termination of the membership of a particular member, including an alternate member, for cause including, inter alia, breach of the conflict of interest provisions, breach of the confidentiality provisions, or failure to attend two consecutive meetings of the Executive Board without proper justification.

2. Any motion calling for the suspension of, and recommendation to the COP/MOP to terminate the membership of, a member, or an alternate member, shall immediately be put to the vote in accordance with the voting rules in section V below. When the motion concerns the suspension of, and recommendation to the COP/MOP to terminate the membership of, the Chair, the Vice-Chair shall act as Chair until the voting has been conducted and its result announced.

3. The Executive Board shall suspend and recommend termination of the membership of a member, or an alternate member, only after the member, or alternate member, has been afforded the opportunity of a hearing by the Board in a meeting.

Rule 8

Paragraph 11 of the CDM modalities and procedures:

1. If a member, or an alternate member, of the Executive Board resigns or is otherwise unable to complete the assigned term of office or to perform the functions of that office, the Executive Board may decide, bearing in mind the proximity of the next session of the COP/MOP, to appoint another member, or an alternate member, from the same constituency to replace the said member for the remainder of that member's mandate.

2. The Executive Board shall request the relevant constituency to nominate the new member, or the new alternate member, to be appointed in accordance with paragraph 1 of this rule.

C. Conflict of interest and confidentiality

Rule 9

Paragraph 8 (f) of the CDM modalities and procedures:

{Members, including alternate members, of the Executive Board shall} {h}ave no pecuniary or financial interest in any aspect of a CDM project activity or any designated operational entity.

Rule 10

Paragraph 8 (e) of the CDM modalities and procedures:

1. {Members, including alternate members, of the Executive Board shall} take a written oath of service witnessed by the Executive Secretary of the UNFCCC or his/her authorized representative before assuming his or her duties.

2. The written oath of service shall read as follows:

“I solemnly declare that I will perform my duties as a member/alternate member of the Executive Board of the clean development mechanism pursuant to Article 12 of the Kyoto Protocol, honourably, faithfully, impartially and conscientiously.

“I further solemnly declare and promise that I shall have no financial interest in any aspect of the clean development mechanism, including accreditation of operational entities, registration of CDM project activities and/or the issuance of related certified emission reductions. Subject to my responsibilities to the Executive Board, I shall not disclose, even after the termination of my functions, any confidential or proprietary information which is transferred to the Executive Board in accordance

with the CDM modalities and procedures, or any other confidential information coming to my knowledge by reason of my duties for the Executive Board.

“I shall disclose to the Executive Secretary of the United Nations Framework Convention on Climate Change and to the Executive Board any interest in any matter under discussion before the Executive Board which may constitute a conflict of interest or which might be incompatible with the requirements of integrity and impartiality expected of a member of the Executive Board and I shall refrain from participating in the work of the Board in relation to such matter.”

Rule 11

Paragraph 8 (g) of the CDM modalities and procedures:

1. {Members, including alternate members of the Executive Board shall,} subject to their responsibilities to the Executive Board, not disclose any confidential or proprietary information coming to their knowledge by reason of their duties for the Executive Board. The duty of the member, including alternate member, not to disclose confidential information constitutes an obligation in respect of that member, and alternate member, and shall remain an obligation after the expiration or termination of that member's function for the Executive Board.

Paragraph 6 of the CDM modalities and procedures:

2. Information obtained {by members, and alternate members} from CDM project participants marked as proprietary or confidential shall not be disclosed without the written consent of the provider of the information, except as required by national law. Information used to determine additionality as defined in paragraph 43 {of the CDM modalities and procedures}, to describe the baseline methodology and its application, and to support an environmental impact assessment referred to in paragraph 37 (c) {of the CDM modalities and procedures}, shall not be considered as proprietary or confidential.

D. Officers

Rule 12

Paragraph 12 of the CDM modalities and procedures:

1. The Executive Board shall elect its own {Chair} and {Vice-Chair}, with one being a member from a Party included in Annex I and the other being from a Party not included in Annex I. The positions of {Chair} and {Vice-Chair} shall alternate annually between a member from a Party included in Annex I and a member from a Party not included in Annex I.

2. At the first Executive Board meeting of each calendar year, the Board shall elect a Chair and a Vice-Chair from among its members.

Rule 13

1. The Chair and Vice-Chair shall serve in their respective capacities at any meeting of the Executive Board.
2. If the elected Chair is not able to serve in that capacity for a meeting, the Vice-Chair shall serve as Chair. If both are unable to serve in their respective capacities, the Board shall elect a member from among its members present to serve as Chair for that meeting.
3. If the Chair or Vice-Chair ceases to be able to carry out his or her functions, or ceases to be a member, a new Chair or Vice-Chair shall be elected for the remainder of the term.

Rule 14

1. The Chair shall preside over the meetings of the Executive Board as provided for under this rule.
2. In addition to exercising the functions conferred upon the Chair elsewhere by these rules, the Chair shall declare the opening and closing of meetings, preside at meetings, ensure the observance of these rules, accord the right to speak, put questions to the vote and announce decisions. The Chair shall rule on points of order and, subject to these rules, shall have complete control of the proceedings and over the maintenance of order at the meeting.
3. The Chair may propose to the Executive Board a limitation on the time to be allowed to speakers and on the number of times each member may speak on a question, the adjournment or closure of the debate and the suspension or adjournment of a meeting.
4. The Chair, or any other member designated by the Executive Board, shall represent the Board as necessary, including at sessions of the COP/MOP.

IV. MEETINGS

A. Dates

Rule 15

Paragraph 13 of the CDM modalities and procedures:

The Executive Board shall meet as necessary but no less than three times a year, bearing in mind the provisions of paragraph 41 {of the CDM modalities and procedures.}

Rule 16

1. At the first Executive Board meeting of each calendar year, the Chair shall propose for the approval of the Board a schedule of meetings for that calendar year. To the extent possible, these meetings shall be held in conjunction with sessions of the COP, the COP/MOP or their subsidiary bodies.
2. If changes to the schedule or additional meetings are required, the Chair shall, after consultations with all members, give notice of any changes in the dates of scheduled meetings, and/or of the dates of additional meetings.

Rule 17

The Chair shall convene and give notice of the date of each meeting of the Executive Board not less than eight weeks prior to the date of such meeting.

Rule 18

The secretariat shall promptly notify all those invited to the meeting.

B. Venue

Rule 19

Meetings of the Executive Board held in conjunction with meetings of the COP, the COP/MOP or their subsidiary bodies shall be held at the same location as the meetings of these bodies. Other meetings of the Executive Board shall take place at the location of the secretariat, unless the Executive Board decides otherwise or other appropriate arrangements are made by the secretariat in consultation with the Chair.

C. Agenda

Rule 20

The Chair, assisted by the secretariat, shall draft the provisional agenda of each meeting of the Executive Board and transmit a copy of such provisional agenda, agreed upon by the Executive Board at its previous meeting, to all those invited to the meeting.

Rule 21

Additions or changes to the provisional agenda of a meeting may be proposed to the secretariat by any member, or alternate member, and incorporated in the proposed agenda provided that the member, or alternate member, shall give notice thereof to the secretariat not less than four weeks before the date set for the opening of the meeting. The proposed agenda for the meeting shall be transmitted by the secretariat to all those invited to the meeting three weeks before the date set for the opening of the meeting.

Rule 22

The Executive Board shall, at the beginning of each meeting, adopt the agenda for the meeting.

Rule 23

Any item included on the agenda for a meeting of the Executive Board, consideration of which has not been completed at that meeting, shall be included automatically on the provisional agenda for the next meeting, unless otherwise decided by the Executive Board.

D. Documentation

Rule 24

1. All documentation for an Executive Board meeting shall be made available to members and alternate members through the secretariat at least two weeks before the meeting.

2. Documentation shall be made publicly available by the secretariat via the Internet soon after transmission to members and alternate members. Availability of such documentation shall be subject to confidentiality provisions.

Rule 25

Paragraph 5 (j) of the CDM modalities and procedures:

{The Executive Board shall} make any technical reports commissioned available to the public and provide a period of at least eight weeks for public comments on draft methodologies and guidance before documents are finalized and any recommendations are submitted to the COP/MOP for their consideration.

E. Transparency

Rule 26

Subject to the need to protect confidential information, the principle of transparency should apply to all the work of the Executive Board, encompassing the timely public availability of documentation and channels through which external comments by all Parties and all UNFCCC accredited observers and stakeholders can be submitted for consideration by the Board. The posting of the Board's meetings on the Internet is one way to ensure transparency.

F. Attendance

Rule 27

Paragraph 16 of the CDM modalities and procedures:

1. Meetings of the Executive Board shall be open to attendance, as observers, by all Parties and by all UNFCCC accredited observers and stakeholders, except where otherwise decided by the Executive Board.

2. Observers may, upon invitation by the Board, make presentations relating to matters under consideration by the Board.

G. Quorum

Rule 28

Paragraph 14 of the CDM modalities and procedures:

At least two thirds of the members of the Executive Board, representing a majority of members from Parties included in Annex I and a majority of members from Parties not included in Annex I, must be present to constitute a quorum.

V. VOTING

Rule 29

Paragraph 15 of the CDM modalities and procedures:

1. Decisions by the Executive Board shall be taken by consensus, whenever possible. If all efforts at reaching a consensus have been exhausted and no agreement has been reached, decisions shall be taken by a three-fourths majority of the members present and voting at the meeting. Members abstaining from voting shall be considered as not voting.

2. The Chair shall ascertain whether consensus has been reached. The Chair shall declare that a consensus does not exist if there is a stated objection to the proposed decision under consideration by a member of the Executive Board or by an alternate member acting for a member.

3. Each member shall have one vote. For the purpose of this rule, the phrase “members present and voting” means members present at the meeting at which voting takes place and casting an affirmative or negative vote.

4. Alternate members may participate in the proceedings of the Board without the right to vote. An alternate member may cast a vote only if acting for the member.

Rule 30

1. Whenever, in the judgment of the Chair, a decision must be taken by the Executive Board which cannot be postponed until the next meeting of the Executive Board, the Chair shall transmit to each member a proposed decision, with an invitation to approve the decision by consensus. Together with the proposed decision, the Chair shall provide, subject to the applicable confidentiality requirements, the relevant facts that, in the Chair’s judgement, justify decision-making pursuant to this rule 30. The proposed decision shall be transmitted in the form of an electronic message through the listserv of the Executive Board. A quorum of the Board is required to confirm the receipt of the message. Such message shall also be transmitted to alternate members for information.

2. Members, and/or alternate members, shall be given two weeks from the date of receipt of the proposed decision for comments. These comments shall be made available to members and alternate members via the Executive Board listserv.

3. At the expiration of the period referred to in paragraph 2 above, the proposed decision shall be considered approved if there is no objection by any member. If an objection is raised, the Chair shall include consideration of the proposed decision as an item on the proposed agenda for the next meeting of the Executive Board and inform the Board accordingly.

4. Any decision made using the procedure specified in paragraphs 1 to 3 of this rule shall be included in the report of the Board at its next meeting.

VI. LANGUAGES

Rule 31

Paragraph 17 of the CDM modalities and procedures:

The full text of all decisions of the Executive Board shall be made publicly available. The working language of the Executive Board shall be English. Decisions shall be made available in all six official languages of the United Nations.

VII. COMMITTEES, PANELS AND WORKING GROUPS

Rule 32

Paragraph 18 of the CDM modalities and procedures:

1. The Executive Board may establish committees, panels or working groups to assist it in the performance of its functions. The Executive Board shall draw on the expertise necessary to perform its functions, including from the UNFCCC roster of experts. In this context, it shall take fully into account the consideration of regional balance.

2. The panel shall be composed of an appropriate number of panel members determined by the Executive Board. Members of a panel shall have demonstrated and recognized technical expertise in the relevant field of work.

3. In establishing a panel, the Executive Board shall appoint two Executive Board members to act as Chair and Vice-Chair of the panel, one from a Party included in Annex I and one from a Party not included in Annex I. The Executive Board may appoint additional members and alternate members to participate in a panel.

4. In establishing a panel, the Executive Board shall determine its terms of reference. The terms of reference shall include a work plan, the deadline for submission of documents, the criteria for the selection of the panel members and the necessary budgetary provisions.

5. Reports of committees, panels and working groups to the Executive Board shall be made publicly available, subject to confidentiality provisions.

VIII. SECRETARIAT

Rule 33

Paragraph 19 of the CDM modalities and procedures:

The secretariat shall service the Executive Board.

Rule 34

The Executive Secretary of the UNFCCC shall arrange for the provision of staff and services required for the servicing of the Executive Board from within available resources. The Executive Secretary shall manage and direct such staff and services and provide appropriate support and advice to the Executive Board.

Rule 35

An official of the secretariat designated by the Executive Secretary shall serve as secretary to the Executive Board.

Rule 36

In addition to the functions specified in the CDM modalities and procedures and/or any subsequent decision by the COP/MOP, the secretariat shall, in accordance with these rules, and subject to the availability of resources:

(a) Receive, reproduce and distribute to members and alternate members the documents of a meeting;

(b) Receive and translate decisions into all six official languages of the United Nations and make publicly available the full texts of all decisions of the Executive Board;

(c) Assist the Executive Board in fulfilling tasks relating to the maintenance of files and the collection, processing and public availability of information;

(d) Perform all other work that the Executive Board may require.

Rule 37

The financial regulations of the United Nations and the financial procedures of the UNFCCC shall apply.

IX. CONDUCT OF BUSINESS

Rule 38

The Executive Board shall undertake any tasks assigned to it by decision 17/CP.7, in accordance with the CDM modalities and procedures, and by any subsequent decision taken by the COP/MOP.

X. RECORD OF THE MEETING

Rule 39

Before the end of each meeting, the Chair shall present draft conclusions and decisions of the meeting for consideration and approval by the Executive Board. Any written records of the Executive Board or recordings of proceedings shall be kept by the secretariat in accordance with United Nations rules and regulations.

XI. AMENDMENTS TO THE RULES

Rule 40

Paragraph 5 (b) of the CDM modalities and procedures:

{The Executive Board shall} make recommendations to the COP/MOP on any amendments or additions to rules of procedure for the Executive Board contained in the {CDM modalities and procedures}, as appropriate.

ANNEX II

Simplified modalities and procedures for small-scale clean development mechanism project activities

I. FURTHER CLARIFICATIONS ON DEFINITIONS OF ELIGIBLE ACTIVITIES

A. Type (i) project activities: renewable energy project activities with a maximum output capacity equivalent to up to 15 megawatts (or an appropriate equivalent) (decision 17/CP.7, paragraph 6 (c) (i))

1. Definition of “renewable energy”: the Executive Board agreed to draw up an indicative list of energy sources/eligible project activities,¹ as proposed in the attachment to annex 2 of the annotated agenda of its third meeting.² In drawing up such a list, the Board shall consider recognized classifications of renewable energy technologies/sources and take into account experience based on completed or ongoing small-scale projects in relevant fields. Following the “bottom-up” project cycle approach of the clean development mechanism (CDM), this list shall evolve and be further elaborated over time as new project activities are proposed and registered.

2. Definition of “maximum output capacity equivalent of up to 15 megawatts (or an appropriate equivalent)”:

(a) Definition of “maximum output”: the Board agreed to define “output” as installed/rated capacity, as indicated by the manufacturer of the equipment or plant, disregarding the actual load factor of the plant;

(b) Definition of “appropriate equivalent” of 15 megawatts: the Board agreed that, whereas decision 17/CP.7, paragraph 6 (c) (i), refers to megawatts (MW), project proposals may refer to MW(p), MW(e) or MW(th).³ As MW(e) is the most common denomination, and MW(th) only refers to the production of heat which can also be derived from MW(e), the Board agreed to define MW as MW(e) and otherwise to apply an appropriate conversion factor.

B. Type (ii) project activities: energy efficiency improvement project activities which reduce energy consumption, on the supply and/or demand side, by up to the equivalent of 15 gigawatt hours per year (decision 17/CP.7, paragraph 6 (c) (ii))

3. Definition of “energy efficiency improvement project activities”:

(a) The Executive Board agreed to draw up an indicative list of eligible project activities/sectors, as proposed in the attachment to annex 2 of the annotated agenda of its third meeting. In drawing up such a list, the Board shall consider recognized classifications of energy efficiency and take into account experience based on completed or ongoing small-scale projects in relevant fields. Following the CDM “bottom-up” approach, this list shall evolve and be further elaborated over time as new project activities are proposed and registered;

¹ Project activities referring to the burning of peat and non-biogenic waste should not be included in the indicative list.

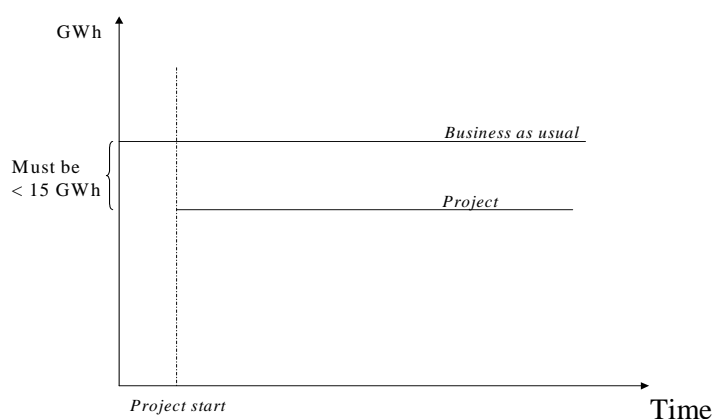
² Please refer to <http://unfccc.int/cdm/ebmeetings/eb003/eb03annan2.pdf>.

³ Where (p) stands for peak, (e) stands for electric and (th) stands for thermal.

- (b) The Board further agreed on the following clarifications:
- (i) Energy efficiency is the improvement in the service provided per unit power, that is, project activities which increase unit output of traction, work, electricity, heat, light (or fuel) per MW input are energy efficiency project activities;
 - (ii) Energy consumption is the consumption reduced and measured in watt-hours with reference to an approved baseline. Lower consumption as a result of lower activity shall not be taken into consideration;

(c) Demand side, as well as supply side, projects shall be taken into consideration, provided that a project activity results in a reduction of maximum 15 gigawatt hours (GWh), as illustrated by figure 1. A total saving of 15 GWh is equivalent to 1000 hours of operation of a 15 MW plant or $15 \times 3.6 \text{ TJ} = 54 \text{ TJ}$, where TJ stands for terajoules.

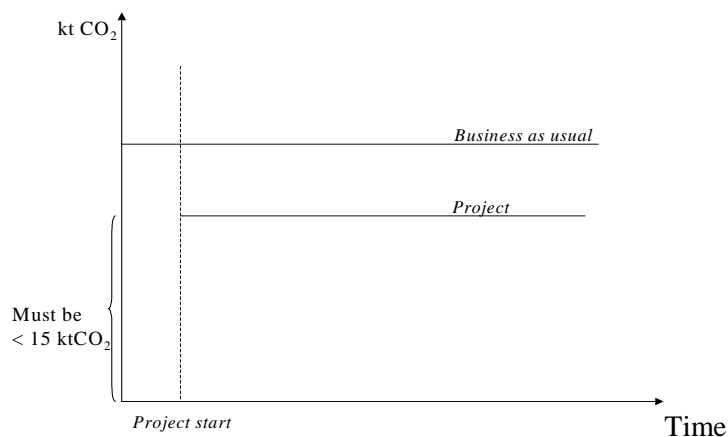
Figure 1: eligibility for type (ii) project activities



C. Type (iii) project activities: other project activities that both reduce anthropogenic emissions by sources and directly emit less than 15 kilotonnes of carbon dioxide equivalent annually (decision 17/CP.7, paragraph 6 (c) (iii)):

4. As figure 2 illustrates, type (iii) projects shall not exceed total direct emissions of 15 kilotonnes (kt) of carbon dioxide (CO₂) equivalent annually, and must reduce greenhouse gas emissions.

Figure 2: eligibility for type (iii) project activities



5. As presented in the attachment to annex 2 of the annotated agenda of the third meeting of the Executive Board, type (iii) CDM project activities could include agricultural projects, fuel switching, industrial processes and waste management. Possible examples in the agricultural sector include improved manure management, reduction of enteric fermentation, improved fertilizer usage or improved water management in rice cultivation.

6. Other project activities that could qualify include CO₂ recycling, carbon electrodes, adipic acid production and the use of hydrofluorocarbons (HFCs), perfluorocarbons (PFCs) and sulphur hexafluoride (SF₆) making reference to the emission reductions generated by such projects expressed in CO₂ equivalent. In order for these to be calculated in a consistent and transparent manner, appropriate baseline methodologies need to be developed.

**D. Interpretation of types of project activity to be mutually exclusive
(decision 17/CP.7, paragraph 6 (c), (i), (ii) and (iii))**

7. The Board agreed that the three types of project activities outlined in decision 17/CP.7, paragraph 6 (c), are mutually exclusive. In a project activity with more than one component that will benefit from simplified CDM modalities and procedures, each component shall meet the threshold criterion of each applicable type, e.g. for a project with both a renewable energy and an energy efficiency component, the renewable energy component shall meet the criterion for “renewable energy” and the energy efficiency component that for “energy efficiency”.

**E. Point in the project activity lifetime at which reference values are to be applied
(decision 17/CP.7, paragraph 6 (c), (i), (ii) and (iii))**

8. The Board agreed that if the maximum reference value of a small-scale CDM project activity is exceeded on an annual average basis during any verified period, CERs should be issued only up to the maximum value.

**II. DRAFT SIMPLIFIED MODALITIES AND PROCEDURES FOR SMALL-SCALE
CDM PROJECT ACTIVITIES**

A. Introduction

9. Small-scale CDM project activities shall follow the stages of the project cycle specified in the modalities and procedures for a clean development mechanism contained in the annex to decision 17/CP.7 (hereinafter referred as the CDM modalities and procedures). In order to reduce transaction costs modalities and procedures are simplified for small-scale CDM project activities, as follows:

(a) Project activities may be bundled or portfolio bundled at the following stages in the project cycle: the project design document, validation, registration, monitoring, verification and certification. The size of the total bundle should not exceed the limits stipulated in paragraph 6 (c) of decision 17/CP.7;

(b) The requirements for the project design document are reduced;

(c) Baselines methodologies by project category are simplified to reduce the cost of developing a project baseline;

(d) Monitoring plans are simplified, including simplified monitoring requirements, to reduce monitoring costs;

(e) The same operational entity may undertake validation, and verification and certification.

10. Simplified baseline and monitoring methodologies have been developed for 14 small-scale CDM project activity categories related to types (i) to (iii).⁴ They are presented in appendix B. This list shall not preclude other types of small-scale CDM project activities. If a proposed small-scale CDM project activity does not fall into any of the categories in appendix B, the project participants may submit a request to the Executive Board for approval of a simplified baseline and/or monitoring plan developed bearing in mind provisions in paragraph 16 below.

11. The CDM modalities and procedures shall apply to small-scale CDM project activities except for its paragraphs 37 to 60. The following paragraphs 12 to 39 apply instead. Appendix A to this annex should replace, as appropriate, provisions in appendix B of the CDM modalities and procedures.

B. Simplified modalities and procedures for small-scale CDM project activities

12. To use simplified modalities and procedures for small-scale CDM project activities, a proposed project activity shall:

- (a) Meet the eligibility criteria for small-scale CDM project activities set out in paragraph 6 (c) of decision 17/CP.7;
- (b) Conform to one of the project categories in appendix B to this annex;
- (c) Not be a debundled component of a larger project activity, as determined through appendix C to this annex.

13. Project participants shall prepare a project design document in accordance with the format specified in appendix A to this annex.

14. Project participants may use the simplified baseline and monitoring methodologies specified in appendix B for their project category.

15. Project participants involved in small-scale CDM project activities may propose changes to the simplified baseline and monitoring methodologies specified in appendix B or propose additional project categories for consideration by the Executive Board.

16. Project participants willing to submit a new small-scale project activity category or revisions to a methodology shall make a request in writing to the Board providing information about the technology/activity and proposals on how a simplified baseline and monitoring methodology would be applied to this category. The Board may draw on expertise, as appropriate, in considering new project categories and/or revisions of and amendments to simplified methodologies. The Executive Board shall expeditiously, if possible at its next meeting, review the proposed methodology. Once approved, the Executive Board shall amend appendix B.

17. The Executive Board shall review and amend, as necessary, appendix B at least once a year.

18. Any amendments to appendix B shall apply only to project activities registered subsequent to the date of amendment and shall not affect registered CDM project activities during the crediting periods for which they are registered.

⁴ Type (i): Renewable energy project activities with a maximum output capacity equivalent of up to 15 megawatts (or an appropriate equivalent); Type (ii): Energy efficiency improvement project activities which reduce energy consumption, on the supply and/or demand side, by up to the equivalent of 15 gigawatthours per year; and Type (iii): Other project activities that both reduce anthropogenic emissions by sources and directly emit less than 15 kilotonnes of carbon dioxide equivalent annually.

19. Several small-scale CDM project activities may be bundled for the purpose of validation. An overall monitoring plan that monitors performance of the constituent project activities on a sample basis may be proposed for bundled project activities. If bundled project activities are registered with an overall monitoring plan, this monitoring plan shall be implemented and each verification/certification of the emission reductions achieved shall cover all of the bundled project activities.

20. A single designated operational entity may perform validation as well as verification and certification for a small-scale CDM project activity or bundled small-scale CDM project activities.

21. The Executive Board, in proposing the share of proceeds to cover administrative expenses and registration fees to recover any project related expenses, may consider proposing lower fees for small-scale CDM project activities.

C. Validation and registration

22. The designated operational entity selected by project participants to validate a project activity, being under a contractual arrangement with them, shall review the project design document and any supporting documentation to confirm that the following requirements have been met:

(a) The participation requirements set out in paragraphs 28 to 30 of the CDM modalities and procedures are satisfied;

(b) Comments by local stakeholders have been invited and a summary of the comments received has been provided to the designated operational entity together with a report indicating how due account was taken of any comments received;

(c) Project participants have submitted to the designated operational entity documentation on the analysis of the environmental impacts of the project activity, if required by the host Party;

(d) The project activity is expected to result in a reduction in anthropogenic emissions by sources of greenhouse gases that are additional to any that would occur in the absence of the proposed project activity, in accordance with paragraphs 26 to 28 below;

(e) The small-scale project activity conforms to one of the project categories in appendix B and uses the simplified baseline and monitoring methodology for that project activity category as specified in appendix B, or a bundle of small-scale project activities satisfies the conditions for bundling and the overall monitoring plan for the bundled small-scale project activities is appropriate;

(f) The project activity conforms to all other requirements for CDM project activities in the CDM modalities and procedures that are not replaced by these simplified modalities and procedures;

23. The designated operational entity shall:

(a) Prior to the submission of the validation report to the Executive Board, have received from the project participants written approval of voluntary participation from the designated national authority of each Party involved, including confirmation by the host Party that the project activity assists it in achieving sustainable development;

(b) In accordance with provisions on confidentiality contained in paragraph 27 (h) of the CDM modalities and procedures, make publicly available the project design document;

(c) Receive, within 30 days, comments on the project design document from Parties, stakeholders and UNFCCC accredited non-governmental organizations, and make them publicly available;

(d) After the deadline for receipt of comments, make a determination as to whether, on the basis of the information provided and taking into account the comments received, the project activity should be validated;

(e) Inform project participants of its determination on the validation of the project activity. Notification to the project participants shall include either:

- (i) Confirmation of validation and date of submission of the validation report to the Executive Board; or
- (ii) An explanation of reasons for non-acceptance if the project activity, as documented, is judged not to fulfil the requirements for validation.

(f) Submit to the Executive Board, if it determines the proposed project activity to be valid, a request for registration in the form of a validation report including the project design document, the written approval of the host Party as referred to in paragraph 23 (a) above, and an explanation of how it has taken due account of comments received;

(g) Make this validation report publicly available upon transmission to the Executive Board.

24. The registration by the Executive Board shall be deemed final four weeks after the date of receipt by the Executive Board of the request for registration, unless a Party involved in the project activity or at least three members of the Executive Board request a review of the proposed CDM project activity. The review by the Executive Board shall be made in accordance with the following provisions:

(a) It shall be related to issues associated with the validation requirements;

(b) It shall be finalized no later than at the second meeting following the request for review, with the decision and the reasons for it being communicated to the project participants and the public.

25. A proposed project activity that is not accepted may be reconsidered for validation and subsequent registration after appropriate revisions, provided that it follows the procedures and meets the requirements for validation and registration, including those related to public comments.

26. A CDM project activity is additional if anthropogenic emissions of greenhouse gases by sources are reduced below those that would have occurred in the absence of the registered CDM project activity.

27. The baseline for a CDM project activity is the scenario that reasonably represents the anthropogenic emissions by sources of greenhouse gases that would occur in the absence of the proposed project activity. A simplified baseline for a small-scale CDM project activity specified in appendix B shall be deemed to reasonably represent the anthropogenic emissions that would occur in the absence of the proposed small-scale project activity. If a simplified baseline is not used, the baseline proposed shall cover emissions from all gases, sectors and source categories listed in Annex A to the Kyoto Protocol within the project boundary.

28. A simplified baseline and monitoring methodology listed in appendix B may be used for a small-scale CDM project activity if the project participants are able to demonstrate to a designated operational entity that the project activity would otherwise not be implemented due to the existence of one or more of the barriers listed in attachment A of appendix B. Where specified in appendix B for a project category, quantitative evidence that the project activity would otherwise not be implemented may be provided instead of a demonstration based on the barriers listed in attachment A to appendix B.

29. Project participants shall select a crediting period for a proposed small-scale CDM project activity from one of the following alternatives:

(a) A maximum of seven years which may be renewed at most two times, provided that, for each renewal, a designated operational entity determines and informs the Executive Board that the original project baseline is still valid or has been updated taking account of new data where applicable;

(b) A maximum of 10 years with no option of renewal.

30. Leakage is defined as the net change of anthropogenic emissions by sources of greenhouse gases which occurs outside the project boundary, and which is measurable and attributable to the CDM project activity. Reductions in anthropogenic emissions by sources shall be adjusted for leakage in accordance with the provisions of appendix B for the relevant project categories. The Executive Board shall consider simplification of the leakage calculation for any other project categories added to appendix B.

31. The project boundary shall encompass significant anthropogenic emissions by sources of greenhouse gases under the control of the project participants that are reasonably attributable to the small-scale CDM project activity, in accordance with provisions of appendix B for the relevant project category.

D. Monitoring

32. Project participants shall include, as part of the project design document for a small-scale CDM project activity or bundle of small-scale CDM project activities, a monitoring plan. The monitoring plan shall provide for the collection and archiving of the data needed to:

(a) Estimate or measure anthropogenic emissions by sources of greenhouse gases occurring within the project boundary during the crediting period as specified in appendix B for the relevant project category;

(b) Determine the baseline of anthropogenic emissions by sources of greenhouse gases occurring within the project boundary during the crediting period, as specified in appendix B for the relevant project category;

(c) Calculate the reductions of anthropogenic emissions by sources by the proposed small-scale CDM project activity, and for leakage effects, in accordance with provisions of appendix B for the relevant project category.

33. The monitoring plan for a small-scale CDM project activity may use the monitoring methodology specified in appendix B for the relevant project category if the designated operational entity determines at validation that the monitoring methodology reflects good monitoring practice appropriate to the circumstances of the project activity.

34. If project activities are bundled, a separate monitoring plan shall apply for each of the constituent project activities in accordance with paragraphs 32 and 33 above, or an overall monitoring plan shall apply for the bundled projects, as determined by the designated operational entity at validation to reflect good monitoring practice appropriate to the bundled project activities and to provide for collection and archiving of the data needed to calculate the emission reductions achieved by the bundled project activities.

35. Project participants shall implement the monitoring plan contained in the registered project design document, archive the relevant monitored data and report the relevant monitoring data to a designated operational entity contracted to verify the emission reductions achieved during the crediting period specified by the project participants.

36. Revisions, if any, to the monitoring plan to improve its accuracy and/or completeness of information shall be justified by project participants and shall be submitted for validation to a designated operational entity.

37. The implementation of the registered monitoring plan and its revisions, as applicable, shall be a condition for verification, certification and the issuance of certified emission reductions (CERs).

38. Subsequent to the monitoring and reporting of reductions in anthropogenic emissions, CERs resulting from a small-scale CDM project activity during a specified time period shall be calculated, applying the registered methodology, by subtracting the actual anthropogenic emissions by sources from baseline emissions, and adjusting for leakage, as appropriate, in accordance with appendix B for the relevant project category.

39. The project participants shall provide to the designated operational entity, contracted by the project participants to perform the verification, a monitoring report in accordance with the registered monitoring plan set out in paragraph 32 above for the purpose of verification and certification.

APPENDIX A

Simplified project design document for small-scale CDM project activities

(The full appendix developed by the Executive Board can be found on the UNFCCC CDM web site: <http://unfccc.int/cdm>)

APPENDIX B

**Indicative simplified baseline and monitoring methodologies
for selected small-scale CDM project activity categories**

(The full appendix developed by the Executive Board can be found on the UNFCCC CDM web site: <http://unfccc.int/cdm>)

Project types*	Project categories	Technology/ Measure	Boundary	Baseline	Leakage	Monitoring
Type (i): Renewable energy projects	A. Electricity generation by the user/household					
	B. Mechanical energy for the user/enterprise					
	C. Thermal energy for the user					
	D. Electricity generation for a system					
Type (ii): Energy efficiency improvement projects	E. Supply-side energy efficiency improvements – transmission and distribution activities					
	F. Supply-side energy efficiency improvements – generation					
	G. Demand-side energy efficiency programmes for specific technologies					
	H. Energy efficiency and fuel switching measures for industrial facilities					
	I. Energy efficiency and fuel switching measures for buildings					
Type (iii): Other project activities	J. Agriculture					
	K. Switching fossil fuels					
	L. Emission reductions in the transport sector					
	M. Methane recovery					
Types (i)–(iii)	N. Other small-scale project**					

* In accordance with paragraph 6 (c) of decision 17/CP.7

** Paragraphs 8 to 10 of the simplified modalities and procedures for small-scale CDM project activities allow for project participants to submit a new small-scale project activity category or revisions to a methodology to the Executive Board for consideration and amendment of appendix B by the Executive Board, as appropriate.

Attachment A to Appendix B

(The full attachment A to appendix B, referred to in paragraph 28 of the simplified modalities and procedures for small-scale CDM project activities, can be found on the UNFCCC CDM web site: <http://unfccc.int/cdm>)

APPENDIX C

Decision tree for determining the occurrence of debundling

(The full appendix developed by the Executive Board, with the title “Determining the occurrence of debundling,” can be found on the UNFCCC CDM web site: <http://unfccc.int/cdm>)

Decision 22/CP.8

Additional sections to be incorporated in the guidelines for the preparation of the information required under Article 7, and in the guidelines for the review of information under Article 8, of the Kyoto Protocol¹

The Conference of the Parties,

Recalling its decisions 19/CP.7, 22/CP.7 and 23/CP.7,

Noting the relevant provisions of the Kyoto Protocol to the United Nations Framework Convention on Climate Change, in particular its Articles 7 and 8,

1. *Decides* to incorporate:

(a) In the guidelines for the preparation of the information required under Article 7 of the Kyoto Protocol, the section on “Information on emission reduction units, certified emission reductions, assigned amount units and removal units”² and the section on “National registries”,³ as contained in annex I to this decision;

(b) In the guidelines for review under Article 8 of the Kyoto Protocol, the section on “Review of information on assigned amounts pursuant to Article 3, paragraphs 7 and 8, emission reduction units, certified emission reductions, assigned amount units and removal units”⁴ and the section on “Review of national registries”,⁵ as contained in annex II to this decision;

(c) In the guidelines for review under Article 8 of the Kyoto Protocol, the part on “Expedited procedure for the review for the reinstatement of eligibility to use the mechanisms”, as contained in annex III to this decision;⁶

¹ A consolidated text of draft decisions forwarded to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for adoption will be issued to include these additional sections in one document.

² This section will be incorporated in section “E. Information on emission reduction units, certified emission reductions, assigned amount units and removal units” (decision 22/CP.7, annex to draft decision -/CMP.1 (*Article 7*): Guidelines for the preparation of the information required under Article 7 of the Kyoto Protocol (FCCC/CP/2001/13/Add.3)).

³ This section will be incorporated in section “E. National Registries” (decision 22/CP.7, annex to draft decision -/CMP.1 (*Article 7*): Guidelines for the preparation of the information required under Article 7 of the Kyoto Protocol (FCCC/CP/2001/13/Add.3)).

⁴ This section will be incorporated in “Part III: Review of information on assigned amounts pursuant to Article 3, paragraphs 7 and 8, emission reduction units, certified emission reductions, assigned amount units and removal units” (decision 23/CP.7, annex to draft decision -/CMP.1 (*Article 8*): Guidelines for review under Article 8 of the Kyoto Protocol (FCCC/CP/2001/13/Add.3)).

⁵ This section will be incorporated in “Part V: Review of national registries” (decision 23/CP.7, annex to draft decision -/CMP.1 (*Article 8*): Guidelines for review under Article 8 of the Kyoto Protocol (FCCC/CP/2001/13/Add.3)).

⁶ Paragraph 19bis of annex III to this decision will be incorporated after paragraph 19 of the annex to the draft CMP decision on guidelines for review under Article 8 of the Kyoto Protocol (FCCC/CP/2001/13/Add.3). Part VIII in annex III to this decision will be incorporated as “Part VIII: Expedited procedure for the review for the reinstatement of eligibility to use the mechanisms” (decision 23/CP.7, annex to the draft decision -/CMP.1 (*Article 8*): Guidelines for review under Article 8 of the Kyoto Protocol (FCCC/CP/2001/13/Add.3)).

2. *Requests* the secretariat to develop, by 15 March 2004, a proposal for the appropriate electronic format for reporting supplementary information on emission reduction units, certified emission reductions, assigned amount units and removal units, for consideration by the Subsidiary Body for Scientific and Technological Advice at its twentieth session;

3. *Invites* Parties to submit, by 30 April 2004, their views on the proposal by the secretariat mentioned in paragraph 2 above;

4. *Requests* the Subsidiary Body for Scientific and Technological Advice, at its twentieth session, to forward a draft decision to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol recommending that it incorporates in the sections of the guidelines under Articles 7 and 8 of the Kyoto Protocol, referred to in paragraph 1 above, any elements needed to reflect decisions of the Conference of the Parties or of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol relating to definitions and modalities for including afforestation and reforestation project activities under Article 12 of the Kyoto Protocol in the first commitment period.

*7th plenary meeting
1 November 2002*

ANNEX I

**I. REPORTING OF SUPPLEMENTARY INFORMATION UNDER
ARTICLE 7, PARAGRAPH 1****Information on emission reduction units, certified emission reductions,
assigned amount units and removal units**

1. Each Party included in Annex I that is considered to have met the requirements to participate in the mechanisms shall report the supplementary information in this section of the guidelines beginning with information for the first calendar year in which it transferred or acquired emission reduction units (ERUs), certified emission reductions (CERs), assigned amount units (AAUs) and removal units (RMUs)¹ in accordance with decision -/CMP.1 (*Modalities for the accounting of assigned amounts*). This information shall be reported in conjunction with the inventory submission due under the Convention in the following year and until the first inventory submission due under the Protocol.

2. Each Party included in Annex I shall report, in a standard electronic format, the following information on ERUs, CERs, AAUs and RMUs from its national registry for the previous calendar year (based on Universal Time), distinguishing between units valid for different commitment periods:

(a) The quantities of ERUs, CERs, AAUs and RMUs in each account type specified in paragraph 21 (a) and (c) to (f) of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) and the quantities of ERUs, CERs, AAUs and RMUs in all accounts of the type referred to in paragraph 21 (b) of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) at the beginning of the year;

(b) The quantity of AAUs issued on the basis of the assigned amount pursuant to Article 3, paragraphs 7 and 8;

(c) The quantity of ERUs issued on the basis of Article 6 projects and the corresponding quantities of AAUs and RMUs that were converted to ERUs;

(d) The quantity of ERUs issued in accordance with paragraph 24 of the annex to decision -/CMP.1 (*Article 6*) on the basis of Article 6 projects, verified under the supervision of the Article 6 supervisory committee, and the corresponding quantities of AAUs and RMUs that were converted to ERUs;

(e) The quantities of ERUs, CERs, AAUs and RMUs acquired from each transferring registry; the quantity of CERs acquired as a result of afforestation and reforestation activities under Article 12 shall be identified separately from acquisitions of other CERs;²

(f) The quantity of RMUs issued on the basis of each activity under Article 3, paragraphs 3 and 4;

(g) The quantities of ERUs, CERs, AAUs and RMUs transferred to each acquiring registry; the quantity of CERs transferred as a result of afforestation and reforestation activities under Article 12 shall be identified separately from transfers of other CERs³;

¹ As defined in paragraphs 1–4 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*).

² The guidance in this subparagraph is adopted without prejudice to paragraph 4 of decision 22/CP.8.

³ The guidance in this subparagraph is adopted without prejudice to paragraph 4 of decision 22/CP.8.

- (h) The quantity of ERUs transferred in accordance with paragraph 10 of the annex to decision 18/CP.7;
- (i) The quantities of ERUs, CERs, AAUs and RMUs cancelled under paragraph 32 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) on the basis of each activity under Article 3, paragraphs 3 and 4;
- (j) The quantities of ERUs, CERs, AAUs and RMUs cancelled under paragraph 37 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) following determination by the Compliance Committee that the Party is not in compliance with its commitment under Article 3, paragraph 1;
- (k) The quantities of other ERUs, CERs, AAUs and RMUs cancelled under paragraph 33 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*);
- (l) The quantities of ERUs, CERs, AAUs and RMUs retired;
- (m) The quantities of ERUs, CERs and AAUs carried over from the previous commitment period;
- (n) The quantities of ERUs, CERs, AAUs and RMUs in each account type specified in paragraph 21 (a) and (c) to (f) of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) and the quantities of ERUs, CERs, AAUs and RMUs in all accounts of the type referred to in paragraph 21 (b) of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) at the end of the year.
3. Each Party included in Annex I shall report on any discrepancies identified by the transaction log pursuant to paragraph 43 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*), specifying whether the relevant transactions were completed or terminated and, in the case where transactions were not terminated, the transaction number(s) and serial numbers and quantities of ERUs, CERs, AAUs and RMUs concerned. The Party may also provide its explanation for not terminating the transaction.
4. Each Party included in Annex I shall report the serial numbers and quantities of ERUs, CERs, AAUs and RMUs held in the national registry at the end of that year that are not valid for use towards compliance with commitments under Article 3, paragraph 1, pursuant to paragraph 43 (b) of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*).
5. Each Party included in Annex I shall report on any actions and the date of such actions taken to correct any problem that caused a discrepancy to occur, any changes to the national registry to prevent a discrepancy from reoccurring, and the resolution of any previously identified questions of implementation pertaining to transactions.
6. Each Party included in Annex I shall report the calculation of its commitment period reserve in accordance with the annex to decision -18/CP.7.
7. Each Party included in Annex I shall provide access, upon request of expert review teams, to information held in the national registry relating to holding accounts referred to in paragraph 21 (b) of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*), and other types of accounts and transactions for the previous calendar year, that substantiates the supplementary information reported under paragraphs 2 and 3 above.
8. Each Party included in Annex I shall, for the year of submission of the annual inventory for the last year of the commitment period, report the supplementary information described in this section of the

guidelines that relates to the accounting of assigned amounts for that commitment period in that year and that would otherwise be reported with the annual inventory submission, in conjunction with the report upon expiration of the additional period for fulfilling commitments referred to in paragraph 49 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*).

II. REPORTING OF SUPPLEMENTARY INFORMATION UNDER ARTICLE 7, PARAGRAPH 2

National registries

9. Each Party included in Annex I shall provide a description of how its national registry performs the functions defined in the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) and complies with the requirements of the technical standards for data exchange between registry systems as adopted by the COP/MOP. The description shall include the following information:

(a) The name and contact information of the registry administrator designated by the Party to maintain the national registry;

(b) The names of the other Parties with which the Party cooperates by maintaining their national registries in a consolidated system;

(c) A description of the database structure and capacity of the national registry;

(d) A description of how the national registry conforms to the technical standards for data exchange between registry systems for the purpose of ensuring the accurate, transparent and efficient exchange of data between national registries, the clean development mechanism registry and the transaction log (decision 19/CP.7, paragraph 1)³;

(e) A description of the procedures employed in the national registry to minimize discrepancies in the issuance, transfer, acquisition, cancellation and retirement of ERUs, CERs, AAUs and/or RMUs, and of the steps taken to terminate transactions where a discrepancy is notified and to correct problems in the event of a failure to terminate the transactions;

(f) An overview of security measures employed in the national registry to prevent unauthorized manipulations and to prevent operator error and of how these measures are kept up to date;

(g) A list of the information publicly accessible by means of the user interface to the national registry;

(h) The Internet address of the interface to its national registry;

(i) A description of measures taken to safeguard, maintain and recover data in order to ensure the integrity of data storage and the recovery of registry services in the event of a disaster;

(j) The results of any test procedures that might be available or developed with the aim of testing the performance, procedures and security measures of the national registry undertaken pursuant to the provisions of decision 19/CP.7 relating to the technical standards for data exchange between registry systems.

³ See draft -/CMP.1 decision on technical standards for data exchange between registry systems recommended by COP 8 in the annex to decision 24/CP.8.

ANNEX II

PART III: REVIEW OF INFORMATION ON ASSIGNED AMOUNTS PURSUANT TO ARTICLE 3, PARAGRAPHS 7 AND 8, EMISSION REDUCTION UNITS, CERTIFIED EMISSION REDUCTIONS, ASSIGNED AMOUNT UNITS AND REMOVAL UNITS**A. Purpose**

1. The purpose of this review is:

(a) To provide an objective, consistent, transparent and comprehensive technical assessment of annual information on assigned amounts pursuant to Article 3, paragraphs 7 and 8, emission reduction units (ERUs), certified emission reductions (CERs), assigned amount units (AAUs) and removal units (RMUs) for conformity with the provisions of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*), with the technical standards for data exchange between registry systems and any further guidance adopted by the COP/MOP, and with section I.E of the annex to decision -/CMP.1 (*Article 7*);

(b) To ensure that the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (COP/MOP) and the Compliance Committee have reliable information on assigned amounts pursuant to Article 3, paragraphs 7 and 8, ERUs, CERs, AAUs and RMUs of each Party included in Annex I.

B. General procedures

2. The review of information on assigned amounts pursuant to Article 3, paragraphs 7 and 8, ERUs, CERs, AAUs and RMUs, shall comprise the following procedures:

(a) A thorough review of the calculation of assigned amounts pursuant to Article 3, paragraphs 7 and 8, as reported in accordance with paragraph 6 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) as part of the initial review of each Party included in Annex I performed in accordance with the procedures contained in part I of these guidelines;

(b) An annual review of the information on ERUs, CERs, AAUs and RMUs and of information on discrepancies reported in accordance with section I.E of the annex to decision -/CMP.1 (*Article 7*) for each Party included in Annex I;

(c) A desk or centralized review of the information of each Party included in Annex I to be reported upon expiration of the additional period for fulfilment of commitments in accordance with paragraph 49 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) and of the information referred to in paragraph 8¹ of the annex to decision -/CMP.1 (*Article 7*).

C. Scope of the review

3. For each Party:

(a) The initial review shall cover the calculation of its assigned amount pursuant to Article 3, paragraphs 7 and 8 as reported in accordance with paragraph 6 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*);

¹ This paragraph notation refers to paragraph 8 of annex I to decision 22/CP.8. The number of this paragraph will change once annex I is incorporated into the guidelines under Article 7 of the Kyoto Protocol.

- (b) The annual review shall cover the:
- (i) Information on ERUs, CERs, AAUs and RMUs reported in accordance with section I.E of the annex to the decision -/CMP.1 (*Article 7*);
 - (ii) Transaction log records, including records of any discrepancies forwarded to the secretariat by the transaction log pursuant to paragraph 43 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*), including records of any discrepancies that were forwarded to the secretariat since the start of the previous review and until the start of the review;
 - (iii) Information contained in the national registry that substantiates or clarifies the information reported. For this purpose Parties included in Annex I shall provide the expert review team with effective access to their national registry during the review. The relevant parts of paragraphs 9 and 10 of part I of these guidelines shall also apply to this information;

(c) The review upon expiration of the additional period for fulfilling commitments shall cover the report upon expiration of the additional period for fulfilling commitments in accordance with paragraph 49 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*), including the information reported under paragraph 8² of the annex to decision CMP.1 (*Article 7*), and shall include oversight of the preparation of the final compilation and accounting report for that Party published by the secretariat.

1. Identification of problems

4. During the initial review the expert review team shall assess whether:

- (a) The information is complete and submitted in accordance with the relevant provisions of paragraphs 6, 7 and 8 of the annex to decision -/CMP.1 (*Modalities of accounting for assigned amounts*), section I of the annex to decision -/CMP.1 (*Article 7*), and relevant decisions of the COP/MOP;
- (b) The assigned amount pursuant to Article 3, paragraphs 7 and 8, is calculated in accordance with the annex to decision -/CMP.1 (*Modalities of accounting for assigned amounts*), and is consistent with reviewed and adjusted inventory estimates;
- (c) The calculation of the required level of the commitment period reserve is in accordance with paragraph 6 of the annex to decision 18/CP.7.

5. During the annual review the expert review team shall assess whether:

- (a) The information is complete and submitted in accordance with section I.E of the annex to decision -/CMP.1 (*Article 7*) and relevant decisions of the COP/MOP;
- (b) The information relating to issuance, cancellations, retirement, transfers, acquisitions and carry-over is consistent with information contained in the national registry of the Party concerned and with the records of the transactions log;
- (c) The information relating to transfers and acquisitions between national registries is consistent with the information contained in the national registry of the Party concerned and with the

² This paragraph notation refers to paragraph 8 of annex I to decision 22/CP.8. The number of this paragraph will change once annex I is incorporated into the guidelines under Article 7 of the Kyoto Protocol.

records of the transaction log, and with information reported by the other Parties involved in the transactions;

(d) The information relating to acquisitions of CERs from the CDM registry is consistent with the information contained in the national registry of the Party concerned and with the records of the transaction log, and with the CDM registry;

(e) ERUs, CERs, AAUs and RMUs have been issued, acquired, transferred, cancelled, retired, or carried over to the subsequent or from the previous commitment period in accordance with the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*);

(f) The information reported under paragraph 2 (a)³ of section I.E. in the annex to decision -/CMP.1 (*Article 7*) on the quantities of units in accounts at the beginning of the year is consistent with information submitted for the previous year, taking into account any corrections made to such information, on the quantities of units in accounts at the end of the previous year;

(g) The required level of the commitment period reserve, as reported, is calculated in accordance with paragraph 6 of the annex to decision 18/CP.7;

(h) The assigned amount is calculated to avoid double accounting in accordance with paragraph 9 of the annex to decision -/CMP.1 (*Land use, land-use change and forestry*);

(i) Any discrepancy has been identified by the transaction log relating to transactions initiated by the Party, and if so the expert review team shall:

- (i) Verify that the discrepancy has occurred and been correctly identified by the transaction log;
- (ii) Assess whether the same type of discrepancy has occurred previously for that Party;
- (iii) Assess whether the transaction was completed or terminated;
- (iv) Examine the cause of the discrepancy and whether the Party or Parties has or have corrected the problem that caused the discrepancy;
- (v) Assess whether the problem that caused the discrepancy relates to the capacity of the national registry to ensure the accurate accounting, issuance, holding, transfer, acquisition, cancellation and retirement of ERUs, CERs, AAUs and RMUs and the carry-over of ERUs, CERs and AAUs, and if so, initiate a thorough review of the registry system in accordance with part V of these guidelines.

6. During the review upon expiration of the additional period for fulfilling commitments, the expert review team shall review the information submitted by the Party under Article 7, paragraph 1, to assess whether:

(a) The information is reported in accordance with paragraph 49 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*);

³ This paragraph notation refers to paragraph 2 (a) of annex I to decision 22/CP.8. The number of this paragraph will change once annex I is incorporated into the guidelines under Article 7 of the Kyoto Protocol.

(b) The information is consistent with the information contained in the compilation and accounting database maintained by the secretariat and with the information contained in the Party's registry;

(c) There are any problems or inconsistencies in the information provided by the Party in accordance with paragraph 5 above.

7. During the review upon expiration of the additional period for fulfilling commitments, the expert review team shall review the information submitted in accordance with paragraph 8⁴ of the annex to decision -/CMP.1 (*Article 7*) in accordance with paragraph 5 above.

8. Following the completion of the steps set out in paragraph 6 above and, if possible, resolution of any problems relating to the reported information, and taking account of the information contained in the compilation and accounting database maintained by the secretariat, the expert review team shall assess whether aggregate anthropogenic carbon dioxide equivalent emissions for the commitment period exceed the quantities of ERUs, CERs, AAUs, and RMUs in the retirement account of the Party for the commitment period.

D. Timing

9. The review of the calculation of assigned amount pursuant to Article 3, paragraphs 7 and 8, as part of the initial review shall be concluded within one year of the due date for submission of the report to facilitate the calculation of the assigned amount pursuant to Article 3, paragraphs 7 and 8, referred to in paragraph 6⁵ of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) and shall follow the time frames and procedures established in paragraph 10 below.

10. The annual review of the information on ERUs, CERs, AAUs and RMUs reported in accordance with section I.E of the annex to decision -/CMP.1 (*Article 7*) shall be concluded within one year of the due date for the submission of the information under Article 7, paragraph 1, and include the following steps:

(a) The expert review team shall list all problems identified, indicating which problems would need corrections to previous accounting of AAUs, ERUs, CERs or RMUs, and send this list to the Party included in Annex I no later than 25 weeks from the due date for submission of the annual inventory, if the information was submitted within six weeks after the submission due date;

(b) The Party included in Annex I shall comment on these questions within six weeks and, where requested by the review team, may provide revisions to the accounting of AAUs, ERUs, CERs or RMUs. The expert review team shall prepare a draft review report within eight weeks of the receipt of the comments on the questions posed and shall send the draft report to the Party concerned for comments;

(c) The Party included in Annex I shall provide its comments on the draft review report within four weeks of receipt of the report. The expert review team shall prepare a final review report within four weeks of the receipt of the comments on the draft report.

⁴ This paragraph notation refers to paragraph 8 of annex I to decision 22/CP.8. The number of this paragraph will change once annex I is incorporated into the guidelines under Article 7 of the Kyoto Protocol.

⁵ This paragraph notation refers to paragraph 6 of annex I to decision 22/CP.8. The number of this paragraph will change once annex I is incorporated into the guidelines under Article 7 of the Kyoto Protocol.

11. The review of the report upon expiration of the additional period for fulfilling commitments and of the information submitted in accordance with paragraph 8⁶ of the annex to decision -/CMP.1 (*Article 7*) shall be completed within 14 weeks of the due date for the submission of the information. The expert review team shall prepare a draft report within eight weeks of the due date for submission of the information. The Party concerned may comment on the draft report within four weeks of its receipt. The expert review team shall prepare a final review report within two weeks of receipt of comments on the draft report by the Party.

D. Reporting

12. The final review reports referred to in paragraphs 10 and 11 above shall include an assessment of the specific problems identified in accordance with paragraphs 4 to 8 above and shall follow the format and outline contained in paragraph 48 of part I of these guidelines, as appropriate.

PART V: REVIEW OF NATIONAL REGISTRIES

A. Purpose

13. The purpose of the review of national registries is:

(a) To provide a thorough and comprehensive technical assessment of the capacity of a national registry to ensure the accurate accounting of the issuance, holding, transfer, acquisition, cancellation and retirement of ERUs, CERs, AAUs and RMUs and the carry-over of ERUs, CERs and AAUs;

(b) To assess the extent to which the registry requirements contained in the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) and any decisions by the COP/MOP have been adhered to, and to assist Parties included in Annex I in meeting their commitments;

(c) To assess the extent to which the national registry conforms to the technical standards for data exchange between registry systems adopted by the COP/MOP;

(d) To provide the COP/MOP and the Compliance Committee with reliable information on national registries.

B. General procedures

14. The review of national registries shall take place in two parts:

(a) A thorough review of the national registry as part of the initial review in accordance with paragraphs 11 to 14 in part I of these guidelines and in conjunction with its periodic review;

(b) A desk or centralized review of any changes of the national registry reported in accordance with section I.G of the annex to decision -/CMP.1 (*Article 7*) in conjunction with the annual review.

15. A thorough review of the national registry shall also be conducted if the final review reports under paragraph 48 in part I of these guidelines recommend a thorough review of the national registry or if findings relating to reported changes in national registries considered by the expert review team lead to the recommendation of a thorough review in the final review report. The expert review team shall use

⁶ This paragraph notation refers to paragraph 8 of annex I to decision 22/CP.8. The number of this paragraph will change once annex I is incorporated into the guidelines under Article 7 of the Kyoto Protocol.

the standard set of electronic tests described in paragraph 18 below for this purpose.

An in-country visit shall be conducted only if standardized electronic tests are not sufficient to identify the problems.

C. Scope of the review

16. The expert review team shall conduct a thorough and comprehensive review of the national registry of each Party included in Annex I. The review of the national registry should cover the extent to which the registry requirements contained in the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) and the technical standards for data exchange between registry systems adopted by the COP/MOP have been adhered to.

1. Review of changes in the national registry

17. The expert review team shall review the information submitted as supplementary information under Article 7, paragraph 1, and shall identify any significant changes in the national registry reported by the Party or any problems identified by the expert review team in the course of the review of ERUs, CERs, AAUs and RMUs and transaction log records that may affect the performance of the functions contained in the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*) and the adherence to the technical standards for data exchange between registry systems in accordance with relevant COP/MOP decisions. This review should take place in conjunction with the annual review in accordance with the relevant procedures in paragraphs 18 to 20 below.

2. Identification of problems

18. The expert review team shall review the national registry, including the information provided on it, to assess whether:

(a) The information on the national registry is complete and submitted in accordance with section I of the annex to decision -/CMP.1 (*Article 7*), and with relevant decisions of the COP and the COP/MOP;

(b) The registry conforms to the technical standards for data exchange between registry systems for the purpose of ensuring accurate, transparent and efficient exchange of data between national registries, the clean development registry and the independent transaction log;

(c) The transaction procedures, including those relating to the transaction log, are in accordance with the modalities for the accounting of assigned amounts under Article 7, paragraph 4, contained in annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*);

(d) There are adequate procedures to minimize discrepancies in the issuance, transfer, acquisition, cancellation and retirement of ERUs, CERs, AAUs and RMUs and to take steps to terminate transactions where a discrepancy is notified, and to correct problems in the event of a failure to terminate the transactions;

(e) There are adequate security measures to prevent and resolve unauthorized manipulations and minimize operator error, and procedures for updating them;

(f) Information is publicly available in accordance with the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*);

(g) There are adequate measures to safeguard, maintain and recover data in order to ensure the integrity of data storage and the recovery of registry services in the event of a disaster.

19. During the thorough review, the expert review team shall use a test version of the transaction log and a standard set of electronic tests and sample data to assess the capacity of the registry to perform its functions, including all types of transactions, referred to in the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*), and to assess the adherence to the technical standards for data exchange between registry systems adopted by the COP/MOP. The expert review team may draw upon the results of any other testing relevant to the review of the registry.

20. Based on the assessments carried out in accordance with paragraph 18 and 19 above, expert review teams shall identify any potential problems in, and factors influencing, the fulfilment of commitments relating to the performance of the functions of the national registry and the adherence to technical standards for data exchange between registry systems. In addition, the expert review team shall recommend how problems could be addressed.

D. Timing

21. During the thorough review, the expert review team shall list all the problems identified and shall notify the Party included in Annex I of the problems identified no later than six weeks after the start of the review or after the in-country visit, as appropriate. The Party included in Annex I shall comment on these problems within six weeks of the notification. The expert review team shall prepare a draft review report on the national registry within six weeks of the receipt of the comments on the questions posed. Any corrections, additional information or comments on the draft report received from the Party included in Annex I within four weeks after the report has been sent to that Party shall be subject to review and shall be included in the final inventory review report. The expert review team shall prepare a final report on the review of the national registry within four weeks of the receipt of the comments on the draft report. The review of the national registry shall be concluded within one year of the due date for submission of the information.

22. The review of changes in the national registry shall follow the time frames and procedures for the annual review of the information to be submitted in accordance with section I.E of the annex to decision -/CMP.1 (*Article 7*) established in part III of these guidelines. If either the annual review or the review of changes in the national registry recommends a thorough review of the national registry, and if a country visit is considered necessary, this thorough review should be conducted together with the subsequent in-country visit of either the annual inventory or the periodic national communication, whichever is the earlier.

E. Reporting

23. The final review reports shall include an evaluation of the overall functioning of the national registry and an assessment of the specific problems identified in accordance with paragraphs 18 to 20 above, and shall follow the format and outline in accordance with paragraph 48 of part I of these guidelines.

ANNEX III

GUIDELINES FOR REVIEW UNDER ARTICLE 8 OF THE KYOTO PROTOCOL

4. Expedited procedure for the review for the reinstatement of eligibility to use the mechanisms

19 bis. Any Party included in Annex I that has been suspended from eligibility to use the mechanisms may, at any time following suspension, submit to the secretariat information on the matter which led to the suspension of eligibility, for review by an expert review team.¹ This information shall be reviewed expeditiously in accordance with the provisions of part VIII of these guidelines.

PART VIII: EXPEDITED PROCEDURE FOR THE REVIEW FOR THE REINSTATEMENT OF ELIGIBILITY TO USE THE MECHANISMS

A. Purpose

1. The purpose of the review of information related to a request, by a Party included in Annex I, for reinstatement of eligibility to use the mechanisms established under Articles 6, 12 and 17, pursuant to paragraph X.2 of the procedures and mechanisms relating to compliance, is:

(a) To provide an objective, transparent, thorough and comprehensive technical assessment of information provided by a Party on matters relating to Articles 5 and 7 which led to the suspension of its eligibility to use the mechanisms;

(b) To provide for an expedited review procedure for the reinstatement of eligibility to use the mechanisms for a Party included in Annex I which is able to demonstrate that it is no longer failing to meet eligibility requirements under Articles 6, 12 and 17;

(c) To ensure that the enforcement branch of the Compliance Committee has reliable information to enable it to consider the request of a Party for the reinstatement of its eligibility to use the mechanisms.

B. General procedure

2. The review for the reinstatement of eligibility to use the mechanisms shall be an expedited procedure limited to the review of the matter or matters which led to the suspension of the eligibility. However, the expedited nature of this review procedure shall not compromise the thoroughness of the examination by the expert review team.

3. Any Party included in Annex I that has been suspended from eligibility to use the mechanisms may, at any time following suspension, submit information to the secretariat on the matter or matters which led to the suspension of eligibility. To enable the expert review team to perform its tasks, the information submitted by the Party concerned shall be additional to information previously submitted prior to or during the review that led to the suspension of eligibility. However, information previously submitted by the Party may also be included in the submission, if relevant. The information submitted by the Party shall be reviewed expeditiously in accordance with these guidelines.

4. The secretariat shall organize the review in the most expeditious way possible following the procedures established in these guidelines and taking into account the planned review activities in the

¹ In accordance with paragraph X.2 of the procedures and mechanisms relating to compliance, a Party may submit a request to reinstate its eligibility either through an expert review team or directly to the enforcement branch.

regular review cycle. The secretariat shall convene an expert review team for conducting the expedited review procedures established in these guidelines in accordance with the relevant provisions of section E of Part I of these guidelines and shall forward the information referred to in paragraph 3 above to this expert review team.

5. To ensure objectivity, the expert review team for the reinstatement of eligibility shall not be composed of the same members and lead reviewers who formed part of the expert review team that conducted the review which led to the suspension of eligibility of the Party concerned, and shall be composed of members with the necessary expertise for addressing the matter or matters contained in the Party's submission.

6. Depending on the issue that led to the suspension of the eligibility to participate in the mechanisms, the review shall be performed as a centralized review or an in-country review as provided for in parts II, III, IV and V of these guidelines, as deemed appropriate by the secretariat.²

C. Scope of the review

7. The review shall cover the information submitted by the Party. The expert review team may also consider any other information, including information previously submitted by the Party and any information relating to the Party's subsequent inventory, which the expert review team considers necessary in order to complete its task. The expert review team shall assess, consistent with the applicable provisions in parts II, III, IV or V of these guidelines, whether the question or questions of implementation that led to suspension of eligibility have been addressed and resolved.

8. If the expedited review for reinstatement of eligibility relates to the submission of a revised estimate for a part of its inventory to which an adjustment was previously applied, the expert review team shall assess whether the revised estimate is prepared in accordance with the IPCC Guidelines as elaborated by the IPCC good practice guidance or whether the new information substantiates the original emission estimate provided by the Party.

D. Timing

9. A Party included in Annex I that intends to submit information under paragraph 3 to the secretariat on the matter or matters which led to its suspension of eligibility should provide the secretariat with at least six weeks notice of the date on which it intends to submit such information. The secretariat, on receipt of such notice, should undertake the necessary preparations with the aim of ensuring that an expert review team is convened and ready to start consideration of the information within two weeks of the receipt of the submission of information under paragraph 3 above from the Party concerned.

10. For the expedited procedure for the review for reinstatement of eligibility, the following time frames shall apply from the date of receipt of the information:

(a) The expert review team shall prepare a draft expedited review report within five weeks of the receipt of information from the Party concerned;

(b) The Party concerned shall be provided with up to three weeks to comment upon the draft expedited review report. If the Party concerned notifies the expert review team, within that period of time, that it does not intend to provide comments, then the draft expedited review report becomes the final expedited review report upon receipt of such notification. If the Party concerned does not provide

² For example, if the failure to have in place a national system for the estimation of anthropogenic emissions led to loss of eligibility and such system has not previously been reviewed, the national system shall be reviewed in accordance with part IV of these guidelines, such review to include an in-country visit.

any comments within that period of time, the draft expedited review report becomes the final expedited review report;

(c) If comments by the Party are received within the time frame indicated above, the expert review team shall prepare a final expedited review report within three weeks of the receipt of comments upon the draft report.

11. The time periods in paragraph 10 (a) to (c) above are considered maximum time periods. The expert review team and the Party should strive to complete the review in the shortest time possible. However, the expert review team may, with the agreement of the Party, extend the time periods in paragraph 10 (a) to (c) above for the expedited review procedure for an additional four weeks.

12. Where the start of the consideration of information by the expert review team is delayed due to the Party giving shorter notice than provided in paragraph 9, the expert review team may extend the time in paragraph 10 (a) up to the difference in time between the period for notification in paragraph 9 and the actual notification given by the Party.

E. Reporting

13. The expert review team shall, under its collective responsibility, produce a final review report on the reinstatement of eligibility in accordance with the relevant provisions of paragraph 48 of these guidelines and in accordance with the relevant provisions for review reports in parts II, III, IV or V of these guidelines depending on the specific reason for the suspension of eligibility.

14. The expert review team shall include a statement whether the team considered thoroughly all questions of implementation that led to the suspension of the eligibility in the time available for the reinstatement procedure and shall indicate whether there is or is not any longer a question of implementation with respect to the eligibility of the Party concerned to use the mechanisms established under Articles 6, 12 and 17.

Decision 23/CP.8

Terms of service for lead reviewers

The Conference of the Parties,

Noting the relevant provisions of Article 8 of the Kyoto Protocol to the United Nations Framework Convention on Climate Change,

Recalling its decision 23/CP.7,

Recommends that the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its first session adopt draft decision -/CMP.1 (*Terms of service for lead reviewers*) below.

*7th plenary meeting
1 November 2002*

Draft decision –/CMP.1

Terms of service for lead reviewers

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Recalling Article 8 of the Kyoto Protocol to the United Nations Framework Convention on Climate Change,

Having considered decisions 23/CP.7 and 23/CP.8, adopted by the Conference of the Parties at its seventh and eighth sessions, respectively,

Decides that lead reviewers referred to in the guidelines under Article 8 of the Kyoto Protocol (decision 23/CP.7) will be based in their home country or their country of residence for the period of their assignment and will attend regularly scheduled meetings and planned review activities outside their home country or their country of residence to perform the duties described in these guidelines.

Decision 24/CP.8**Technical standards for data exchange between registry systems under the Kyoto Protocol**

The Conference of the Parties,

Recalling its decisions 15/CP.7, 16/CP.7, 17/CP.7, 18/CP.7, 19/CP.7 and 24/CP.7,

Noting the progress made through the intersessional consultations on registries convened by the Chair of the Subsidiary Body for Scientific and Technological Advice,

Mindful of the importance of this work to the timely implementation of the mechanisms under Articles 6, 12 and 17 of the Kyoto Protocol, in particular to the prompt start of the clean development mechanism under Article 12 of the Kyoto Protocol,

1. *Recommends* that the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, at its first session, adopt the general design requirements for the technical standards for data exchange between registry systems¹ under the Kyoto Protocol, as contained in the annex to this decision;

2. *Recognizes* that the general design requirements form the basis for a complete model of data exchange between registry systems and require the subsequent elaboration of detailed functional and technical specifications, in order to facilitate the implementation of the technical standards in all registry systems in a compatible manner;

3. *Requests* the secretariat, in its development of the transaction log, to undertake work relating to the functional and technical specifications of the technical standards during 2003, subject to the availability of resources, with a view to completing the technical specification prior to the ninth session of the Conference of the Parties and completing the implementation and testing of the transaction log by the tenth session of the Conference of the Parties;

4. *Requests* the secretariat, in working on these specifications, to closely collaborate with technical experts and submit a report on progress for consideration by the Subsidiary Body for Scientific and Technological Advice at its nineteenth session;

5. *Commends* the progress already made through the intersessional consultations on more detailed material for the technical standards as a good starting point for future work to elaborate the functional and technical specifications of the technical standards;

6. *Requests* the Subsidiary Body for Scientific and Technological Advice to report to the Conference of the Parties at its ninth session² on progress made in developing the functional and technical specifications of the technical standards, and to make any recommendations for additional actions to establish and maintain registry systems, as appropriate;

¹ National registries, the clean development mechanism registry and the transaction log.

² Or, if the Kyoto Protocol has entered into force, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its first session.

7. *Requests* the Chair of the Subsidiary Body for Scientific and Technological Advice, with the assistance of the secretariat, to continue the intersessional consultations with Parties and experts for the purpose of:

(a) Sharing the results of work on the specifications of the technical standards with other Parties and seeking feedback on progress;

(b) Exchanging information and experience in relation to the development and establishment of registry systems;

(c) Preparing any recommendations to the Subsidiary Body for Scientific and Technological Advice on additional actions to establish and maintain registry systems and to implement and update the technical standards, as appropriate;

8. *Recognizes* that the intersessional consultations on registries identified issues that lie outside the scope of the technical standards for data exchange on which there is need for cooperation to facilitate and promote accuracy, efficiency and transparency in the design and operation of registry systems;

9. *Notes* that national registries and the clean development mechanism registry shall make up-to-date information, as referred to in draft decisions -/CMP.1 (*Article 12*) and -/CMP.1 (*Modalities for the accounting of assigned amounts*),³ publicly accessible through an Internet web site;

10. *Encourages* each Party included in Annex I to the Convention with a commitment inscribed in Annex B to the Kyoto Protocol to designate, as soon as possible, a registry administrator to maintain its national registry, with a view to facilitating early cooperation between registry administrators to address the need referred to in paragraph 8 above;

11. *Reiterates* its invitation to Parties, contained in decision 38/CP.7, to make contributions to the Trust Fund for Supplementary Activities under the United Nations Framework Convention on Climate Change, in the order of US\$ 1.15 million for the biennium 2002–2003, for the purpose of undertaking work relating to registries and the transaction log;

12. *Invites* the secretariat to estimate the specific resource requirements for establishing and maintaining the transaction log, including the elaboration and implementation of the functional and technical specifications of the technical standards, and make this information available to Parties prior to the eighteenth session of the Subsidiary Body for Scientific and Technological Advice;

13. *Invites* Parties included in Annex II to the Convention to contribute to meeting the resource requirements referred to in paragraph 12 above in order to provide for the timely development of all registry systems in a manner that facilitates the mechanisms under Articles 6, 12 and 17 of the Kyoto Protocol, as well as the modalities for the accounting of assigned amounts under Article 7, paragraph 4, of the Kyoto Protocol, and is consistent with the progress envisaged in paragraph 3 above;

14. *Invites* the secretariat to explore additional sources of funding to meet the resource requirements referred to in paragraph 12 above;

³ Attached to decisions 17/CP.7 and 19/CP.7, respectively.

15. *Requests* the Subsidiary Body for Scientific and Technological Advice, at its twentieth session, to forward a draft decision to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol recommending that it incorporates, in the annex to this decision, any elements needed to reflect decisions of the Conference of the Parties or of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol relating to definitions and modalities for including afforestation and reforestation project activities under Article 12 in the first commitment period.

7th plenary meeting
1 November 2002

ANNEX

Technical standards for data exchange between registry systems under the Kyoto Protocol

General design requirements

I. PURPOSE

1. The technical standards for data exchange provide a technical basis for transactions under the mechanisms defined in Articles 6, 12 and 17 of the Kyoto Protocol and the modalities for the accounting of assigned amounts under Article 7, paragraph 4, of the Kyoto Protocol.¹ They pertain to the exchange of data between national registries of Parties to the Kyoto Protocol, the clean development mechanism (CDM) registry and the transaction log (referred to below as “registry systems”), in accordance with decisions -/CMP.1 (*Article 12*) and -/CMP.1 (*Modalities for the accounting of assigned amounts*),² and are complementary to those decisions.

2. Transactions requiring the exchange of data between registry systems are the issuance, transfer and acquisition between registries, cancellation, retirement and carry-over, as appropriate, of assigned amount units (AAUs), certified emission reductions (CERs), emission reduction units (ERUs) and removal units (RMUs) (referred to below as “units”).

3. In order to support the elaboration of technical standards and their implementation in all registry systems, the technical standards shall have the following tiered framework:

(a) General design requirements for data exchange between registry systems, forming the basis for a complete model for data exchange;

(b) Detailed functional specification of the interface between registry systems, in accordance with the general design requirements;

(c) Detailed technical specification of the interface between registry systems, in accordance with the general design requirements, at a level of detail sufficient for administrators of registry systems to implement and test them.

4. The provisions contained herein address the general design requirements of the technical standards.

II. PRINCIPLES

5. The elaboration and implementation of the technical standards for the exchange of data between registry systems shall:

(a) Effectively facilitate the mechanisms under Articles 6, 12 and 17 and the modalities for the accounting of assigned amounts under Article 7, paragraph 4;

(b) Ensure the accuracy of data and of the exchange of data;

(c) Ensure the transparency and auditability of transaction processes;

(d) Ensure the transparency of non-confidential information;

¹ Hereinafter, “Article” refers to an article of the Kyoto Protocol, unless otherwise specified.

² Attached to decisions 17/CP.7 and 19/CP.7, respectively.

- (e) Promote efficiency in transaction procedures;
- (f) Ensure the security of data storage and data exchange;
- (g) Promote the maximum resilience and availability of registry systems;
- (h) Allow the independent design of individual registry systems that, at minimum, are consistent with the technical standards for data exchange between registry systems.

III. INTERFACE BETWEEN REGISTRY SYSTEMS

A. Message sequences

6. In the course of conducting their activities, registry systems shall transmit and receive standardized messages, at minimum, for the types of message sequences listed in table 1, in accordance with standardized message sequences to be developed. Such messages shall use formats and protocols that allow messages to be electronically processed by the receiving registry systems.

Table 1 Minimum standardized message sequence types for registry systems
<i>Transactions</i>
1. Issuance of units in a national registry or the CDM registry
2. Internal transfer of units (a) from the CDM registry pending account to another account or (b) from an account to a cancellation or retirement account
3. External transfer of units to a national registry
4. Carry-over of units, as appropriate, to the subsequent commitment period
<i>Other activities</i>
5. Reconciliation of data between registries and the transaction log
6. Testing of connections between registry systems
7. Notification of change to online status of the transaction log
8. Notification of change to offline status of the transaction log

7. The message sequences and content shall incorporate, as appropriate:
- (a) Time certification, using a common format;
 - (b) Message identification, uniquely identifying the relevant message sequence, stage of the message sequence and message;
 - (c) The transaction number assigned by the registry system initiating the message sequence;
 - (d) The transaction record associated with the transaction number, as generated by the registry system initiating the message sequence, containing information, as appropriate, on:
 - (i) The total quantity of units involved;
 - (ii) The serial numbers of units involved, in blocks of consecutive numbers;
 - (iii) The account number of the transferring account;
 - (iv) The account number of the acquiring account.
 - (e) The status of the transaction;

(f) An indication of units for which a discrepancy has been notified by the transaction log, until the discrepancy has been resolved;

(g) Provision for the termination, by the acquiring registry, of a transaction for which a discrepancy has been notified by the transaction log, that has not been terminated by the transferring registry;

(h) Confirmation responses to notify that a message has been received;

(i) Error messages, as necessary, identifying the point of failure.

8. A common language protocol shall be used for each type of message sequence. The language protocol for the messages shall be able to support a structured messaging format and shall be independent of the platform and the software vendor.

9. The messaging format shall allow for the possibility of changes and additions to the data contained in a message. Message formats shall allow any interpreting software to determine the content and structure of the data contained within each transaction. The character set used in the message shall also be independent of software vendor and be able to support non-Roman characters.

10. Message content and the interaction between the systems shall be modelled using a standard notation.

B. Transaction rules

11. A specific point shall be identified in each message sequence at which the transaction shall be deemed unequivocally final.

12. Subsequent messages in the sequence shall be sent in a time frame consistent with the functional and/or technical specification to be developed. The transaction log shall cancel transactions after a specified period of time has elapsed without a response to a message.

13. Units for which a transaction process is initiated shall not be available to other transactions until the initiated transaction process is completed or terminated. The transaction log shall verify, as part of its automated checks, whether units are already subject to a transaction process.

IV. REGISTRY SYSTEM REQUIREMENTS RELATED TO DATA EXCHANGE

A. Number elements

14. Each unique serial number assigned by a registry to a unit shall consist of at least the elements contained in table 2³, in accordance with formats and codes to be developed.

³ The elements of this table are without prejudice to paragraph 15 of decision 24/CP.8.

Table 2 Elements of serial numbers				
<i>Element</i>	<i>AAU</i>	<i>RMU</i>	<i>CER</i>	<i>ERU</i>
Originating Party identifier	Yes	yes	yes	yes
Issuance commitment period	Yes	yes	yes	yes
Unit type	Yes	yes	yes	yes
LULUCF activity	No	yes	yes	yes
Project identifier	No	no	yes	yes
Unique number	Yes	yes	yes	yes

LULUCF: Land use, land-use change and forestry

15. Registry systems shall associate with the serial number of each unit an indicator of whether the unit is valid for use towards commitments under Article 3, paragraph 1, in accordance with paragraph 43 of the annex to decision -/CMP.1 (*Modalities for the accounting of assigned amounts*).

16. Each unique account number assigned by a registry shall consist of at least the elements contained in table 3, in accordance with formats and codes to be developed.

Table 3 Elements of account numbers			
<i>Element</i>	<i>Holding account</i>	<i>Cancellation account</i>	<i>Retirement account</i>
Party identifier	Yes	yes	yes
Commitment period	No	yes	yes
Account type	Yes	yes	yes
Unique number	Yes	yes	yes

17. Each unique transaction number assigned by a registry shall consist of at least the elements contained in table 4, in accordance with formats and codes to be developed. The transaction number shall be assigned by the registry initiating a transaction and shall thereafter be associated with the transaction record relevant to that transaction.

Table 4 Elements of transaction numbers
Originating Party identifier
Commitment period
Date
Transaction type
Unique number

B. Infrastructure

18. The interface between registry systems shall operate through a central communications hub integrated with the transaction log.

19. Registry systems shall apply common protocols and procedures for the testing, initiation and suspension of the operation of registry systems or parts thereof.

20. Registry systems, and the exchange of data between them, shall apply security measures that ensure:

(a) Confidentiality: data transmitted between registry systems shall be encrypted so as to be unreadable by any party not involved in the transaction;

(b) Authentication: the communicating registry systems shall be uniquely and securely identified and identifiable. The transaction log shall act as the central reference database for authentication information;

(c) Non-repudiation: there should be a single full and final record of all actions such that those actions cannot be disputed or repudiated;

(d) Integrity: data exchanged between registry systems shall not be modifiable by any party not involved in the transaction;

(e) Auditability: a full audit trail shall be maintained for each message and message sequence to document all processes, actions and messages and the date and time at which they occurred.

21. The ability of the transaction log to receive and process messages shall be scalable.

22. The scheduled downtime of registry systems shall be kept to a minimum. Registry systems shall have systems and procedures in place to isolate any problems and minimize the interruption or suspension of their functions.

23. The transaction log shall maintain a publicly accessible list of units, and the relevant transaction records, that are subject to a notification of a discrepancy that has not yet been resolved.

24. A separate messaging test environment shall be maintained by each registry system, in conjunction with its operational system, in order to allow registries to test the development and amendment of their messaging infrastructure without disrupting the operational messaging framework.

25. Each registry system shall implement measures, including automated internal checks, to:

(a) Ensure that its data records and transactions are accurate;

(b) Ensure that data are protected against unauthorized manipulation and that any change in data is automatically and securely recorded using journaling and auditing functionality;

(c) Ensure that it is protected against exposure to security compromises, such as through viruses, hackers and denial of service attacks;

(d) Ensure that it has robust systems and procedures for safeguarding data and recovering data and registry service in the event of a disaster;

(e) Prevent inconsistencies and, where they are found, halt transactions until the inconsistencies have been resolved;

(f) Prevent discrepancies from occurring.

C. Data

26. The transaction log and registries shall reconcile their data with each other in order to ensure data consistency and facilitate the automated checks of the transaction log. The transaction log shall, on a daily basis, compare a statement from each registry of its unit holding position against the records of the transaction log. The transaction log shall notify each registry of the result. In the event of an inconsistency being found, all transactions in question shall be halted until the inconsistency has been resolved.

27. Each registry system shall retain its records of unit holdings and transactions pertaining to a commitment period at least until any questions of implementation relating to emissions or assigned amount information, for which the data records were created, have been resolved.

28. In order to facilitate the automated checks of the transaction log, registries shall, in a timely manner, provide the following information and ensure that it remains up to date:

- (a) Confirmation of the completion or termination of transactions;
- (b) The authorization, or removal thereof, by Parties of:
 - (i) Legal entities to participate in Article 6 projects under decision -/CMP.1 (*Article 6*);
 - (ii) Private and/or public entities to participate in Article 12 project activities under decision -/CMP.1 (*Article 12*);
 - (iii) Legal entities to transfer and/or acquire ERUs, CERs, AAUs or RMUs under decision -/CMP.1 (*Article 17*).

Decision 25/CP.8

Demonstrable progress under Article 3, paragraph 2, of the Kyoto Protocol

The Conference of the Parties,

Recalling Article 3, paragraph 2, of the Kyoto Protocol,

Recalling also its decisions 4/CP.5 and 13/CP.7,

Recalling further its decision 22/CP.7, by which it urged each Party included in Annex I to the Convention that is also a Party to the Kyoto Protocol to submit, by 1 January 2006, a report to provide the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol with the basis for reviewing the demonstration of progress by 2005, in accordance with Article 3, paragraph 2, of the Kyoto Protocol,

1. *Reiterates* that the report mentioned in the third preambular paragraph shall include:
 - (a) A description of domestic measures, including any legal and institutional steps to prepare to implement each Party's commitments under the Kyoto Protocol to mitigate greenhouse gas emissions, and any of its programmes for domestic compliance and enforcement;
 - (b) Trends in, and projections of, its greenhouse gas emissions;
 - (c) An evaluation of how such domestic measures, in light of these trends and projections, will contribute to the Party's meeting its commitments under Article 3;
 - (d) A description of the activities, actions and programmes undertaken by the Party in fulfilment of its commitments under Articles 10 and 11.
2. *Requests* each Party included in Annex I to the Convention that is also a Party to the Kyoto Protocol, to prepare the above-mentioned report in accordance with the provisions of the guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications,¹ and the provisions of the guidelines for the preparation of the information required under Article 7 of the Kyoto Protocol,² relating to paragraph 1 above, and incorporating any relevant contribution pursuant to decision 13/CP.7;
3. *Requests* each Party included in Annex I to the Convention that is also a Party to the Kyoto Protocol to prepare the above-mentioned report as a single document including four chapters that shall contain the information required by paragraph 1 above. The information should be consistent with that provided by the Party in its fourth national communication³ and will be evaluated together with the national communication submitted after the entry into force of the Kyoto Protocol;

¹ Decision 4/CP.5 (FCCC/CP/1999/7).

² Document FCCC/CP/2001/13/Add.3.

³ The date for submission of the fourth national communication from Parties included in Annex I to the Convention is 1 January 2006 (decision 4/CP.8).

4. *Requests* the secretariat to prepare a synthesis of the reports by Parties on demonstrable progress for consideration by the Subsidiary Body for Implementation at its first session in 2006. The Subsidiary Body for Implementation shall use this report as the basis for reviewing the demonstration of progress by 2005, in accordance with Article 3, paragraph 2, of the Kyoto Protocol, with a view to providing advice on this matter to the subsequent session of the Conference of Parties serving as the meeting of the Parties to the Kyoto Protocol.

*7th plenary meeting
1 November 2002*

III. RESOLUTIONS ADOPTED BY THE CONFERENCE OF THE PARTIES

Resolution 1/CP.8

Expression of gratitude to the Government of the Republic of India and the people of the city of New Delhi

The Conference of the Parties,

Having met in New Delhi from 23 October to 1 November 2002 at the invitation of the Government of the Republic of India,

1. *Expresses its profound gratitude* to the Government of the Republic of India for having made it possible for its eighth session to be held in New Delhi;
2. *Requests* the Government of the Republic of India to convey to the city and the people of New Delhi its gratitude for the hospitality and warm welcome extended to the participants.

*8th plenary meeting
1 November 2002*

IV. OTHER ACTIONS TAKEN BY THE CONFERENCE OF THE PARTIES

A. Report of the Global Environment Facility to the Conference of the Parties

The Conference of the Parties at its eighth session endorsed the conclusions of the Subsidiary Body for Implementation on the Report of the Global Environment Facility to the Conference of the Parties.¹ These conclusions are reproduced below for ease of reference.

1. The Subsidiary Body for Implementation (SBI) took note of the report of the Global Environment Facility (GEF) contained in document FCCC/CP/2002/4. The report includes information on how the GEF has applied the guidance and decisions of the Conference of the Parties, in accordance with the Memorandum of Understanding between the Conference of the Parties and the Council of the GEF annexed to decision 12/CP.2.
2. The SBI noted with satisfaction the successful and substantial third replenishment of the GEF Trust Fund and called upon countries and other entities that are in a position to do so to make additional contributions to the GEF.
3. The SBI welcomed the Beijing Declaration adopted at the second GEF Assembly, which noted that the GEF had produced significant results in effectively using resources for global environmental protection and sustainable development.
4. The SBI noted the efforts made by the GEF, as an operating entity of the financial mechanism, in providing useful information on the implementation of relevant COP decisions, and welcomed the efforts made by the GEF in funding the activities relating to phase II of enabling activities in developing countries.
5. The SBI noted that the GEF had provided information on the arrangements necessary for the establishment and administration of the two new funds under the Convention (the Special Climate Change Fund and the Least Developed Countries Fund), in accordance with decision 7/CP.7. In relation to the Least Developed Countries Fund, the SBI noted with appreciation that the GEF Council had approved arrangements for the operation of the fund, and the GEF secretariat had acted quickly to mobilize resources based on an assessment of the financing needs and had convened consultations with potential donors at which resources had been successfully raised.
6. The SBI welcomed the progress made by the GEF in addressing the responsiveness and efficiency of the project cycle. However, the SBI noted that there were still areas where concerns had been expressed by developing country Parties, particularly with regard to the progress made in funding the activities relating to the framework for capacity-building in developing countries (decision 2/CP.7); the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (decision 4/CP.7); adaptation and other issues in accordance with decision 5/CP.7 and the preparation of second national communications (decisions 2/CP.4 and 8/CP.5), as well as other issues contained in decision 6/CP.7.
7. The SBI noted that, as reflected in the Beijing Declaration of the second GEF Assembly, the GEF should enhance its strategic business planning for the allocation of scarce GEF resources to high-priority areas for developing country Parties, taking into account national priorities.

¹ FCCC/SBI/2002/17, paragraphs 22–24

8. The SBI recommended that the Conference of the Parties invite the GEF to include in its report to the Conference of the Parties at its ninth session, more detailed information on how the GEF has applied the guidance on funding activities relating to decisions of the Conference of the Parties, as indicated in paragraphs 5 and 6 above.

B. Calendar of meetings of Convention bodies, 2003–2007

The Conference of the Parties at its eighth session took note that there were no changes to the calendar of meetings of Convention bodies for 2003–2007. The calendar is reproduced below for ease of reference.

- First sessional period in 2003: from 2 to 13 June
- Second sessional period in 2003: from 1 to 12 December
- First sessional period in 2004: from 14 to 25 June
- Second sessional period in 2004: from 29 November to 10 December
- First sessional period in 2005: from 16 May to 27 May
- Second sessional period in 2005: from 7 to 18 November
- First sessional period in 2006: from 15 May to 26 May
- Second sessional period in 2006: from 6 to 17 November
- First sessional period in 2007: from 7 May to 18 May
- Second sessional period in 2007: from 5 November to 16 November
