

CDM项目审定与注册

CDM Project Validation & Registration

欧盟SYNERGY Programme第二阶段 - 杭州培训

2005年4月19日—23日

EU SYNERGY Programme 2nd Phrase Training - Hangzhou
Training

April 19th – 23rd , 2005

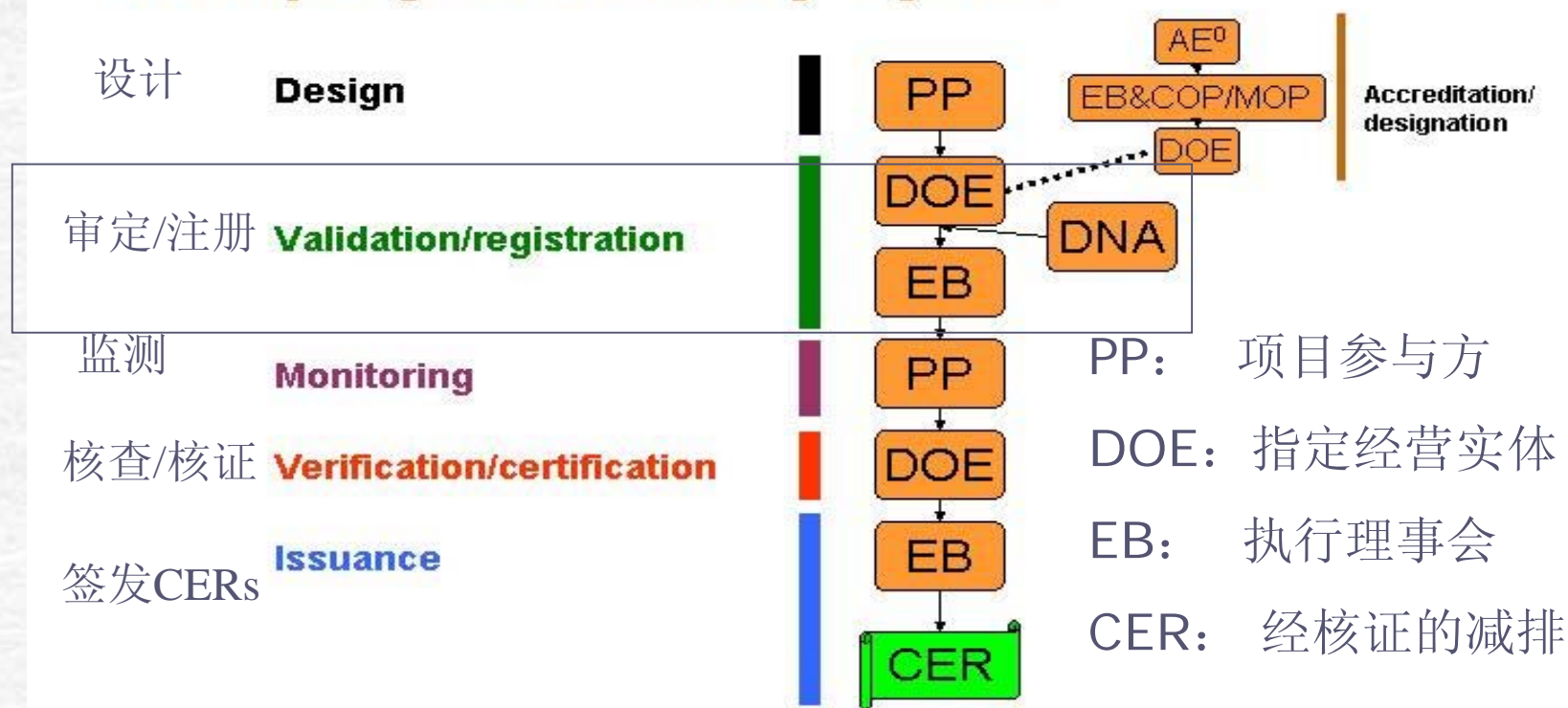
中国资源综合利用协会可再生能源专业委员会

关一松

Chinese Renewable Energy Industries Association (CREIA)
Guan Yisong

审定: Validation

CDM project activity cycle



审定： Validation

审定是指由指定的经营实体对照第17/CP.7号决定、该决定附件及COP/MOP的有关决定所规定的对清洁发展机制合格性的要求，根据清洁发展机制项目设计书(CDM-PDD)，对项目活动进行独立评估的过程。

Validation is the process of independent evaluation of a project activity by a designated operational entity against the requirements of the CDM as set out in decision 17/CP.7 its annex and relevant decisions of the COP/MOP, on the basis of the project design document (CDM-PDD).

已批准的指定经营实体

Designated Operational Entity(DOE) List

目前，世界上共有**5家EB**批准的指定经营实体：

At present, 5 DOEs got approved by EB

- ☛ Japan Quality Assurance Organization (JQA)
- ☛ JACO CDM.,LTD ()
- ☛ Det Norske Veritas Certification Ltd. (DNVcert)
- ☛ TUV Industrie Service GmbH TUV SUD
GRUPPE (TUV Industrie Service GmbH TUV)
- ☛ Societe Generale de Surveillance UK Ltd.
(SGS)

信息截至2005年4月18日

中国第一个完成审定的CDM项目： 内蒙古辉腾锡勒25.8MW风力发电场项目

The first validated CDM project in China: Inner Mongolia Huitengxile
25.8MW wind farm project

审定方：TUV南德意志

Validator: TUV SUD

时间：2004年5月—
2005年4月

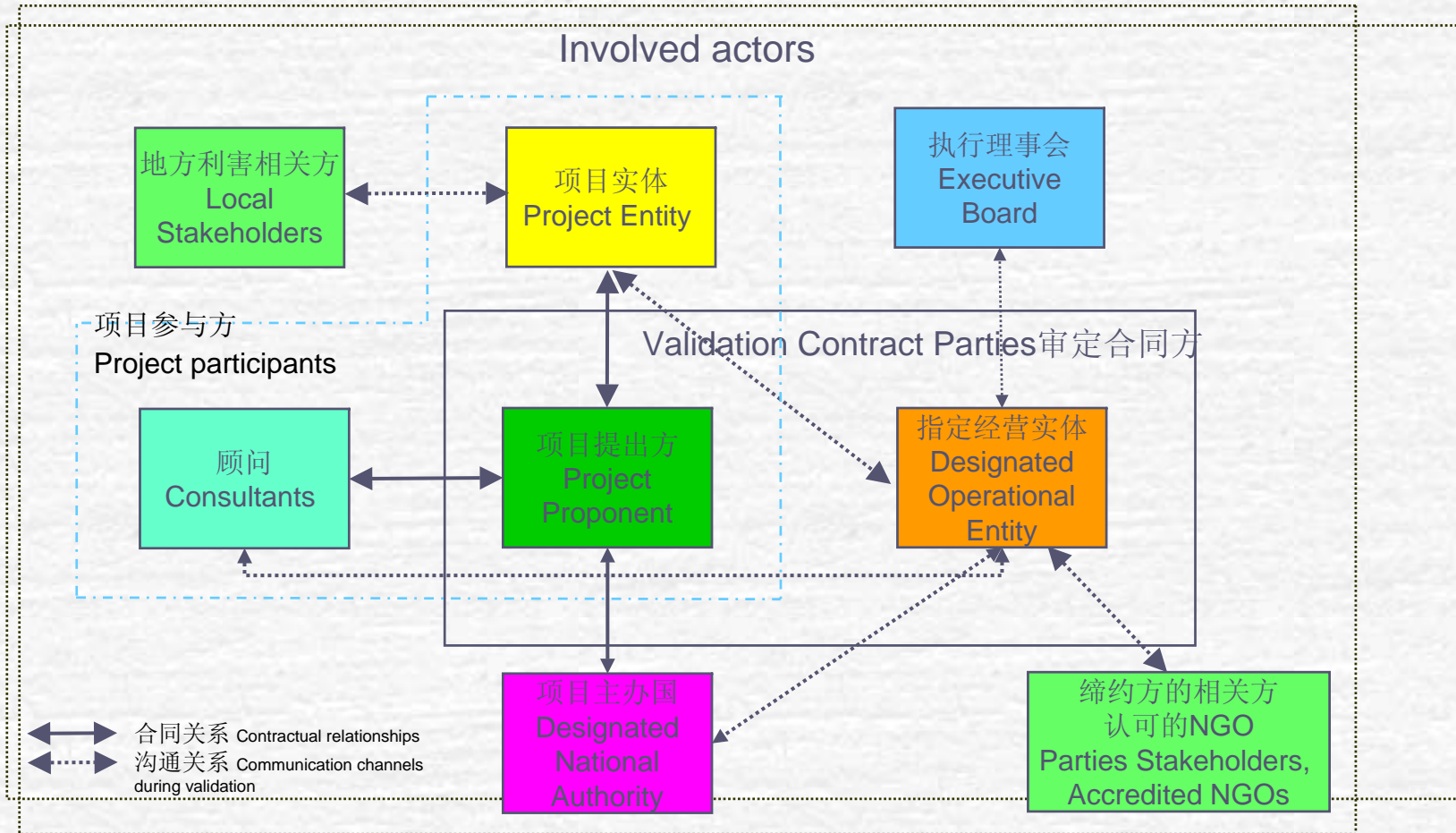
Period: May, 2004 – April, 2005

实地考察：2004年7月
19—22日

Interview period: July 19th-22nd,
2004



CDM审定的参与方： CDM Validation Actors:



CDM 审定的准则： CDM Validation Criteria

- 👉 项目东道国的要求：
Host country criteria
- 👉 京都议定书准则：
Kyoto Protocol criteria
- 👉 马拉喀什协议：
Marrakech Accords modalities
- 👉 CDM执行理事会的决定：
Decisions by the CDM EB
- 👉 项目活动的特定要求：
Project specific criteria
- 👉 方法学的特定准则
Methodology specific criteria

新方法学的审定：

Validation of a new methodology

审定者也应确认项目所用的方法学，以及此方法学是否经**CDM**执行理事会批准。若审定者确认此项目应使用新的方法学，则应将新的方法学送交**CDM**执行理事会批准。

The validator shall determine whether the methodology employed by the project to determine the project's methodology is previously approved by the CDM Executive Board. If the validator determines that the project intends to use a new methodology, the new methodology must be submitted for approval by the CDM Executive Board.

CDM modalities & procedures, paragraph 38

文件评审： Document review

- 👉 文件是否全面符合并遵照UNFCCCC CDM-EB的PDD模版结构和准则要求
The documentation is complete and comprehensive and follows the structure and criteria given in the UNFCCC CDM-EB template
- 👉 基准线和监测计划是否合理并适合该项目的特点
The baseline and monitoring methodologies are justified and appropriate for the specific project
- 👉 有关基准线的假设是保守的和合适的
The assumptions for the baseline are conservative and appropriate
- 👉 对基准线发展的描述已考虑了与项目有关的技术、政治、社会人口、环境以及立法趋势的因素
The description of the baseline development has considered technological, political, socio-demographic, environmental and legal trends of relevance to the project
- 👉 项目文件可以充分证明项目活动的额外性
Additionality of the project is sufficiently demonstrated in the PDD

背景调查： Background Investigations

- 👉 项目使用的技术： Project technology
- 👉 东道国国家的环境法律法规： Environmental legislation in the host country
- 👉 UNFCCC已经接受和注册的相似项目
UNFCCC acceptance and registration of similar projects
- 👉 以前项目参与方与东道国签订的协议等
Previous established agreements, Memorandums of Understanding or Letters of Intent between the project proponent and the host Party
- 👉 东道国可持续发展优先领域和宏观经济政策
Sustainable development priorities and Macro-economic trends in the host country
- 👉 数据来源及可用性
Identification of data sources and data availability
- 👉 项目实施可能遇到的其他问题，如配销、其他电厂、电网因子等
Issues related to project implementation impacts, such as dispatch patterns, marginal power plants, grid factors etc

跟踪访问： Follow up interviews

- 👉 与项目开发者讨论项目的技术实施或项目财务情况，并确认CDM的实施

Discussing the technical implementation or financing of the project with the project developer and justification of CDM application

- 👉 与项目东道国项目指定管理机构讨论，以了解并确认东道国可持续发展战略及要求

Discussing with the host Party's designated national authority in order to understand and validate issues related to sustainable development and national requirements

利益相关方协商过程： Stakeholder Consultation Process

DOE应：
形式公开

a) 建立与UNFCCC CDM网站连接的网站，将项目设计文件并以PDF
；或

The DOE shall:
establish a web site where PDDs shall be made publicly available in PDF
format through a link to the UNFCCC CDM web site; or

b) 将项目设计文件直接放在UNFCCC网站上公开
make PDDs directly publicly available in PDF format on the UNFCCC web.

☞ 审定方应将PDD文件公开30天，邀请缔约方、利益相关方、UNFCCC认可的非政府组织发表意见。协商过程内收到的意见应向公众公开。

The validator shall make the PDD under consideration publicly available and invite Parties, stakeholders and UNFCCC accredited NGOs to comment on the validation requirements within 30 days. Comments received during the 30 day stakeholder consultation process shall be made publicly available.

☞ 审定方应考虑所收到的意见，并要在审定过程中显示出这些意见是如何被处理的。

The validator shall take into account the comments received and shall demonstrate how due account was taken in the validation process of the comments received.

☞ 为确保审定的透明度，审定方应将所收到的意见以及意见的处理方法收集在审定报告的一个独立的附件中。利益相关方提出的需要进一步讨论盒说明的问题要放在审定清单中。

To ensure a transparent validation process, the validator may include the comments received and how the validation has taken due account of the comments received in a separate appendix to the validation report. Issues brought up by stakeholders may be further discussed and elaborated in the project's validation protocol

澄清与改正要求： Clarifications and Corrective Action Requests

- ✎ 审定机构可能识别出部分问题与项目的基准线、实施或运行相关，需进一步改善、研究或增加，以符合UNFCCC或东道国的要求，并获得可信的减排。与项目要求不符合、或可能造成特定项目目标成功构成风险的发现，均开立“改正行动要求”

A validation may identify issues related to the project's baseline, implementation or operations that need to be further elaborated, researched or added to meet UNFCCC or host Party requirements and achieve credible emission reductions. Non-compliance with project requirements, or the identification of a risk to successful fulfilment of the particular project's objectives have been termed "**Corrective Action Request**".

- ✎ 可能对项目结果产生直接影响的假设或项目文件错误

mistakes have been made in assumptions or the project documentation which directly will influence on project results;

- ✎ 项目审定相关要求中部分特性没有满足要求

the requirements deemed relevant for validation of a project with certain characteristics have not been met;

- ✎ 存在着项目不能在UNFCCC注册或减排无法核查或核证的风险

a risk that the project would not be registered by the UNFCCC or that emission reductions cannot be verified and certified.

- ✎ 当信息不够充分、不清楚或不够透明，会开立“澄清要求”

A **Clarification Request** is issued where information is insufficient, unclear or not transparent enough to establish whether a requirement is met.

改正要求的处理：

Resolution of Corrective Action Requests

- 👉 项目的提出者应回应改正行动和澄清要求，并应在审定方完成最终的审定意见前，将所提的问题逐一解决

The project proponent will have to respond to the corrective action and clarification requests and barring exceptions resolve the issue before a final validation opinion is formulated by the validator and every exception shall be justified.

- 👉 项目的提出者有责在一定时间内回应审定方所提出的改正行动要求

It is the responsibility of the project proponent to respond to the corrective action requests identified by the validator in a timely manner.

- 👉 改正行动要求可能造成项目监测计划的修改或基准线的调整，也可能包括对项目设计文件未体现或充分关注问题的进一步调查。

Corrective action requests may lead to amendments to the projects monitoring plan, or adjustments of the selected project baseline also require further investigation of issues that are not considered or appropriately addressed in the project documents.

- 👉 如果改正要求没有在最终审定阶段完成，将可能导致审定方不推荐项目注册，或者导致减排将不能被核查或核证。当然，这样可能会导致最终得到的有保留的审定意见。

If this is not done in the final stages of the validation, it may cause the project not to be recommended for UNFCCC registration, or cause the expected emission reductions not to be subsequently verified and certified. However, such a choice shall be reflected as a qualification in the final validation opinion.

审定报告： Validation Report

👉 审定报告应能包括以下方面： The validation report should reflect:

- 👉 在提交草拟报告后有关项目设计完善的调整情况，例如项目提出者对改正或澄清要求的讨论、回复以及对项目文件的修改情况。

The results from the dialogue and any adjustments made to the project after the draft validation report was submitted.

- 👉 报告应对该项目是否符合UNFCCC有关要求形成结论，

The final validation report should give the final conclusions regarding the projects conformance with relevant UNFCCC requirements.

- 👉 报告应对在项目实施过程中应注意的问题加以强调。

The validation report may raise issues that need to be subsequently addressed during project implementation.

- 👉 报告应包括审定意见，是否同意推荐注册或者不推荐注册的理由

The final validation report shall include a validation opinion which either forms the basis for UNFCCC registration of the project or which explains the reason for non-acceptance if the project is judged not to fulfill validation requirements.

审定意见： Validation Opinion

A. 肯定的审定意见

如果对项目设计、基准线监测计划的评审和进一步评估的结果是项目符合UNFCCC以及项目发起国的要求，则形成肯定的合格审定意见

B. 有保留的审定意见

如果项目符合UNFCCC及项目东道国要求，但是项目在运行、监测和报告上不符合一致性的要求时，项目方应在项目开始时作出调整。首次核查或第一次定期审核时应确定这些有保留的审定意见是否得到了充分的关注

C. 否定的意见

当审定机构无法获得充分适合的证据以判断项目是否符合UNFCCC和项目发起国的要求得到满足时，将形成否定的确认意见。在这种情况下项目将不能被审定。

A. Unqualified validation opinion

An unqualified validation opinion is issued if the review and further assessment of the project design, the baseline and monitoring plan concluded that the project complies with all UNFCCC and host Party requirements. This means that all corrective action requests presented in the draft validation report were satisfactorily resolved.

B. Qualified validation opinion

A qualified validation opinion will be issued when the project meets all UNFCCC and host Party requirements, but does not meet criteria given to provide for consistent project operations, monitoring and reporting. The project developer shall rectify such issues prior to project commencement, and the initial verification or first periodic verification shall determine whether qualifications stated in the validation opinion have been sufficiently addressed.

C. Denial of validation

A denial of validation shall be clearly expressed when the validator is unable to obtain sufficient and appropriate evidence which could confirm that UNFCCC or host Party requirement are met, or where evidence show that such requirement are not met. Hence, the validator will conclude that the project cannot be validated.

审定检查清单： Validation Protocol

- 👉 在对CDM项目进行审定时，检查清单是提高审定全面性和效率的手段

A generic protocol for the validation of CDM projects has been developed to facilitate cost-effective and comprehensive validation of CDM projects.

- 👉 检查清单还能帮助确认人员追踪：

The protocol may also be used during the validation process to assist the validator to keep track of:

- 👉 需要进一步验证/检查的问题

issues to be further verified/ checked,

- 👉 需要项目方澄清的问题

issues to be clarified by the project parties,

- 👉 需要项目方改正的问题

issues to be corrected by the project parties

总结： Summary

- 👉 对核查方来讲，审定报告是核查减排的一个条件，所有在审定之后可能发生的对减排有重要影响的变化都应考虑在内。

For the verifier, the validation report will hence be one of the inputs used for verification of emission reductions, and any changes that have occurred since validation and that have impact on the claimed emission reductions shall therefore be considered.

- 👉 审定方的结论只是对在特定时间和情况下项目符合要求的可能性进行说明

It must be kept in mind that a validation can only tell something about the project's likelihood to comply with requirements and to succeed at a certain point in time and under given circumstances.

注册：Registration

CDM项目注册亦即执行理事会(EB)正式接受一个经审定的CDM项目
The formal acceptance by the EB of a validated project as a CDM project

注册是项目核查、核证及签发项目核证排减量（CERs）的先决条件
The prerequisite for the verification, certification and issuance of CERs related to that project activity.

EB收到注册申请之日8个星期之后视为自动成功，除非参与项目活动的一个缔约方或执行理事会的三名成员（含）以上提请对拟议的CDM项目活动进行复审。（对小规模项目是4个星期）

The registration by the EB is an automatic step unless a review of the proposed CDM project activity is requested within eight weeks by one party involved or three members of the CDM EB (4 weeks for small-scale projects).

注册复审：Registration reviews

EB对注册请求的复审应符合下列条件：

- ☞ 仅针对涉及与审定要求相关的问题进行复审
- ☞ 在提出复审要求后的第二次会议内完成，并将复审的结果和理由通知项目参与方和公众
- ☞ 如果项目被拒绝，复审的费用（约USD4500）则DOE应承担。反之，则由EB承担此笔费用

Such a review by the EB shall be made in accordance with the following provisions:

- ☞ It shall be related to issues associated with the validation requirements;
- ☞ 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.
- ☞ in case of rejection of a project, the costs of a review (estimated at 4500 USD) shall be borne by the DOE. The EB will bear the costs if the project is not rejected.

注册费用：Registration Fees

- ☞ EB会在项目注册阶段收取一笔初始管理费
- ☞ 注册费用乃根据CDM-PDD所提供的信息计算，计入期间的减排量由项目参与方估算并所要求需由DOE确认

- ☞ The EB will charge an initial administration fee at registration stage
- ☞ Registration fee is based on the information provided in CDM-PDD, the level of reductions over the indicated crediting period will be estimated by the project participants and confirmed by the DOE.

入计期间的CO2当量减排年平均吨数（提报/核可） Average tones of CO2 equivalent reductions per year over the crediting period (estimated/approved)	美金 US\$ (*)
<= 15,000	5,000
> 15,000 and <= 50,000	10,000
> 50,000 and <= 100,000	15,000
> 100,000 and <= 200,000	20,000
> 200,000	30,000

已注册的项目 Registered projects:

截至2005年4月18日，共有三个项目注册成功：

Till April 18th, 2005, 3 CDM projects were registered in the world

☛ 巴西Nova Gerar垃圾填埋场项目(2004.11.18)

Nova Gerar: Landfill, Brazil

☛ 洪都拉斯Rio Blanco小型水电项目(2005.1.11)

Rio Blanco, Small-scale hydropower: Honduras

☛ 印度Gujarut HFC23项目 (2005.3.8)

Gujarat, HFC 23, India

补充信息: additional information

- 👉 <http://cdm.ccchina.gov.cn>
- 👉 <http://cdm.unfccc.int/Validation>
- 👉 http://www.ieta.org/VVM/VVM_4.htm