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Methodology Approval Procedure: Carbon Registry-India

(DRAFT) VERSION 1.0.

NETWORK FOR CERTIFICATION AND CONSERVATION OF FORESTS



NCCF

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ABBREVIATIONS

- CR-I: Carbon Registry-India
- CS: Carbon Standard
- ESC: Extended Stakeholder Consultation
- ER: Emissions Reduction
- IMD: Independent Methodology Developer
- IPP: Independent Project Proponent
- MAP: Methodology Approval Procedure
- NCCF: Network for Certification and Conservation of Forests
- VVB: Validation and Verification Body
- VVS: Validation and Verification Standard

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1. Introduction

This document describes the detailed step-by-step procedure for submission, final approval and listing of new methodologies and tools and their subsequent revision under the Carbon Registry-India (CR-I) (hereinafter referred to as the ‘registry’). All new methodologies and tools seeking submission, final approval and listing under the registry shall completely adhere to the relevant procedure described below.

Initially, NCCF shall adopt a ‘bottom-up’ procedure whereby conception, design, development and submission of new methodologies and tools and their subsequent revisions is undertaken by IMDs other than NCCF (and its constituent bodies). In this process, all methodology submissions shall compulsorily undergo stakeholder consultation on the registry website, shall further be subjected to independent assessments by VVBs, and thereafter finally face an appraisal and review by NCCF.

However, a ‘top-down’ procedure may be developed in future whereby conception, design, development and submission of a new methodology and tools and their subsequent revisions could be undertaken by NCCF (and/or its constituent bodies).

2. Scope and Applicability

The procedure described in this document shall be applicable to all Independent Methodology Developers (IMDs), Validation and Verification Bodies (VVBs), NCCF (and its constituent bodies) and all stakeholders, for initial submission and final approval of new methodologies and tools, and other related activities permitted within the purview of the registry.

3. Terms and Definitions

The definitions of terms applicable under the registry have been made available in the Glossary of Terms. Apart from that, the following definitions apply within this document:

- “Shall”: indicates requirements strictly to be followed in order to conform to the document.
- “Should”: indicates that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required. A certification body

can meet these requirements in an equivalent way provided this can be demonstrated and justified.

- “May”: indicates a course of action permissible within the limits of the document.

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4. New Methodology Approval Procedure

The methodology approval procedure for new methodology and tool is summarized using the following process flowchart:

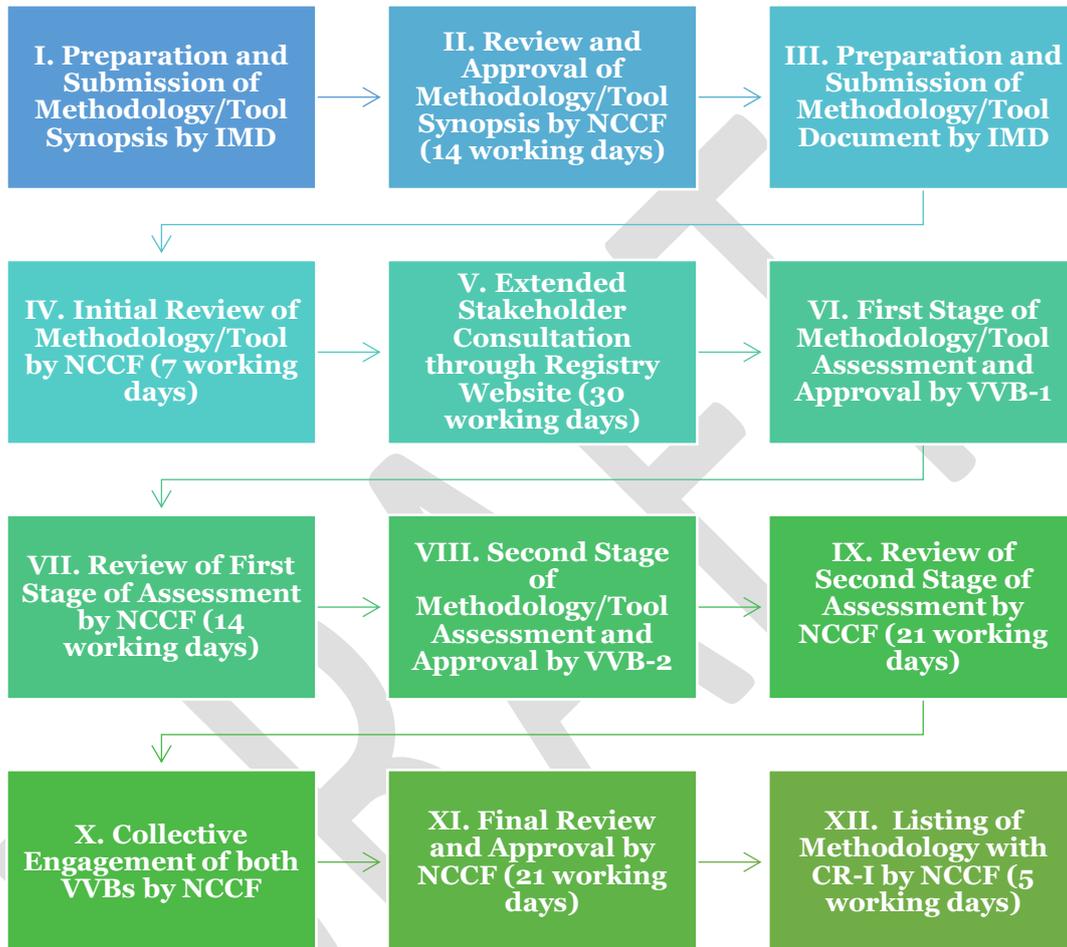


Figure 1: Schematic representation of Methodology Approval Procedure for New Methodology and/or Tool

4.1 Preparation and Submission of Methodology/Tool Synopsis

4.1.1 The Methodology/Tool Synopsis document provides an overall summary of a new proposed Methodology/Tool and is the first documentary item in the process for formulation of a definite Methodology/ Tool for submission and subsequent approval under the registry. It serves as a foundational

document for detailed design and development of the final Methodology/Tool.

- 4.1.2 The IMD shall prepare a Methodology/Tool Synopsis document using the Methodology/Tool Synopsis template available on the registry website adhering to the applicable rules, requirements and procedures prescribed in the Carbon Standard (CS).
- 4.1.3 The Methodology/Tool Synopsis shall be formulated in a lucid and concise manner and shall further completely adhere to the document preparation instructions provided in the Methodology/Tool Synopsis template.
- 4.1.4 After preparation of the Methodology/Tool Synopsis, the IMD shall further submit it using Methodology/Tool Synopsis submission form to NCCF for review through the dedicated online interface.
- 4.1.5 IMD shall pay the fees as per the CR-I fee schedule to NCCF *via* the online interface or as per details provided otherwise.

4.2 Review of Methodology/Tool Synopsis

- 4.2.1 NCCF shall assess the Methodology/Tool Synopsis submitted by IMD, based on the following broad criteria:
 - (i) Expertise and experience of the team designing the Methodology/Tool;
 - (ii) Applicability, adequacy and completeness of key methodology elements- applicability conditions, determination of baseline, demonstration of additionality, quantification of net Emissions Reduction (ER), and monitoring strategy;
 - (iii) Demonstrable extent to which it positively impacts the environment and society;
 - (iv) Whether sectors and/or regions covered by the Methodology/Tool are until now underrepresented by other methodologies and associated projects; and
 - (v) Whether potential projects are awaiting development and approval of Methodology/Tool.
- 4.2.2 The period of review by NCCF shall not be more than 14 working days from the following day of the submission of the Methodology/Tool Synopsis.
- 4.2.3 In case of a positive outcome of the review, NCCF shall approve the Methodology/Tool Synopsis, officially inform the IMD *via* email and further

create a dedicated Methodology/Tool page for the proposal on the registry website.

4.2.4 In case of a negative outcome of the review, the following possibilities arise:

- (i) The review of the Methodology/Tool Synopsis has yielded that the proposed Methodology/ Tool does not qualify for inclusion in the registry and has not been accepted by NCCF for further processing.
- (ii) Clarification is sought, or corrections are required which shall lead to revisions in the Synopsis and subsequently, in the Methodology/Tool design.

4.2.5 In case of occurrence of possibility outlined in step 4.2.4(i), NCCF shall reject the Synopsis and officially inform the IMD *via* email and subsequently terminate the new Methodology/Tool development process. NCCF shall not refund fee or any part thereof paid by the IMD.

4.2.6 In case of occurrence of possibility outlined in step 4.2.4(ii), NCCF shall officially provide its review comments to the IMD *via* email and further request the IMD to submit additional information, and/or the amended document and/or information.

4.2.7 IMD shall further respond by submitting additional information, and/or the amended document and/or information within a stipulated time period (to be decided and further communicated on a case by case basis) to NCCF for review. This dispensation shall be allowed to the IMD only once.

4.2.8 If NCCF is satisfied with the resubmission of the revised Methodology/Tool synopsis, it shall approve the Methodology/Tool Synopsis and officially inform the IMD *via* email.

4.2.9 If NCCF is not satisfied with the resubmission, it shall reject the Methodology/Tool Synopsis and officially inform the IMD *via* email.

4.3 Preparation and Submission of Methodology/Tool Document

4.3.1 The Methodology /Tool Document provides a complete description of all the elements of a new proposed Methodology/Tool seeking approval and listing with the registry.

4.3.2 Based on the approved Methodology/Tool Synopsis, the IMD shall prepare a Methodology/Tool Document using the Methodology Document template/Tool document template available on the registry website

adhering to the applicable rules, requirements and procedures prescribed in the CS.

- 4.3.3 The Methodology/Tool Document shall be formulated in a lucid and concise manner and shall further completely adhere to the document preparation instructions provided in the Methodology Document template/Tool Document template.
- 4.3.4 After preparation of the Methodology/Tool Document, the IMD shall further submit to NCCF the Methodology/Tool Document and other supporting documents, as applicable for completeness check using Methodology/Tool submission form through the dedicated online interface.
- 4.3.5 IMD shall pay the fees as per the fee schedule to NCCF *via* the online interface or as per details provided otherwise.

4.4 Initial Review of Methodology/Tool

- 4.4.1 NCCF shall conduct an Initial Review of the submitted documentation to assess whether all templates and forms have been appropriately filled, and all necessary documents have been provided. It shall further evaluate all submitted documentation to ensure overall consistency in data and information.
- 4.4.2 The period of completeness check shall not be more than 7 working days from the following day of submission of all documents.
- 4.4.3 In case of a positive outcome, the NCCF shall officially inform the IMD *via* email and make the Methodology/Tool Document and the Methodology/Tool Synopsis publicly available through a dedicated Extended Stakeholder Consultation (ESC) page on the registry website.
- 4.4.4 In case of a negative outcome, the following possibilities arise:
 - (i) The initial review has yielded that the submitted Methodology/Tool does not qualify for inclusion in the registry and is not accepted by NCCF for further processing
 - (ii) Further clarification is sought, or corrections are required which shall lead to revision in the Methodology/Tool
- 4.4.5 In case of occurrence of possibility outlined in 4.4.4(i), NCCF shall reject the Methodology/Tool and officially inform IMD *via* email and subsequently terminate the Methodology/Tool development process. NCCF shall not refund the fee or part thereof to the IMD.

- 4.4.6 In case of occurrence of possibility outlined in 4.4.4(ii), NCCF shall officially provide review comments to the IMD *via* email and further request the IMD to submit additional information and/or amended document and/or information.
- 4.4.7 The IMD shall further respond by submitting additional information and/or amended document and/or information within a stipulated time period (to be decided and further communicated on a case to case basis), to NCCF. This dispensation shall be allowed only once to IMD.
- 4.4.8 If NCCF is satisfied with the resubmission, it shall carry out the procedure outlined in the Sub-section 4.4.3. If NCCF is not satisfied with the resubmission, it shall carry out the procedure as outlined in Sub-section 4.4.5

4.5 Extended Stakeholder Consultation (ESC)

- 4.5.1 The Methodology/Tool shall be available on the registry website for a period of 30 days, with the period starting from midnight (IST), subsequent to the day of upload of the Methodology/Tool Document and the Methodology/Tool Synopsis, where to meet ESC requirement, it shall invite public comments and feedback.
- 4.5.2 Comments shall be submitted through email at cri.methodology@nccf.in, and each participant shall provide its name, organization, designation, country name and email address along with the comments/feedback.
- 4.5.3 After the completion of the 30-day ESC period, NCCF shall transmit all comments/feedback to the IMD.
- 4.5.4 The IMD shall justifiably provide an adequate response to each comment/feedback, received during the ESC period and transmitted by NCCF, by performing either one of the following two actions, as applicable:
- (i) Adequately demonstrate that specific comment/feedback is either unsuitable, irrelevant or immaterial.
 - (ii) Adequately modify the proposed Methodology/Tool by responding to and/or incorporating, as applicable, each comment/feedback.
- 4.5.5 VVB shall assess whether all comments/feedback, received during the ESC period and transmitted by NCCF, have been adequately addressed, as

mentioned in Sub-section 4.5.4, by the IMD during the assessment of the Methodology/Tool.

4.6 First Stage of Methodology/Tool Assessment

- 4.6.1 The IMD shall identify, appoint, contract and further engage an eligible VVB for performing the first stage of assessment of the Methodology/Tool and related documentation. IMD shall fill and submit form for appointment of VVB through the dedicated online interface.
- 4.6.2 The VVB, contracted for performing the first stage of Methodology/Tool assessment, also known as the first VVB, shall comply with eligibility criteria for VVBs established in the VVS.
- 4.6.3 The appointment of, and engagement with an eligible first VVB may be done by the IMD any time after the approval of the Methodology Synopsis by NCCF.
- 4.6.4 The IMD shall provide to the first VVB the details of the Methodology/Tool, and related documentation and shall further respond to all findings raised by the first VVB, as needed, during the assessment process.
- 4.6.5 The first VVB shall review and evaluate the Methodology/Tool, and related documentation, in order to ascertain whether the proposed Methodology/Tool complies with all applicable rules and requirements prescribed in the CS and further determine the extent to which the Methodology/Tool meets the criteria outlined in Sub-section 4.2.1.
- 4.6.6 The first VVB shall provide its complete assessment and final opinion in a first Methodology Assessment Report/Tool Assessment Report prepared using the Methodology Assessment Report template/Tool Assessment Report template available on the registry website.
- 4.6.7 The first Methodology Assessment Report/Tool Assessment Report shall be formulated in a lucid and concise manner and shall further completely adhere to the document preparation instructions provided in the Methodology Assessment Report/Tool Assessment Report template and rules and requirements prescribed in the VVS.
- 4.6.8 The complete first Methodology Assessment Report/Tool Assessment Report, which shall adhere to the requirements listed in Sub-section 4.5.5, shall only be made available for review to NCCF by the first VVB after the completion of the 30-day ESC period.

4.7 Review of First Stage of Methodology/Tool Assessment

- 4.7.1 The first VVB shall submit to NCCF latest versions of the first Methodology Assessment Report/Tool Assessment Report, the Methodology/Tool and all related documents for review of first stage of Methodology/Tool assessment through the dedicated online interface using submission of Assessment Report form available on the registry website.
- 4.7.2 NCCF shall review and assess the first Methodology Assessment Report/Tool Assessment Report, the Methodology/Tool and all related documents, corresponding to the first stage of Methodology/Tool assessment, submitted by the first VVB.
- 4.7.3 During this process, NCCF shall ascertain whether the assessment conducted by the first VVB was complete, thorough and in strict adherence to the rules and requirements of CS and VVS.
- 4.7.4 In case NCCF identifies inadequacies in the first assessment process, it shall officially provide review comments to the VVB *via* email and further request the VVB to submit additional information and/or amended document and/or information.
- 4.7.5 The VVB shall respond to the review comments by submitting additional information and/or amended document and/or information within a stipulated timeline (to be decided and further communicated on a case to case basis) to NCCF.
- 4.7.6 NCCF shall approve the first Methodology Assessment Report/Tool Assessment Report only after all review comments have been sufficiently addressed by the first VVB and it has further ascertained that the assessment conducted by the first VVB is complete, exhaustive and in conformance to the applicable rules and requirements of CS and VVS.
- 4.7.7 NCCF shall further provide the outcome of the review process to the first VVB *via* email.
- 4.7.8 The review of documents submitted by the first VVB to NCCF shall take no more than 14 working days excluding the time required by the VVB to address comments by NCCF and submission of additional information and/or amended documentation and/or information.

4.8 Identification and Appointment of Second VVB

- 4.8.1 To strengthen impartiality and further enhance its overall quality and rigour, the procedure shall involve an additional assessment by a second independent VVB.
- 4.8.2 NCCF shall identify, appoint, contact and engage an eligible VVB for performing the second stage of assessment of the methodology and related documentation. However, IMD shall also fill form as per the VVB identified by NCCF and submit through dedicated online interface.
- 4.8.3 The VVB, contracted for performing the second stage of Methodology/Tool assessment, also known as the second VVB, shall comply with eligibility criteria for VVBs established in the VVS.
- 4.8.4 The appointment of an eligible second VVB may be done any time after approval of the Methodology Synopsis by NCCF, and appointment of the first VVB by IMD. However, the engagement with second VVB shall only be initiated after approval of the first Methodology Assessment Report/Tool Assessment Report by NCCF.
- 4.8.5 The IMD shall enter into contract with the appointed second VVB and shall be further liable for payment of fees to the second VVB, for provision of assessment services, as per the terms and conditions of the agreement signed between the two parties.

4.9 Second Stage of Methodology/Tool Assessment

- 4.9.1 The IMD shall submit to the second VVB latest versions of the first Methodology Assessment Report/Tool Assessment Report and Methodology/Tool, as well as all other related documentation and shall further respond to all findings raised by the second VVB during the assessment process.
- 4.9.2 The second VVB shall review and evaluate the first Methodology Assessment Report/Tool Assessment Report, the Methodology/Tool, and all other related documentation, to ascertain whether the proposed Methodology/Tool complies with all applicable rules and requirements prescribed in the CS and further determine the extent to which the Methodology/Tool meets the criteria outlined in Sub-section 4.2.1.

- 4.9.3 The second VVB shall provide its complete assessment and final opinion in a second Methodology Assessment Report/Tool Assessment Report, using the Methodology Assessment Report/Tool Assessment Report template available on the registry website.
- 4.9.4 The second Methodology Assessment Report/Tool Assessment Report shall be formulated in a lucid and concise manner and shall further completely adhere to the document preparation instructions provided in the Methodology Assessment Report/Tool Assessment Report template and rules and requirements prescribed in the VVS.
- 4.9.5 The complete second Methodology Assessment Report/Tool Assessment Report shall also adhere to the requirements listed in Sub-section 4.5.5.

4.10 Review of Second Stage of Methodology Assessment

- 4.10.1 The second VVB shall submit to NCCF latest versions of the second Methodology Assessment Report/Tool Assessment Report, the Methodology/Tool and all other related documents for review of second stage of Methodology/Tool assessment, through the online dedicated interface using submission of methodology assessment form.
- 4.10.2 NCCF shall review and evaluate the second Methodology Assessment Report/Tool Assessment Report, the Methodology/Tool and all other related documents, corresponding to the second stage of Methodology/Tool assessment, submitted by the second VVB.
- 4.10.3 During this process, NCCF shall ascertain whether the assessment conducted by the second VVB is complete, exhaustive and in strict adherence to the rules and requirements of CS and VVS.
- 4.10.4 In case NCCF identifies inadequacies in the second assessment process, it shall officially provide review comments to the VVB *via* email and further request the VVB to submit additional information and/or amended document and/or information.
- 4.10.5 The VVB shall respond to the review comments by submitting additional information and/or amended document and/or information within a stipulated time period to be decided and further communicated on a case to case basis, to NCCF.
- 4.10.6 NCCF shall approve the second Methodology Assessment Report/Tool Assessment Report only after all review comments have been sufficiently

addressed by the second VVB, and further ascertain that the assessment conducted by the second VVB is complete, exhaustive and in conformance to the applicable rules and requirements of CS and VVS.

4.10.7 NCCF shall further provide the outcome of the review process to the second VVB *via* email.

4.10.8 The review of documents submitted by the second VVB to NCCF shall take no more than 21 working days, excluding the time required by the VVB to address comments by NCCF and submission of additional information and/or amended documentation and/or information.

4.11 Collective Engagement with Both VVBs

4.11.1 Due to sequential nature of the VVB assessment processes, it is possible that final assessment opinions provided by both VVBs are not based upon the same version of the proposed Methodology/Tool. Thus, to maintain robustness, adequacy, and further establish consistency between both assessment opinions, the IMD, after approval of second Methodology Assessment Report/Tool Assessment Report by NCCF, shall concurrently engage both VVBs to ensure that first VVB has revised its assessment report to incorporate all changes in the Methodology/Tool and related documentation arising because of the second assessment process.

4.11.2 If requested by the IMD, the NCCF shall make all efforts to arrive at a suitable resolution in case both VVBs are unable to achieve unanimity in opinion concerning closure of findings, agreement on final Methodology/Tool and related documentation.

4.12 Final Review and Approval

4.12.1 The IMD shall submit to NCCF latest versions of the Methodology Assessment Reports/Tool Assessment Reports, the Methodology/Tool, Methodology Approval Request form/Tool Approval Request form and all related documents for final review by NCCF, through the online interface.

4.12.2 The IMD shall prepare and complete the Methodology Approval Request form submit it through the dedicated online interface.

4.12.3 NCCF shall review and assess the final submission of IMD comprising Methodology/Tool Approval request form, Methodology Assessment

Reports/ Tool Assessment Reports, the Methodology/Tool and all other related documents, submitted by the IMD.

4.12.4 During this process, NCCF shall ascertain whether:

- (i) The submitted Methodology/Tool is in conformance with the rules and requirements of CS.
- (ii) Both assessments conducted are complete, exhaustive and in conformance to the rules and requirements of CS and VVS.

It shall further confirm whether both assessment opinions of both the VVBs are complete, adequate and consistent.

4.12.5 In case NCCF identifies inadequacies in the Methodology/Tool documentation and/or the assessment processes, it shall officially provide review comments to the IMD *via* email and further request the IMD to submit additional information and/or amended document and/or information.

4.12.6 As a response to the review comments of NCCF, the IMD shall engage both VVBs, as required, and make amendments in the methodology, related documentation and the assessment reports.

4.12.7 The IMD shall respond to the review comments of NCCF by submitting additional information and/or amended document and/or information within a stipulated time period to be decided and further communicated on a case to case basis, to NCCF.

4.12.8 NCCF shall approve the Methodology/Tool only after all review comments have been sufficiently addressed by IMD and VVBs, as applicable, and shall further ascertain that the assessments conducted were complete, exhaustive and in conformance to the applicable rules and requirements prescribed in the CS and VVS.

4.12.9 NCCF shall further provide the outcome of the final review process to the IMD and both the VVBs *via* email.

4.12.10 NCCF shall not approve the Methodology/Tool under following situations:

- (i) Either one or both the assessment reports produced by VVBs do not approve the methodology.
- (ii) If either or both assessment reports and/or the Methodology/Tool do not comply with the rules and requirements.
- (iii) The overall quality of the Methodology/Tool is not consistent with existing benchmarks as decided by NCCF on case to case basis.

- (iv) The Methodology/Tool is antithetical to the overall philosophy (objectives and principles) of the registry and may negatively impact its integrity.

4.12.11 The review and final approval of documents related to Methodology/Tool revision submitted by IMD to NCCF shall take no more than 21 working days, excluding the time taken by the IMD to provide clarifications to comments of NCCF and submission of additional information and/or amended documents and/or information.

4.13 Listing of Methodology

4.13.1 After final approval by NCCF, the Methodology/Tool shall be listed on the same dedicated page on the website created after the approval of the Methodology Synopsis.

4.13.2 NCCF shall further assign a reference number to the Methodology/Tool and update the Methodology/Tool webpage by uploading the final Methodology/Tool and assessment reports.

4.13.3 The Methodology/Tool shall be made available for public view and for use by IPPs to develop projects.

4.13.4 Listing of approved Methodology/Tool on the registry website shall not take more than 5 working days starting from the day subsequent to the day of final approval by NCCF.

4.14 Withdrawal of Approved Methodology (WAM)

4.14.1 IMD may choose to initiate the process of Withdrawal of the Approved Methodology (WAM) and associated tools at any point of time by submission of a withdrawal of approved methodology request form through the dedicated online interface. IMD shall cite the reasons of withdrawal.

4.14.2 NCCF shall review the submitted form and any other document submitted. The process shall take no more than 14 working days.

4.14.3 After successful review of the request for withdrawal, including clearing of the outstanding dues on the part of both IMD and NCCF, NCCF shall designate the methodology and associated tools as withdrawn and reflect these as such on the interface.

4.14.4 NCCF shall move the methodology and associated tools from the list of approved methodologies to the list of withdrawn methodologies. The effective date of withdrawal of methodology shall be the date of approval of request of WAM.

4.14.5 Projects already registered with the existing methodologies may continue to use the withdrawn methodology, but no new projects shall be registered using the withdrawn methodology.

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5. Pre-approved Methodology Approval Pr

The registry allows for approval and listing of Methodologies/Tools, which are already approved and listed with a similar international/national/regional carbon offset programme(s). Such methodologies shall be termed as ‘pre-approved’ methodologies, and these will only require due review and assessment by NCCF. In a scenario where the pre-approved Methodology/Tool is not approved by NCCF, IMD shall fully adhere to procedure prescribed for approval and listing of new methodology for approval and listing with the registry.

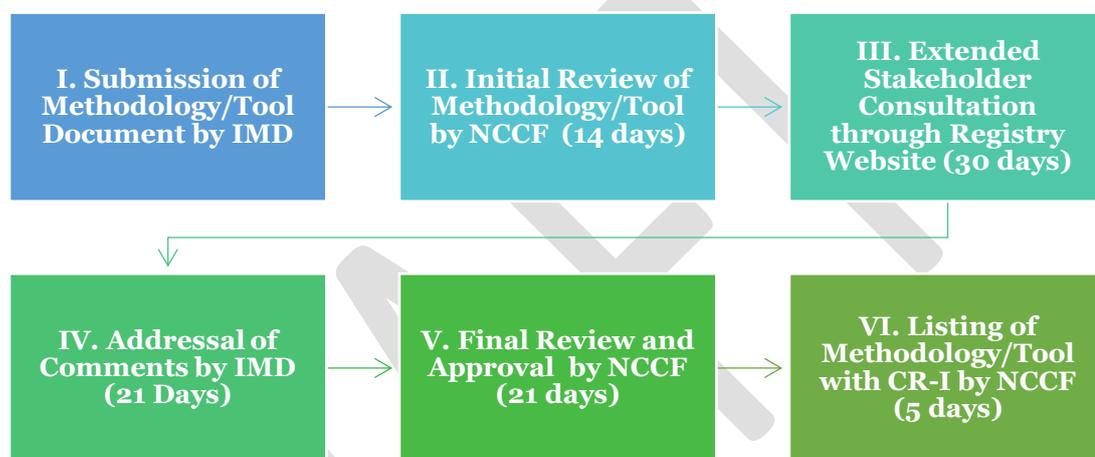


Figure 2: Schematic representation of procedure for approval of pre-approved methodology

5.1 Submission of Methodology/Tool

- 5.1.1 IMD shall submit the latest versions of the Methodology/Tool as per the format provided in the Methodology Document template. IMD shall complete the Methodology/Tool submission form available and submit along Methodology/Tool using online interface.
- 5.1.2 Methodology/Tool document shall be formulated in a lucid and concise manner and shall completely adhere to rules and requirements as prescribed in CS and the document preparation instructions provided in the Methodology Document template/Tool Document template. Pre-approved Methodology/Tool shall not be required to submit Methodology/Tool synopsis.

5.1.3 IMD shall pay fees as per the fee schedule to NCCF *via* online interface or as per details provided otherwise.

5.2 Initial review of Methodology/Tool

5.2.1 NCCF shall conduct Initial Review of the submitted documentation to assess whether all templates and forms have been appropriately filled, and all necessary documentation has been provided. It shall further evaluate all submitted documentation to ensure overall consistency in the data and information.

5.2.2 NCCF shall also assess the submitted methodology based on the following criteria:

- (i) Expertise and experience of the team designing the Methodology/Tool;
- (ii) Applicability, adequacy and completeness of key methodology elements– applicability conditions, determination of baseline, demonstration of additionality, quantification of net Emissions Reduction (ER) or removal enhancement and monitoring strategy;
- (iii) Demonstrable evidence to which it positively impacts environment and society;
- (iv) Whether sectors/regions covered by the Methodology/Tool are till now underrepresented by other methodologies and associated projects; and
- (v) Whether potential projects are awaiting development and approval of Methodology/Tool;

5.2.3 The period of initial review shall not be more than 14 working days from the day of submission of all documents.

5.2.4 In case of a positive outcome, NCCF shall officially inform IMD *via* email and make dedicated Methodology/Tool page on the registry website. Further, NCCF shall make publicly available Methodology/Tool document through a dedicated Extended Stakeholder Consultation (ESC) page on the registry.

5.2.5 In case NCCF is not satisfied with the submission, the following possibilities arise:

- (i) The initial review has yielded that the submitted Methodology/Tool does not qualify for inclusion in the registry and has not been accepted by NCCF for further processing.
 - (ii) Further clarification is sought, or corrections are required which shall lead to revision in the Methodology/Tool design
- 5.2.6 In case of occurrence of possibility outlined in 5.2.5(i), NCCF shall reject the Methodology/Tool and officially inform IMD *via* email and subsequently terminate Methodology/Tool development process.
- 5.2.7 In case of occurrence of possibility outlined in 5.2.5(ii), NCCF shall officially provide review comments to the IMD *via* email and further request the IMD to submit additional information and/or amended document and/or information.
- 5.2.8 The IMD shall further respond by submitting additional information and/or amended document and/or information within a stipulated time period (to be decided and further communicated on a case to case basis) to NCCF. This dispensation shall be allowed to IMD only once.
- 5.2.9 If NCCF is satisfied with the resubmission, it shall carry out the procedure outlined in the Sub-section 5.2.4. If NCCF is not satisfied by the resubmission, it shall carry out the procedure as outlined in 5.2.6

5.3 Extended Stakeholder Consultation

- 5.3.1 The Methodology/Tool shall be subjected to Extended Stakeholder Consultation (ESC) for a period of 30 days, with the period starting from midnight (IST), subsequent to the day of upload of Methodology/Tool on the registry website. The comments shall be submitted *via* email on cri.methodology@nccf.in and each participant shall provide its name, name of organization, designation, country name and email address along with the comments/feedback.
- 5.3.2 After completion of the 30-day ESC period, NCCF shall transmit all comments and feedback to IMD

5.4 Addressal of comments

- 5.4.1 IMD shall justifiably provide an adequate response to each comment/feedback, received through ESC process, and transmitted by

NCCF. The IMD shall address the ESC comments/feedback by complying with either of the two following actions:

- (i) Adequately demonstrate that specific comment/feedback is either unsuitable, irrelevant or immaterial.
- (ii) Adequately modify the proposed Methodology/Tool by responding to and/or incorporating, as applicable, each comment/feedback

5.4.2 Period for addressal of comments shall not be more than 21 working days from the day of transmission of comments/feedback by NCCF to IMD

5.5 Final Review and Approval

5.5.1 The IMD shall submit to NCCF latest versions of the Methodology/Tool, using Methodology Approval Request form duly completed accompanied by all related documents for final review to NCCF, through the online interface.

5.5.2 NCCF shall review and assess the final submission of IMD comprising Methodology/Tool Approval request form, the Methodology/Tool and all other related documents, submitted by the IMD.

5.5.3 During this process, NCCF shall ascertain whether the submitted Methodology/Tool is in conformance with the rules and requirements of CS, and also that the comments/feedback have been adequately addressed by the IMD.

5.5.4 In case NCCF identifies inadequacies in the Methodology/Tool documentation, it shall officially provide review comments to the IMD *via* email and further request the IMD to submit additional information and/or amended document and/or information taking into account the review comments.

5.5.5 The IMD shall respond to the review comments of NCCF by submitting additional information and/or amended document and/or information within a stipulated time period (to be decided and further communicated on a case to case basis) to NCCF.

5.5.6 NCCF shall approve the Methodology/Tool only after all review comments have been sufficiently addressed by the IMD.

5.5.7 NCCF shall further provide the outcome of the final review process to the IMD *via* email.

5.5.8 NCCF shall not approve the Methodology/Tool under following situations:

- (i) The overall quality of the Methodology/Tool is not consistent with existing benchmarks as decided by NCCF on case to case basis.
- (ii) The Methodology/Tool is antithetical to the overall philosophy (objectives and principles) of the registry and may negatively impact its integrity.

5.5.9 The review and final approval of documents related to Methodology/Tool revision submitted by IMD to NCCF shall take no more than 21 working days, excluding the time taken by the IMD to provide clarifications on comments of NCCF, and submission of additional information and/or amended documents and/or information.

5.5.10 In a scenario where Methodology/Tool is rejected for approval and listing with the registry, IMD shall follow the complete procedure as prescribed for new Methodology/Tool for approval and listing of the methodology.

5.6 Listing of Methodology

5.6.1 After final approval by NCCF, the Methodology/Tool shall be listed on the same dedicated page on the website created after the approval of initial review of Methodology/Tool.

5.6.2 NCCF shall further assign a reference number to the Methodology/Tool and update the Methodology/Tool webpage by uploading the final version of the Methodology/Tool

5.6.3 The Methodology/Tool shall be made available for public view and for use by IPPs to develop projects.

5.6.4 Listing of approved Methodology/Tool on the registry website shall not take more than 5 working days starting from the day subsequent to the day of final approval by NCCF.

6. Methodology Revision Approval Procedure

IMD may propose modification(s)/change(s), termed as revision, to its existing, approved and listed methodology(ies) registered with the registry. For this, the proposal for revision shall undergo the evaluation procedure as described in this Section.

The entire Methodology/Tool Revision procedure is summarized in the following process flowchart:

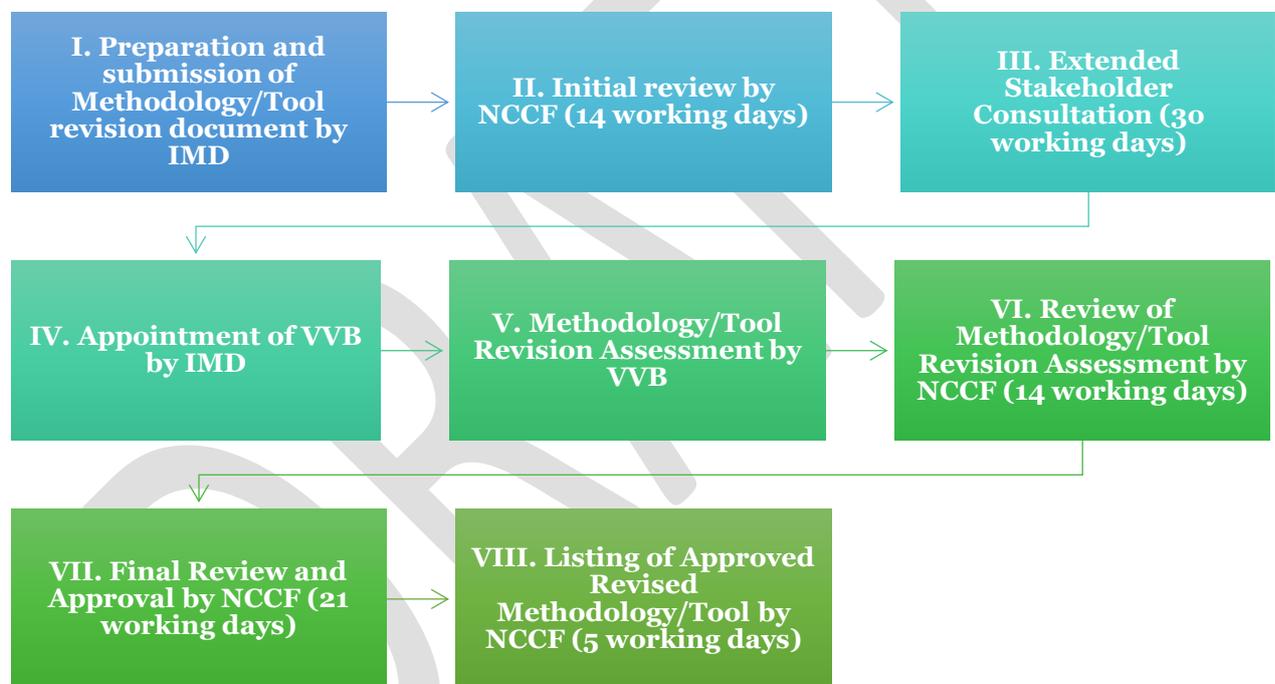


Figure 3: Schematic representation of Methodology Approval Procedure for Methodology/Tool Revision

6.1 Preparation and Submission of Methodology/Tool Revision Document

6.1.1 IMD shall prepare Methodology/Tool Revision Document using the Methodology Revision template/Tool Revision template available on the registry website, for revision in one or multiple design elements of the

Methodology and/or Tool, while adhering to rules, requirements and procedures described in the CS.

- 6.1.2 Methodology/Tool revision document shall be formulated in lucid and concise manner and shall further completely adhere to document preparation instructions as described in the Methodology Revision template/Tool Revision template.
- 6.1.3 IMD shall submit the Methodology/Tool revision documents using the Methodology/Tool revision submission form, along with the relevant documents, through the dedicated online interface, for the completeness check and initial review by NCCF.
- 6.1.4 IMD shall pay the fees as applicable, to NCCF as per CR-I fee schedule through the dedicated online interface or as details provided otherwise.

6.2 Initial Review by NCCF

- 6.2.1 NCCF shall conduct an Initial Review of the submitted documentation for Methodology Revision and/or Tool revision to assess whether all templates and forms have been appropriately filled, and that all necessary documents have been provided. It shall further evaluate all submitted documentation to ensure overall consistency in data and information.
- 6.2.2 Further, NCCF shall preliminarily evaluate the proposed revision based on the following criteria:
 - (i) Relevance and robustness of changes proposed to sectoral scope, geographical scope and scale for the future projects;
 - (ii) Relevance, robustness and completeness of changes proposed to GHG and source(s), sink(s) and reservoir(s) are within the project boundary;
 - (iii) Applicability, robustness, relevance and completeness of the changes proposed to data and parameters to be monitored and the monitoring strategy;
 - (iv) Relevance, robustness and completeness of changes proposed to baseline and additionality;
 - (v) Applicability, robustness, completeness and relevance of changes proposed to key methodology elements- applicability conditions, determination of baseline, demonstration of additionality, quantification of net ERs, monitoring strategy; and
 - (vi) Demonstrable extent to which changes proposed would positively impact the environment and society;

- 6.2.3 In case of a positive outcome, the NCCF shall officially inform the IMD *via* email and make the Methodology Revision Document/Tool Revision Document publicly available through a dedicated Extended Stakeholder Consultation (ESC) page on the registry website.
- 6.2.4 In case of a negative outcome, the NCCF shall officially provide review comments to the IMD *via* email and further request the IMD to submit additional information or amended document and/or information.
- 6.2.5 The IMD shall further respond by submitting additional information or amended document and/or information within a stipulated time period (to be decided and further communicated on a case to case basis).
- 6.2.6 If NCCF is satisfied with the resubmission, it shall carry out the procedure outlined in the Sub-section 6.2.3.
- 6.2.7 If NCCF is not satisfied with the resubmission during the initial review, the proposed revisions to Methodology/Tool shall not qualify for inclusion in the registry and shall not be accepted by NCCF for further processing.
- 6.2.8 In case of occurrence of possibility outlined in Sub-section 6.2.7, NCCF shall reject the Methodology/Tool revision request and officially inform the IMD *via* email and further terminate the Methodology/Tool revision process.
- 6.2.9 In case of possibility outlined in Sub-section 6.2.3, NCCF shall determine if the proposed revision is minor or major. If the proposed changes, modify the 'concept' of the methodology, IMD shall go through the complete procedure applicable for approval of New Methodology/Tool.
- 6.2.10 The process of initial review shall not be more than 14 working days, excluding the time taken by IMD to address comments provided by NCCF and submission of additional information and/or amended documents and/or information.
- 6.2.11 In case of rejection of Methodology/Tool during the initial review, NCCF shall not be liable to refund fee (complete or partial)

6.3 Extended Stakeholder Consultation

- 6.3.1 Methodology Revision document/Tool Revision document shall be available on registry website for a period of 30 days, with the period starting

from midnight (IST), subsequent to the day of upload of Methodology Revision document/Tool Revision document, where to meet ESC requirement, it shall invite public comments and feedback. NCCF shall confirm IMD of upload of Methodology/Tool and start of ESC *via* email.

- 6.3.2 Comments, suggestions, feedback received on the revision document *via* email on cri.methodology@nccf.in and deemed relevant by NCCF, shall be transmitted at the end of the ESC period to IMD for consideration.
- 6.3.3 After completion of 30-day ESC period, NCCF shall transmit all the comments/feedback to IMD.
- 6.3.4 The IMD shall justifiably provide an adequate response to each comment/feedback, received during ESC period and transmitted by NCCF, by performing either one of the following two actions, as applicable:
 - (i) Adequately demonstrate that specific comment/feedback is either unsuitable, irrelevant or immaterial.
 - (ii) Adequately modify the proposed Methodology Revision document/Tool Revision Document by responding to and/or incorporating, as applicable, each comment/feedback.
- 6.3.5 VVB shall assess whether all the comments/feedback, received during ESC period and transmitted by NCCF, have been adequately addressed by IMD, as mentioned in 6.3.4

6.4 Appointment of VVB

- 6.4.1 The IMD shall identify, appoint, contract and engage an eligible VVB for performing the assessment of the proposed Methodology Revision/Tool Revision and related documentation.
- 6.4.2 IMD shall also fill and submit appointment of VVB form through the dedicated online interface.
- 6.4.3 The VVB, contracted for performing the assessment of proposed Methodology Revision/Tool Revision, shall comply with eligibility criteria for VVBs established in the VVS.
- 6.4.4 The appointment and engagement of an eligible VVB may be done any time after the date of submission of request by IMD for Methodology Revision/Tool Revision to NCCF.

6.5 Methodology/Tool Revision Assessment

- 6.5.1 The IMD shall provide to the VVB complete proposal for revision in the Methodology Revision document/Tool Revision document along with other supporting documentation. IMD shall further respond to all queries and findings of the VVB during the assessment process.
- 6.5.2 The VVB shall review and evaluate the proposed Methodology/Tool revision, to ascertain whether the proposed Methodology/Tool revision complies with all applicable rules and requirements prescribed in the CS, VVS and further determine the extent to which the Methodology Revision/Tool Revision corresponds to the criteria mentioned in the Sub-section 6.2.3.
- 6.5.3 The VVB shall provide its complete assessment and final opinion in the Methodology Revision Assessment Report/Tool Revision Assessment Report, using the Methodology Revision Assessment Report/ Tool Revision Assessment Report template available on the registry website.
- 6.5.4 The Methodology Revision Assessment Report/Tool Revision Assessment Report shall be formulated in a lucid and concise manner by the VVB, and shall further completely adhere to the document preparation instructions provided in the Methodology Revision Assessment Report/Tool Revision Assessment Report template and rules and requirements prescribed in the CS and VVS.
- 6.5.5 The Methodology Revision Assessment Report/Tool Revision Assessment Report shall be put in public domain by the VVB only after the completion of 30-day ESC period

6.6 Review of Methodology/Tool Assessment

- 6.6.1 The VVB shall submit to NCCF latest versions of the Methodology Revision Assessment Report/Tool Revision Assessment Report, the Methodology/Tool revision document and all related documents for review of Methodology Revision Assessment/Tool Revision assessment using Submission of assessment report form, through the dedicated online interface.
- 6.6.2 NCCF shall review and evaluate the Methodology Revision Assessment Report/Tool Revision Assessment Report, assessment report form of the

VVB, Methodology/Tool revision document and all related documents, corresponding to Methodology/Tool revision assessment, submitted by the VVB.

- 6.6.3 During this process, NCCF shall ascertain whether the assessment conducted by the VVB was complete, thorough and in strict adherence to the rules and requirements of CS and VVS.
- 6.6.4 In case NCCF identifies inadequacies in the assessment process, it shall officially provide its review comments to the VVB *via* email and further request the VVB to submit additional information and/or amended document and/or information.
- 6.6.5 The VVB shall respond to the review comments by submitting additional information and/or amended document and/or information within a stipulated time period (to be decided and further communicated on a case to case basis).
- 6.6.6 NCCF shall approve the Methodology Revision Assessment Report/Tool Revision Assessment Report only after all review comments have been sufficiently addressed by the VVB, and NCCF has further ascertained that the assessment conducted by the VVB is complete, exhaustive and in conformance to the applicable rules and requirements of CS and VVS.
- 6.6.7 NCCF shall further provide the outcome of the review process to the VVB *via* email.
- 6.6.8 The review of documents submitted by the VVB to NCCF shall take no more than 14 working days, excluding the time required by the VVB to address comments by NCCF and submission of additional information and/or amended documentation and/or information.

6.7 Final Review and Approval

- 6.7.1 The IMD shall submit to NCCF the latest versions of the Methodology Revision document/Tool Revision document, Methodology Revision Assessment report/Tool Revision Assessment report and other related documents using Methodology Revision Approval Request form through the online interface.
- 6.7.2 NCCF shall review and evaluate the final submission by the IMD.

- 6.7.3 During this process, NCCF shall ascertain whether:
- (i) The submitted Methodology Revision/Tool Revision are in conformance to the rules and requirements of CS.
 - (ii) Assessment conducted by VVB is complete, exhaustive and in conformance with the rules and requirements of CS and VVS.
- 6.7.4 In case NCCF identifies inadequacies in the Methodology Revision documentation/Tool Revision documentation and/or the assessment processes, it shall officially provide its review comments to the IMD *via* email and further request the IMD to submit additional information and/or amended document and/or information.
- 6.7.5 As a response to the review comments, the IMD shall engage the VVB, as required, and make amendments in the methodology, related documentation and/or the assessment reports.
- 6.7.6 The IMD shall respond to the review comments by submitting additional information and/or amended document and/or information within a stipulated time period (to be decided and further communicated on a case to case basis).
- 6.7.7 NCCF shall approve the Methodology Revision/Tool Revision only after all review comments have been sufficiently addressed by IMD and VVB, as applicable, and also after it has further ascertained that the assessment conducted was complete, exhaustive and in conformance with the applicable rules and requirements prescribed in the CS.
- 6.7.8 NCCF shall further provide the outcome of the final review process to the IMD and VVB *via* email.
- 6.7.9 NCCF shall not approve the Methodology Revision/Tool Revision under following situations:
- (i) The assessment report produced by VVB does not support the methodology and/or tool revision.
 - (ii) Assessment report and/or the Methodology Revision/Tool Revision do not comply with the rules and requirements.
 - (iii) The overall quality of the Methodology Revision/Tool Revision is not consistent with existing benchmarks as decided by the NCCF on case to case basis.
 - (iv) The Methodology Revision/Tool Revision is antithetical to the overall philosophy (objectives and principles) of the registry and may negatively impact its integrity.

- 6.7.10 The review and final approval of documents submitted by IMD for final approval of Methodology/Tool revision by NCCF shall not take more than 21 working days, excluding the time taken by the IMD to provide clarifications to comments of NCCF and providing additional information and/or amended documents and/or information.

6.8 Listing of Methodology Revision/Tool Revision

- 6.8.1 After final approval by NCCF, the Revised Methodology/Tool shall be listed on the dedicated Methodology page on the website.
- 6.8.2 NCCF shall further make appropriate changes to the version number of the Methodology/Tool and update the Methodology/Tool dedicated page on the registry website by uploading the Methodology Revision/Tool Revision and respective assessment reports.
- 6.8.3 In case of a major change, version number shall increase by a whole number (*example* ver2.0 to ver3.0), while in case of a minor revision, the version number shall move to the next decimal point (*example* Ver2.0 to Ver2.1). For classification of 'major' and 'minor' changes, Sub-section 6.2.10 may be referred to.
- 6.8.4 The Methodology/Tool shall be put in public domain on the registry website for use by IPPs to develop projects.
- 6.8.5 Along with the latest version of the methodology and/or tool, previous version of the same may also be listed if currently in use by a registered project
- 6.8.6 Listing of approved revised version of Methodology/Tool on the registry website shall not take more than 5 working days from the day subsequent to the day of final approval by NCCF.

6.9 Withdrawal of Request for Methodology/Tool Revision

- 6.9.1 At any time before the decision to accept or reject the Methodology/Tool revision request is made by NCCF, IMD may withdraw the Methodology/Tool revision request by submitting the withdrawal of Methodology/Tool revision request form on the template available on the

registry website for withdrawal of request for revision to the NCCF through the online interface.

- 6.9.2 After successful review of the submitted form for withdrawal, NCCF shall designate the Methodology revision /Tool Revision request as withdrawn and reflect it as such on the online interface. NCCF shall not refund the fee or part thereof.

6.10 Editorial Revision

- 6.10.1 IMD may propose editorial revision, *i.e.*, changes in the language related to certain words, phrases, grammar, etc. which do not change the interpretation of the elements of the methodology, instead, bring more clarity to the specific elements of the methodology.
- 6.10.2 IMD may submit editorial changes to NCCF *via* the online interface using submission of editorial revision form available on the registry website.
- 6.10.3 After successful review of the proposed editorial changes, NCCF shall list the new version of the methodology on the dedicated methodology page. The version number would move the next decimal point (*example* from Ver2.1 to Ver2.2).

DOCUMENT HISTORY

Version	Date	Description
Draft Ver1.0	08.06.2020	Changes made as per comments and feedback received during online consultation, deliberations during Technical Working Group meetings and comprehensive internal review.
Draft Ver0.2	11.07.2019	Provision added for revision of approved methodology and/or tool.
Draft Ver0.1	03.05.2019	The CR-I Methodology Approval Procedure describes the detailed step-by-step procedure for submission, final approval and listing of new methodologies and tools under CR-I.

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