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If you should require any further information then please do not hesitate to contact us. We will be pleased to help you.

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## **1. GENERAL SCOPE OF WORK**

The Validation of post-registration changes (PRC) is the independent evaluation of the project design, in case of changes that have occurred or are expected to occur to a registered CDM project activity / programme of activities / component project activity.

The validation is based on the information made available to TÜV NORD CERT GmbH and on the contract conditions. TÜV NORD CERT GmbH cannot be held liable by any entity for making its validation opinion based on any false or misleading information supplied to it during the course of validation.

TÜV NORD CERT GmbH employs a risk-based approach in the validation, focusing on the identification of significant risks for project implementation and the generation of certified emission reductions (CERs). The service of TÜV NORD CERT GmbH will not include any consulting service. Nevertheless, the client may certainly perceive TÜV NORD CERT GmbH's possible requests for clarifications and/or corrective actions to the client as indicators of possible potential for improvement in the project design.

The validation will follow the procedures of TÜV NORD CERT GmbH's JI/CDM CP Quality manual, which is a customized version of the Validation and Verification Standard (VVS).

The post-registration changes assessment is based on the following documents and information provided by the client:

- A detailed description of the PRC
- A revised PDD / POA-DD / CPA-DD in clean version (except for TDfrMP and TDfMM)
- A revised PDD / POA-DD / CPA-DD in track change version (except for TDfrMP and TDfMM)
- Supporting documents

On the basis of the above listed documentation and its expertise TÜV NORD CERT GmbH will carry out an assessment of the PRC against the criteria as detailed in the related CDM Project Standard for project activities / programme of activities (PS) and the related CDM Validation Verification Standard for project activities / programme of activities (VVS). The validation might require an on-site assessment. The deliverables will include an opinion on whether the post registration change(s) require a prior approval by the UNFCCC.

TÜV NORD CERT GmbH will submit to the UNFCCC the following documents:

- A post-registration changes request form (CDM-PRC-FORM);
- A validation report for post-registration changes (including opinion);
- A revised PDD/ POA-DD / CPA-DD (in clean and track change versions) if applicable; and
- Supplemental documentation, if applicable.

## **2. POST-REGISTRATION CHANGES PROCESS**

The post-registration changes process of the CDM project activity / programme of activities / component project activity shall follow the sequence of steps presented below. The steps may vary in case the post-registration changes are combined with the verification service of the same project activity / programme of activities / component project activity:

**2.1. Review of Documents**

The project documentation submitted by the client and supporting background documents related to the project design and baseline study as well as monitoring plan will be reviewed. Furthermore, the validation team may use additional documentation or checklist by third parties like host-party legislation, technical reports referring to the project design or to the basic conditions and technical data. The document review shall establish to what degree the presented documents meet the established validation criteria. The findings of initial document review will be presented to the client.

**2.2. Assessment using a Validation Protocol**

For cost-effective and systematic validations, one generic protocol will be used as the documented backbone of a transparent validation process. The protocol shows, in a transparent manner, criteria and requirements, means of validation and the results from pre-validating the identified criteria.

**2.3. On site visit and follow-up interviews**

Visits of the project site / PPs offices will be carried out in line with the VVS requirements. Follow-up interviews with project stakeholders may prove useful or even necessary in order to discuss and validate issues related to project baseline and additionality and to resolve issues identified in the document review. For discussions related to the technical implementation or financing of the project, follow-up interviews with the project developer may also be beneficial.

**2.4. Draft-Validation reporting**

The draft validation report will facilitate the joint effort between the client and TÜV NORD CERT GmbH to develop and document answer(s) and conclusions to requirements, which are considered applicable for CDM projects. The independent validation exercise and subsequent discussions given in the report shall enable the client to address any concerns TÜV NORD CERT GmbH may have raised related to the project, and how these may be clarified.

In order to remedy any mistakes, problems or any other outstanding issues, which needed to be clarified, Corrective Action Requests (CAR) or Clarification Requests (CL) may be raised. All CLs & CARs are reported and elaborated in terms of implication of CLs & CARs issued in the draft validation report. In the event of issuance of CARs / CLs the client will have to close CARs and respond to CLs before the validation could be completed.

**2.5. Resolution of CARs & CLs**

The CARs and CLs stated in the draft validation report will have to be resolved by the client, if these are issued. The requests can be resolved or "closed out" by the client by modifying the project design and by rectifying and updating the project design documentation. If this is not done in the final stages of the validation, it may cause the post-registration changes not be recommended for UNFCCC approval, or cause the expected emission reductions not to be subsequently validated and certified.

The number of DOE assessments on the corrective actions for closure of CARs and CLs raised should be limited to two consecutive rounds. For further resolution, the client and TÜV NORD CERT GmbH may enter into an amendment for additional man-days required.

## **2.6. Validation Report**

The final validation report on the post-registration changes will reflect the results and any adjustments made to the project after the submission of draft validation report. This final report will reflect the responses to corrective action and clarification requests, discussions and revisions of project documents. Thus, the final validation report should give the final conclusions regarding the projects conformance with relevant UNFCCC requirements. The validation report may raise issues that need to be subsequently addressed during the following verification on like the implications of any remaining corrective action requests not resolved during the validation.

The final validation report shall include a validation opinion which either forms the basis for UNFCCC acceptance of the post-registration changes of the project / programme of activities / component project activity or which explains the reason for non-acceptance if the project is judged not to fulfil validation requirements.

## **2.7. Technical review & Final Approval**

Before the submission of the final validation report, a technical review and final approval of the whole validation procedure will be carried out.

During the technical review process the validation opinion and the specific assessments as prepared by the validation team may have been confirmed or revised. Furthermore, reporting improvements might have been achieved.

The technical review follows an overall (esp. procedural) assessment of the complete validation carried out by an auditor located in the accredited premises of TÜV NORD CERT GmbH.

## **2.8. Submission to EB**

TÜV NORD CERT GmbH will submit to the executive board, if it determines the proposed project activity to be valid, a request for post-registration changes in the form of a validation report for post-registration changes including the project / programme of activities / component project activity design document and further documents (if necessary).

## **3. SCHEDULE OF EVENTS**

TÜV NORD CERT GmbH is prepared to begin the assessment work on the PRC upon receipt of all necessary documentation.

The detailed timeline of events shall be mutually agreed upon after conclusion of the contract.

## **4. TEAM COMPOSITION**

An experienced team will carry out the assessment of the post-registration change(s).

The validation team will consist of experienced (lead) auditors and experts covering technical, methodological, environmental and socio-economic competence.

The final team composition will be announced (if deviant) after conclusion of this contract in the course of the assessment work. The client has the right to reject any team member with sufficient justification.

Related Curriculum Vitae of the audit team will be provided upon request vide

[operations.carbon@tuev-nord.de](mailto:operations.carbon@tuev-nord.de).

**5. RIGHTS AND RESPONSIBILITIES OF TÜV NORD CERT GMBH**

In addition to performing the service detailed in the offer TÜV NORD CERT GmbH shall:

Issue a validation report on post registration changes in line with scheme requirements, which will state whether, in the DOE's opinion, the project activity / programme of activities / component project activity fulfils the requirements of the scheme.

Arrive at its opinion upon consideration of the following matters and reporting as to any aspect with which TÜV NORD CERT GmbH is not satisfied, namely whether:

- All relevant scheme requirements are met
- the monitoring system and procedures are in line with the applied methodology.

TÜV NORD CERT GmbH shall be entitled to Interview attorneys, engineers, analysts, accountants, or other parties deemed by TÜV NORD CERT GmbH to have the qualifications necessary to assist in the performance of the service without any extra fees/charge payable on this account by the client. TÜV NORD CERT GmbH may select and engage such persons without the clients prior approval save that, should the client advise TÜV NORD CERT GmbH that a conflict of interest exists, TÜV NORD CERT GmbH will take all necessary measures to engage alternate advisors. TÜV NORD CERT GmbH may also consult with stakeholders to assist in the performance of the service. Stakeholders shall include the public, including individuals, groups or communities affected, or likely to be affected, by the activity in question.

TÜV NORD CERT GmbH shall perform the service in an efficient, prompt, skillful and careful manner in accordance with the current industry standards, practices and accredited procedures. In performing the service, TÜV NORD CERT GmbH shall observe and obey all applicable laws, regulations, rules and standards imposed by any government or other duly constituted authority having jurisdiction in the host country.

TÜV NORD CERT GmbH by accepting the offer neither automatically guarantees a positive validation opinion nor the approval of the post-registration changes by the CDM Executive Board (EB).

TÜV NORD CERT GmbH has the right to subcontract members of the TÜV NORD JI/CDM Certification Program of other entities and external individuals.

**6. RESPONSIBILITIES OF THE CLIENT**

The client is responsible for:

Preparing a project / programme of activities / component project activity design document in compliance with the rules set by the applied scheme. In case of changes to the scheme during execution of the service the client shall adapt the project documents to the new regulations.

Determining the changes using approved methodologies and tools and scientifically appropriate protocols as required by the scheme, to gather the necessary data and reporting data in a complete, transparent and accurate manner.

Providing TÜV NORD CERT GmbH with:

- the necessary and requested access to client books, records, information systems and facilities such that TÜV NORD CERT GmbH is able to validate the data and assumptions presented in the project documents.

- all information, documentation, data or other material or taking all measures required by the scheme unless TÜV NORD CERT GmbH is expressly responsible for providing such measures. In case of deadlines set by the scheme concerning material to be provided or measures to be taken by the client, the client shall provide TÜV NORD CERT GmbH with material 3 working days before expiry of the deadline.

Complying with TÜV NORD CERT GmbH's requests to conduct interviews, meetings and/or discussions with client's employees and agents on any matters relating to the service, within such deadlines as TÜV NORD CERT GmbH shall establish.

All obligations of the client shall be performed according to the scheme in force when performing the obligations. In case of changes to the scheme affecting performances already rendered the client shall amend or render anew its performances accordingly.