

**International Civil Aviation Organization (ICAO) Carbon Offsetting and Reduction
Scheme for International Aviation (CORSA)**

Application Form for Emissions Unit Programmes

CONTENTS

Section I: About this Assessment

Background
Translation
Disclaimer

Section II: Instructions

Submission and contacts
Form basis and cross-references
Application Form completion
Application and Assessment scope
Emissions Unit Programme Registry Attestation
“Linked” certification schemes
Disclosure of programme application forms and public comments

Section III: Application Form

PART 1: General information
PART 2: Programme summary
PART 3: Emissions Unit Programme Design Elements
PART 4: Carbon Offset Credit Integrity Assessment Criteria
PART 5: Programme comments

Section IV: Signature

SECTION I: ABOUT THIS ASSESSMENT

Background

ICAO Member States and the aviation industry are implementing the Carbon Offsetting and Reduction Scheme for International Aviation (CORSA). Together with other mitigation measures, CORSA will help achieve international aviation's aspirational goal of carbon neutral growth from the year 2020.

Aeroplane operators will meet their offsetting requirements under CORSA by purchasing and cancelling CORSA eligible emissions units. The ICAO Council determines CORSA eligible emissions units upon recommendations by its Technical Advisory Body (TAB) and consistent with the CORSA Emissions Unit Eligibility Criteria (EUC).

In March 2019, the ICAO Council unanimously approved the CORSA Emissions Unit Eligibility Criteria for use by TAB in undertaking its tasks¹. TAB's assessment of emissions units programmes is undertaken annually². ICAO Council decisions that take account of these recommendations are contained in the ICAO Document *CORSA Eligible Emissions Units*³.

ICAO invites emissions unit programmes⁴ to apply for the third cycle of assessment by the TAB, which will involve collecting information from each programme through this programme application form and supplementary materials and requested evidence.

Through this assessment, the TAB will develop recommendations on the list of eligible emissions unit programmes (and potentially project types) for use under the CORSA, which will then be considered by the ICAO Council.

This form is accompanied by, and refers to, Appendix A "*Supplementary Information for Assessment of Emissions Unit Programmes*", containing the EUC and *Guidelines for Criteria Interpretation*. These EUC and Guidelines are provided to inform programmes' completion of this application form, in which they are cross-referenced **by paragraph number**.

This form is also accompanied by Appendix B "*Programme Assessment Scope*", and Appendix C "*Programme Exclusions Scope*", which request all applicants to identify the programme elements⁵ they wish to submit for, or exclude from, TAB's assessment.

CORSA Eligible Emissions Units Programmes must also complete Appendix D of this application, "*Emissions Unit Programme Registry Attestation*" in line with the instructions contained in Appendix D. Applicant

¹ Available on the ICAO CORSA website: <https://www.icao.int/environmental-protection/CORSA/Pages/CORSA-Emissions-Units.aspx>

² Recommendations from 2019 TAB assessment: <https://www.icao.int/environmental-protection/CORSA/Pages/TAB2019.aspx>

Recommendations from 2020 TAB assessment: <https://www.icao.int/environmental-protection/CORSA/Pages/TAB2020.aspx>

³ Available on the ICAO CORSA website: <https://www.icao.int/environmental-protection/CORSA/Pages/CORSA-Emissions-Units.aspx>

⁴ "Emissions Unit Programme", for the purposes of TAB's assessment, refers to an organization that administers standards and procedures for developing activities that generate offsets, and for verifying and "issuing" offsets created by those activities. For more information, please review the TAB FAQs on the ICAO CORSA website: <https://www.icao.int/environmental-protection/CORSA/Pages/TAB.aspx>

⁵ At the "activity type" level (e.g., sector(s), sub-sector(s), and/or project "type(s)")

organizations are strongly encouraged to submit this information by the deadline for submitting all other application materials for the current assessment cycle.

This form also requests *evidence of programme procedures or programme elements*. These evidentiary documents enable TAB to a) confirm that a given procedure or programme element is *in place*, b) more fully comprehend the programme's summary responses, and c) archive the information as a reference for potential future assessments. Programme responses to this application form will serve as the primary basis for the assessment. Such assessment may involve e.g. clarification questions, live interview(s) with TAB, and a completeness check of the application, as further requested.

Translation: The working language of the assessment process is English. Translation services are not available for this process. If the programme documents and information are not published in English, the programme should fully describe in English (*rather than summarize*) this information in the fields provided in this form, and in response to any additional questions. Where this form requests *evidence of programme procedures*, programmes are strongly encouraged to provide these documents in English, to provide for accuracy and comprehension. Where this is not possible due to time constraints or document length, the programme may provide such documents in their original language in a readily translatable format (e.g., Microsoft Word). Those programmes that need to translate documents prior to submission may contact the ICAO Secretariat regarding accommodation.

Disclaimer: The information contained in the application, and any supporting evidence or clarification provided by the applicant including information designated as “business confidential” by the applicant, will be provided to the members of the TAB to properly assess the programme and make recommendations to the ICAO Council. The application and such other evidence or clarification will be made publicly available on the ICAO CORSIA website for the public to provide comments, except for information which the applicant designates as “business confidential”. The applicant shall bear all expenses related to the collection of information for the preparation of the application, preparation and submission of the application to the ICAO Secretariat and provision of any subsequent clarification sought by the Secretariat and/or the members of the TAB. Under no circumstances shall ICAO be responsible for the reimbursement of such or any other expenses borne by the applicant in this regard, or any loss or damages that the applicant may incur in relation to the assessment and outcome of this process.

SECTION II: INSTRUCTIONS

Submission and contacts

A programme is invited to complete and submit the form, including accompanying evidence and with required appendices, through the ICAO CORSIA website no later than close of business on **18 February 2021**. Within seven business days of receiving this form, the Secretariat will notify the programme that its form was received.

If the programme has questions regarding the completion of this form, please contact ICAO Secretariat via email: officeenv@icao.int. Programmes will be informed, in a timely manner, of clarifications provided by ICAO to any other programme.

Form basis and cross-references

Questions in this form are derived from the CORSIA emissions unit eligibility criteria (EUC) and any *Guidelines for Criteria Interpretation* introduced in Section I (above). To help inform the programme's completion of this form, each question includes the paragraph number for its corresponding criterion or guideline that can be found in [Appendix A "Supplementary Information for Assessment of Emissions Unit Programmes"](#).

Application Form completion

The programme is expected to respond to all questions in this application form at the time of application submission. TAB cannot initiate its assessment of applications in which this information is not provided in full as requested in this section. Failure to provide complete information may result in delays to the application's assessment.

A "complete" response involves three components: 1) a written summary response, 2) selection of the "YES" check box if a procedure is fully *in place*, and 3) supporting evidence. Information is also requested, as in "4)" below, where an applicant is considering or undertaking revisions to a programme procedure in question.

- 1) **Written summary responses**: The programme is encouraged to construct written summary responses in a manner that provides for general comprehension of the given programme procedure, independent of supporting evidence. TAB will confirm each response in the supplementary evidence provided by the programme. Please note that written summary responses should be provided in all cases—supporting evidence (described in *c*) below) should not be considered as an alternative to a complete summary response.
- 2) **"YES" check box**: Each question is accompanied by a check box for the programme to indicate the status of a given procedure or programme element. Here, programmes should accurately represent the status of its procedures and programme elements. Please note that an unselected check box does not, in itself, disqualify an application from further assessment; it will be taken into account when TAB reviews the programme's accompanying information.

The programme *should* select the "YES" check box if a procedure or element is *in place*.

The programme *should not* select the check box in the following instances:

- a) The procedure in question is *not relevant to the programme's application* (if, e.g., the question applies to activity(ies) that the programme is not submitting for assessment, or an alternative approach is taken to the procedure or element in question). In such cases, please provide justification in the written summary response.
- b) The procedure in question *is not yet in place, but the programme is planning to introduce such a*

procedure. In such cases, please describe any such plans in the written summary response, according to form instructions.

- c) The procedure in question *is not in place*. In such cases, please provide justification in the written summary response.
- 3) **Supporting evidence:** Most questions in this form request *evidence of programme procedures or programme elements*. Such evidence may be found in programme standards, requirements, or guidance documents; templates; programme website or registry contents; or in some cases, in specific methodologies. To help manage file size, the programme should limit supporting documentation to that which directly substantiates the programme's statements in this form.

Regarding such requests for evidence, programmes are expected to substantiate their responses in any of these ways (**in order of preference**):

- a) web links to supporting documentation included along with the written summary response to each given question; with instructions for finding the relevant information within the linked source (i.e. identifying the specific text, paragraph(s), or section(s) where TAB can find evidence of the programme procedure(s) in question);
- b) copying/pasting information directly into this form (no character limits) along with the written summary response;
- c) attaching supporting documentation to this form at the time of submission, with instructions for finding the relevant information within the attached document(s);

EXAMPLE of preferred approach to providing supporting evidence that could meet expectations for complete responses to a question:

“The Programme ensures its consistency with this requirement by requiring / undertaking / etc. the following:

[Paragraph(s) introducing and summarizing specific programme procedures relevant to question]

The full contents of these procedures can be found in [Document title, page X, Section X, paragraphs X-X]. This document is publicly available at this weblink: [weblink].”

- 4) **Programme revisions:** Where the programme has any plans to revise the programme (e.g., its policies, procedures, measures, tracking systems, governance or legal arrangements), including to enhance consistency with a given criterion or guideline, please provide the following information in response to any and all relevant form question(s):
- a) Proposed revision(s);
 - b) Process and proposed timeline to develop and implement the proposed revision(s);
 - c) Process and timeline for external communication and implementation of the revision(s).

Application and assessment scope

The programme may elect to submit for TAB assessment all, *or only a subset*, of the activities supported by the programme. The programme is requested to identify, in the following Appendices, the activities that it wishes to

submit for, or exclude from, TAB’s assessment:

In **Appendix B** “*Programme Assessment Scope*”, the programme should clearly identify, at the “activity type” level (e.g., sector(s), sub-sector(s), and/or programme/project “type(s)”), elements that the programme **is submitting for TAB’s assessment** of CORSIA eligibility; as well as the specific methodologies, protocols, and/or framework(s) associated with these programme elements; which *are* described in this form.

In **Appendix C** “*Programme Exclusions Scope*”, the programme should clearly identify, at the “activity type” level (e.g., sector(s), sub-sector(s), and/or programme/project “type(s)”), any elements the programme **is not submitting for TAB’s assessment** of CORSIA eligibility, which *are not* described in this form; as well as the specific methodologies, protocols, and/or framework(s) associated with these programme elements.

Emissions Unit Programme Registry Attestation

In **Appendix D** “*Emissions Unit Programme Registry Attestation*”, the programme should provide the information relating to programme registry functionality that is referred to in the attestation and its attachment. Both the programme representative of an emissions unit programme, and the administrator or authorized representative of the registry designated by the programme, should review and attest to the accuracy of this information and their acceptance of the terms, preferably at the time of application.

“Linked” certification schemes

This application form should be completed and submitted exclusively on behalf of the programme that is described in Part I of this form.

Some programmes may supplement their standards by collaborating with other schemes that certify, e.g., the social or ecological “co-benefits” of mitigation. The programme can reflect a linked scheme’s procedures in responses to this form, where this is seen as enhancing—i.e. going “above and beyond”—the programme’s own procedures.

For example, the programme may describe how a linked scheme audits sustainable development outcomes; but is not expected to report the linked scheme’s board members or staff persons.

Programmes should clearly identify any information provided in this form that pertains to a linked certification scheme and/or only applies when a linked certification scheme is used.

Disclosure of programme application forms and public comments

Applications, including information submitted in Appendices B, C, and D, as well as other information submitted by applicants will be publicly available on the ICAO CORSIA website, except for materials which the applicants designate as business confidential.

The public will be invited to submit comments on the information submitted, including regarding consistency with the emissions unit criteria (EUC), through the ICAO CORSIA website, for consideration by the TAB in its assessment.

SECTION III: APPLICATION FORM

PART 1: General information

A. Programme Information

Programme name: CERCARBONO

Administering Organization⁶: CERCARBONO

Official mailing address: Calle 7 Sur #42-70. Office 1707. Medellín, Colombia

Telephone #: (+57) (4) 5898310

Official web address: <https://www.cercarbono.com/>

B. Programme Administrator Information

Full name and title: Álvaro Vallejo Rendón

Employer / Company (*if not programme*): CERCARBONO

E-mail address: avallejo@cercarbono.com

Telephone #: (+57) 3197849621

C. Programme Representative Information (if different from Programme Administrator)

Full name and title: Carlos Trujillo Echeverri

Employer / Company (*if not Programme*): CEO

E-mail address: ctrujillo@cercarbono.com

Telephone #: (+57) 3113678388

D. Programme Senior Staff / Leadership (e.g., President / CEO, board members)

List the names and titles of programme's senior staff / leadership, including board members:

BOARD MEMBERS

- Andrés Correa
- Alejandro Celis
- Víctor Henriquez

GENERAL MANAGEMENT

⁶ Name of the business, government agency, organization, or other entity that administers the Emissions Unit Programme, *if different from "Programme Name"*.

- Carlos Trujillo, CEO

SECRETARIAT

- Monica Posada, Administrative Secretary
- Luisa Lopera, Administrative Secretary

PROGRAMME DEVELOPMENT DIRECTION

- Álvaro Vallejo Rendón, ProgrammeDevelopment Director

TECHNICAL DIRECTION

- Catalina Romero, Technical Development Director
- Hernán Carlino, External energy consultant
- William Rodríguez, External consultant of Waste management and energy sectors
- Miguel Freyermuth, External consultant of Waste management and energy sectors
- Martín Pérez, External forestry consultant

COMMERCIAL DIRECTION

- Natalia Arango, Chief Commercial Officer

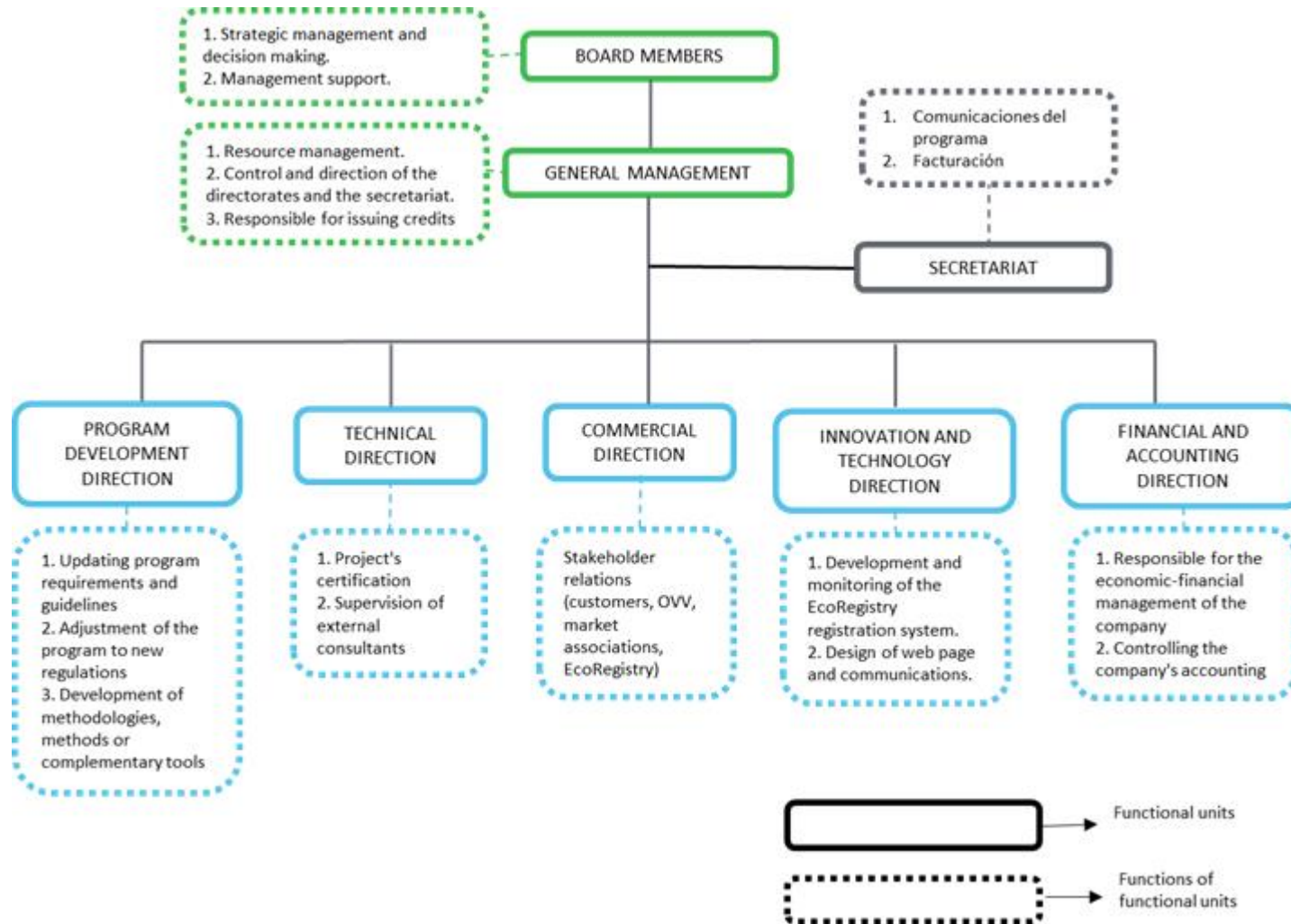
INNOVATION AND TECHNOLOGY DIRECTION

- Santiago Arboleda, Communications Manager
- Omar Salgado, Senior Programmer
- Juan David Piedrahita, Senior Programmer

FINANCIAL AND ACCOUNTING DIRECTION

- Carenth Yulieth Macias, Accounting Director
- Daniela Rosa Hernandez, Accounting assistant

Provide an organization chart (in the space below or as an attachment) that illustrates, or otherwise describes, the functional relationship a) between the individuals listed in D; and b) between those individuals and programme staff / employees; and c) the functions of each organizational unit and interlinkages with other units.



PART 2: Programme summary

Provide a summary description of your programme

CERCARBONO was founded in 2016 when its partners understood and determined that climate change is the most important environmental problem facing humanity. Therefore, it aims to contribute to the solution of this problem by offering services within the reach of different stakeholders and economic sectors. Its business mission is aligned with the belief that the more people and organizations are involved in the search for this solution, the easier it will be to achieve an optimal level of sustainable development in the world.

CERCARBONO is a private voluntary carbon certification programme that offers certification and registration of ex post offset credits emissions, facilitating and guaranteeing individuals, companies and the general public the registration of projects that generate Greenhouse Gases (GHG) reductions and removals and the emission of carbon credits, called CARBONCER helping in this way to boost the carbon market.

The certification programme CERCARBONO began its structuring in 2018, operation started in the market for Colombian carbon based on a protocol that defines the procedures and requirements supporting removals or GHG reductions achieved by mitigation efforts that had as an end-use objective, the non-causation of the carbon tax that prevails in the Colombian context. The protocol is based on the ISO 14064-1: 2018; ISO 14064-2: 2019; ISO14064-3: 2019 and ISO 14065: 2013 standards, which gives it a global structure to function under the requirements of international voluntary markets.

One of the main objectives of CERCARBONO is to align the climate change mitigation goals established both nationally and internationally to the requirements of the program, as a guarantee of legal compliance of the projects that are part of the program.

CERCARBONO has a registration system that complies with all the rigor required by the carbon market, guaranteeing security and transparency of all projects that are part of the program. In order to promote the dynamics of the carbon market, generating trust through transparency in its actions and providing greater accessibility through the use of technologies that facilitate the management and access to information. The registration platform is based on Blockchain technology to guarantee the transparency and traceability of the project registration and certification processes.

PART 3: Emissions Unit Programme Design Elements

Note—where “evidence” is requested throughout *Part 3* and *Part 4*, the programme is expected to provide web links to documentation and to identify the specific text, paragraph(s), or section(s) where TAB can find evidence of the programme procedure(s) in question. If that is not possible, then the programme may provide evidence of programme procedures directly in the text boxes provided (by copying/pasting the relevant provisions) and/or by attached supporting documentation, as recommended in “SECTION II: INSTRUCTIONS—*Form Completion: Supporting Evidence*”.

Note—“*Paragraph X.X*” in this form refers to corresponding paragraph(s) in Appendix A “Supplementary Information for Assessment of Emissions Unit Programmes”.

Note—Where the programme has any plans to revise the programme (e.g., its policies, procedures, measures, tracking systems, governance or legal arrangements), including to enhance consistency with a given criterion or guideline, provide the following information in response to any and all relevant form question(s):

- Proposed revision(s);
- Process and proposed timeline to develop and implement the proposed revision(s);
- Process and timeline for external communication and implementation of the revision(s).

Question 3.1. Clear methodologies and protocols, and their development process

Provide *evidence*⁷ that the programme’s qualification and quantification methodologies and protocols are *in place* and *available for use*, including where the programme’s existing methodologies and protocols are publicly disclosed: (*Paragraph 2.1*)

As established in section 10.2 of the CERCARBONO certification protocol, the programme allows the use of methodologies and their components, as well as complementary methods, modules or tools (always implementing their latest version) developed within the framework of ISO 14064-3: 2018. These include the:

- Approved by the UNFCCC including those of the Clean Development Mechanism (CDM),
- Verified by an independent third party, which include those from certification programs or carbon standards that are in accordance with this protocol,
- Recognized by the national government in the field of climate change mitigation and the
- Own generated by CERCARBONO, consulted publicly and reviewed by a third party.

In CERCARBONO's web site there is a list of accepted methodologies, both those of CDM and those developed by the programme itself. When using methodologies approved by the CDM, the use or not of the modules or tools complementary to these must be justified. See the list of approved methodologies [here](#)

⁷ For this and subsequent “evidence” requests, evidence should be provided in the text box (e.g., web links to documentation), and/or in attachments, as recommended in “SECTION II: INSTRUCTIONS—*Form Completion*”.

Regarding the certification protocol of CERCARBONO it is public in the certification tab of the web page, in the regulatory documents table. See [here](#)

In CERCARBONO web page, there is a section related to the public consultations of the different versions of the protocol and of the methodologies developed by the program. In each of the consultations carried out, a report is presented that gathers all the comments received during the respective public consultation. See [here](#) the above mentioned

Summarize the programme's process for developing further methodologies and protocols, including the timing and process for revision of existing methodologies: (*Paragraph 2.1*)

Any methodology, method, module or tool that is not in the list of approved ones but that fulfills the characteristics required by CERCARBONO, can be put to consideration by the certification programme through a request at info@cercarbono.com. In this way, CERCARBONO has established within its procedures, a document about the approval of new and existing methodologies.

CERCARBONO generates this document in order to establish the process by which new or already developed methodologies are approved. This last group corresponds to those methodologies that have been approved in other schemes and that could be implemented under the CERCARBONO voluntary certification program. The necessary steps for approvals of the methodologies are as follows:

Approval of the development of a new methodology:

1. Application for approval:
The developer of a new methodology must submit the request for approval
2. Preliminary evaluation:
This evaluation allows the developer of the new methodology to determine the convenience of presenting it to the CERCARBONO voluntary certification program.
3. Delivery of the methodology:
the methodology should be sent to info@cercarbono.com with the subject "Proposed methodology", which should include the following parameters: a) Name of the methodology. b) Names of the people or company in charge of the development of the methodology. c) Brief summary of the methodology d) Definitions and terms specific to the methodology that are not included in the programme definitions and that are relevant to the understanding of the methodology. e) Conditions of applicability. f) Period of accreditation, where applicable. g) Monitoring parameters and measurement frequency. h) Baseline scenario. i) Project activity. j) Project Scenario. k) Emission sources and leakage, where applicable. l) Other considerations and restrictions
4. Review of the methodology:
The CERCARBONO technical committee will carry out an in-depth review of the proposed methodology in a period of approximately 20 days, depending on its complexity
5. Public consultation:
After defining the final version of the methodology and after all actions or observations have been

successfully implemented, a public consultation will be held for stakeholders for a period of approximately 30 days.

6. Final review, approval and publication:

The developer must provide CERCARBONO with the latest version of the methodology, which will be revised again to be approved or not. When the methodology has been approved by CERCARBONO, it will be published and included in the accepted list within its certification programme.

Approval process methodology of another scheme

1. Request for approval:

The developer must submit the request for approval at info@cercarbono.com. The last version of the methodology document and the link where it is published must be attached.

2. Review, approval and publication:

The methodology presented for approval will go through a review by the CERCARBONO technical committee, to finally approve or not its use and be included within the methodologies approved by the programme.

If the methodology has not previously gone through a public consultation process, even if it has been approved by another scheme, it is necessary before the approval and publication phase that the methodology be released for public consultation.

Provide *evidence of the public availability* of the programme's process for developing further methodologies and protocols: (*Paragraph 2.1*)

The document "[Process for the approval of methodologies under the voluntary carbon certification programme at CERCARBONO](#)" is available in the certification section of the CERCARBONO website.

Question 3.2. Scope considerations

Summarize the level at which activities are allowed under the programme (e.g., project based, programme of activities, jurisdiction-scale): (*Paragraph 2.2*)

According to Section 8 (scope) of the certification protocol, the project activities allowed under the programme can be presented at project or at programme level. At **project level**, it includes the different actions or activities carried out for specific topics that lead to the removal or reduction of GHG emissions. At **programme level**, it comprises a set of related projects, grouped or not grouped, which can be executed sequentially or in parallel to respond or not to government or sector plans.

According to the amount of GHG removal or reduction (including destruction, displacement and avoidance) achieved by the project during the duration of the project, they can be considered in one of the two types of scale covered by CERCARBONO.

Project Type 1: those that remove or reduce (also destroy, displace and avoid) 10,000 or more tons of CO₂e, on average per year.

Project Type 2: those that remove or reduce (also destroy, displace and avoid) less than 10,000 tons of CO₂e, on average per year.

Summarize the eligibility criteria for each type of offset activity (e.g., which sectors, project types, and geographic locations are covered): (*Paragraph 2.2*)

Eligibility is defined in the CERCARBONO Protocol as follows:
 For PRR-GEI/AR, the eligibility requirements are defined according to the selected methodology.
 For PRR-GEI/REDD+, eligibility is defined according to the methodology accepted or established by CERCARBONO.
 For PRR-GHG other than PRR-GHG/AR or REDD, this section does not apply.
 In the case of PRR-GEI/REDD+, CERCARBONO Methodology states the following:
“The eligibility of the area for a PRR-GHG / REDD + is based on the analysis of causes and agents of deforestation or forest degradation and on the feasibility of changing the behavioral trajectories of their direct or indirect causes. The conditions that the PRR-GHG / REDD + must meet include that: • The areas where it is developed must be forest or be areas of forestry aptitude for the establishment of restoration processes. The definition of forest corresponds to that established in the CERCARBONO Protocol, which is aligned with that established in the international context and adapted in the national context, available in the definitions section of this document.”

Provide *evidence* of the Programme information defining a) level at which activities are allowed under the Programme, and b) the eligibility criteria for each type of offset activity, including its availability to the public: (*Paragraph 2.2*)

CERCARBONO information related to the level at which activities are allowed is defined in the programme, and the eligibility criteria for each type of compensation activity are presented in Section 8 of the Certification Protocol, which defines the scope of the programme. The eligibility criteria for each type of compensation activity are defined according to the selected methodology, in accordance with the provisions of section 10.2 of the Protocol.

The [Certification Protocol](#) is publicly available in our website under the certification tab.

Question 3.3. Offset credit issuance and retirement procedures

Are procedures in place defining how offset credits are... (<i>Paragraph 2.3</i>)	
a) issued?	<input checked="" type="checkbox"/> YES
b) retired / cancelled?	<input checked="" type="checkbox"/> YES
c) subject to discounting (<i>if any</i>)?	<input checked="" type="checkbox"/> YES
Are procedures in place defining... (<i>Paragraph 2.3</i>)	
d) the length of crediting period(s)?	<input checked="" type="checkbox"/> YES
e) whether crediting periods are renewable?	<input checked="" type="checkbox"/> YES

Provide evidence of the procedures referred to in a) through e) (if any, in the case of “c”), including their availability to the public:

a) Issued

Section 15 of the certification protocol refers to the requirements of the certification process. The steps necessary for a GHG mitigation initiative to generate an emission of the credits are described, the steps are as follows:

- 1) Creating an account (section 15.1 of the protocol):
It is necessary to create an account in the programme's registration platform, EcoRegistry; because the entire certification and credit traceability process is done through this platform.
Account creation is done directly on the EcoRegistry website. Go to the account creation link [here](#)
- 2) Activation of the account Retired/cancelled (section 15.2 of the protocol):
Once the users create the account, the operators of the EcoRegistry platform are in charge of activating the account of all the types of users available, after reviewing the lists of Money Laundering and Financing of Terrorism (LA/FT). Account activation takes between 2 and 5 working days.
- 3) Establishment of contracts (section 15.3 of the protocol):
The holder or developer of the project will contact CERCARBONO to access the services of its certification program, through the signing of a contract established by the programme.
- 4) Uploading of the project support documents (section 15.4 of the protocol):
Once user accounts have been activated, they are responsible for providing documents throughout the certification process.
Once the holder of the initiative or the developer of the project has uploaded the information related to the project, the EcoRegistry platform will generate an identification number (ID) to the project that is related to the project in the EcoRegistry project list and that is identified throughout the certification process.
- 5) Uploading of documents supporting the validation (section 15.5 of the protocol):
Stage in which the documents that support the validation process are uploaded to the EcoRegistry platform.
- 6) Official registration of the project (section 15.6 of the protocol):
This stage is automatically carried out on the EcoRegistry platform when all documents are complete and duly approved by the corresponding user in the stage, when the validation has been completed by an authorized VVB and when the GHG-PRR has not been registered in this or any other certification program.
In this way, the GHG-PRR appears in the official list of projects in validated status.
- 7) Uploading of verification support documents (section 15.7 of the protocol):
Stage in which the documents that support the verification process are uploaded to the EcoRegistry platform.
- 8) Credits emission and registration certification (section 15.8 of the protocol):
Once the certifier user has reviewed and verified all information requested for the credits emission process, a certificate of the carbon credit emission from the GHG removal or removal will be sent to

the initiative owner, which will also be publicly available in EcoRegistry.

This certificate relates the amount of credits issued under a unique serial number generated by EcoRegistry, a determined period of validity, an indefinite validity of the carbon credits issued, a total duration of the project, as well as the VVBs that validated and verified the project.

- For this topic CERCARBONO has a document on procedures for the issue and retire of CARBONCER and double accounting prevention policies which is attached to this application

b) Retired / cancelled

Once the credits are issued, the exact certified amount is generated in the project holder's account. The user who owns the initiative or the project developer who has the respective authority may use the GHG emission reduction certificate to retire credits on behalf of the end user, who consumes them to offset the carbon footprint generated by their activities. A carbon credit can only be retired once and will be deducted from the total number of certificates issued for the mitigation initiative.

This process generates a retire certificate, which will be generated in electronically signed PDF format and which can be printed without losing its authenticity, as soon as it is verified against the original issued electronically by EcoRegistry, which can be accessed at the electronic address provided by EcoRegistry using the verification code it assigns.

The information about each Project is always available on EcoRegistry's homepage www.ecoregistry.io. All the projects are listed, with the general information, location, pictures, as well as the supporting evidence for each stage. Once the credits are generated, the quantity of credits available, as well as the information about the redemption of each credit is shown on the homepage, so that anyone may Audit the quantity of offsets being issued and retired. The system will provide a serial number for each specific tone of GHG emissions that has been reduced. The serial number contains all the important information about the Project, the entities involved in the process.

- For this topic CERCARBONO has a document on procedures for the issue and retire of CARBONCER and double accounting prevention policies which is attached to this application

c) Subject to discounting

CERCARBONO does not establish any type of discount in CARBONCERs.

d) The length of crediting period

According to CERCARBONO Protocol, "the holder of the PRR-GEI will choose the starting date of the crediting period, as established in the Terms and definitions section. The crediting period will be 20 years or equal to the operational life of the PRR-GHG (if this is less than 20 years, counted from the moment it generates the first removals or reduction of GHG emissions). After the initial crediting period, if the limit of the operational life of the PRR-GEI has not yet been reached, the crediting period may be renewed as many times as desired, for periods of 20 years or for a shorter period, until the end of the period. operating life of the same. The renewal of the crediting period will be carried out through a new validation statement, in which it will be analyzed if the PRR-GHG continues to be additional and if it continues to comply with the protocol requirements".

The project proponent may choose to leave the crediting period of their original programme (as long as it does

not exceed the maximum established by CERCARBONO or define a new crediting period provided that it does not exceed the limit allowed by the CERCARBONO protocol). CERCARBONO is currently reviewing the rules for defining the crediting period and its renewal established in its protocol, as well as the processes or requirements in this regard, in the case of projects that migrate from other programs.

e) Whether crediting period are renewable

The credit period is renewable as many times as desired, but always within the operational life of the project and subject to a new validation statement, in which the baseline conditions must be re-analyzed and whether the PRR-GHG continues being additional and if it continues to meet the requirements of the protocol.

CERCARBONO is currently reviewing the rules for defining the crediting period and its renewal established in its protocol, for considering the characteristics of projects from different sectors, as well as the processes or requirements in this regard in the case of projects that migrate from other programs.

Question 3.4 Identification and Tracking

Does the programme utilize an electronic registry or registries? (<i>Paragraph 2.4.2</i>)	<input checked="" type="checkbox"/> YES
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Provide web link(s) to the programme registry(ies) and indicate whether the registry is administered by the programme or outsourced to a third party (*Paragraph 2.4.2*):

Yes, the programme utilizes an electronic registry published online under a web-based cloud-solution customized for Cercarbono’s workflow and approvals process: www.ecoregistry.io. The registry can be accessed as well from our homepage www.cercarbono.com in the projects tab. Cercarbono team regularly oversees all registry functions and its part of new registry developments guidance according to the programme updating process.

The registry is outsourced to EcoRegistry, a technology company that focuses on using technology at the service of sustainability. EcoRegistry is a solution developed by a Joint Venture between XM and Latin Checkout. Both companies have vast experience in reliable and trustful solutions that are applied in different sectors of the economy. XM is the independent system operator and energy wholesale market administrator in Colombia, ensuring reliability, security, and data opportunity to the electrical sector. Latin Checkout has implemented its solutions in different banks, retailers, and other companies that administer a significant volume of data that needs to be transacted securely.

Does the programme have procedures in place to ensure that the programme registry or registries...:	
a) have the capability to transparently identify emissions units that are deemed ICAO-eligible, in all account types ? (<i>Paragraph 2.4.3</i>)	<input checked="" type="checkbox"/> YES
b) identify, and facilitate tracking and transfer of, unit ownership/holding from issuance to cancellation/retirement? (<i>Paragraphs 2.4 (a) and (d) and 2.4.4</i>)	<input checked="" type="checkbox"/> YES
c) identify unit status, including retirement / cancellation, and issuance status? (<i>Paragraph 2.4.4</i>)	<input checked="" type="checkbox"/> YES
d) assign unique serial numbers to issued units? (<i>Paragraphs 2.4 (b) and 2.4.5</i>)	<input checked="" type="checkbox"/> YES

e) identify in serialization, or designate on a public platform, each unique unit's country and sector of origin, vintage, and original (and, if relevant, revised) project registration date? (Paragraph 2.4.5)	<input checked="" type="checkbox"/> YES
f) are secure (i.e. that robust security provisions are in place)? (Paragraph 2.4 (c))	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the procedures referred to in a) through f), including the availability to the public of the procedures referred to in b), d), and f):

a) have the capability to transparently identify emissions units that are deemed ICAO-eligible, in all account types

EcoRegistry can identify which units are CORSIA eligible in all account types and public reports. Every single tone of CO₂ in EcoRegistry is given with the characterization of the type of project, validation, verification process, carbon standard, and the year that the reductions were made, among other aspects. These characteristics are specified per unit of CO₂, and they can be guaranteed through the blockchain-based database. Furthermore, EcoRegistry has implemented solutions that take this information about every single unit and filter according to different compliance markets.







As part of the assessment process to issue the carbon units, Cercarbono will identify which ones are eligible to ICAO, according to the specific requirements. When the certifier user certifies the platform, it can mark the eligibility per year of the reduced tons. The market eligibility of the units is reflected in the accountability project information as shown below:

Options	Name of the project	Nit	Project owner			
Go to the project	Waste handling - Test project	1.017.232.320	company - Cuenta de Prueba Titular			

Vintage	Carbon offsets issued	Carbon offsets available	Transferred	Carbon offsets cancelled	Elegible	
					Corsia	Carbon Tax
2015-05-05 - 2015-12-31	50.000	36.480	29.212	13.520	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
2016-01-01 - 2016-12-31	45.000	18.195	0	26.805	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
2017-01-01 - 2017-12-31	55.000	52.000	7.800	3.000	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
2018-01-01 - 2018-06-06	50.000	40.770	1.750	9.230	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

EcoRegistry already marks the units' eligibility for the Colombian offsetting mechanism, where the Government has stated rules about the unit's vintage, the Validation and Verifications Bodies that are allowed to perform their activities under the market, among other regulation. Besides Cercarbono's assessment, the rules are implemented in the platform, and units that do not comply with these requirements cannot be retired on behalf of the carbon tax offsetting mechanism.

At the same time, the characterization of the carbon offsets retired can be identified in the accountability project information.

See certificate	# Certificate	Serial	Carbon offsets destination	Taxpayer subject	Date
	1	IC_15_1_1_321_14_CO_1_1_2008_1 a IC_15_1_1_321_14_CO_1_1_2008_2040	Compensación voluntaria	---	2020-02-26 16:51:20
	2	IC_15_1_1_321_14_CO_1_1_2008_2041 a IC_15_1_1_321_14_CO_1_1_2008_2051	Compensación voluntaria	---	2020-03-09 09:33:23
	3	IC_15_1_1_321_14_CO_1_1_2009_1 a IC_15_1_1_321_14_CO_1_1_2009_87	Compensación voluntaria	---	2020-03-09 09:35:42
	4	IC_15_1_1_321_14_CO_1_1_2009_88 a IC_15_1_1_321_14_CO_1_1_2009_439	Compensación voluntaria	---	2020-03-20 23:22:38
	5	CDC_15_2_1_322_14_CO_1_2_2018_1 a CDC_15_2_1_322_14_CO_1_2_2018_40000	Impuesto al Carbono	819.001.667-8 - PETROLEOS DEL MILENIO S.A.	2020-04-22 15:33:36
	6	CDC_15_2_1_322_14_CO_1_2_2018_40001 a CDC_15_2_1_322_14_CO_1_2_2018_87168	Impuesto al Carbono	900.497.906-5 - PUMA ENERGY COLOMBIA COMBUSTIBLES S.A.S.	2020-05-20 18:01:46

b) identify, and facilitate tracking and transfer of, unit ownership/holding from issuance to cancellation/retirement

Offsets ownership, and all transactions, including issuance, transfers, and retirements, are tracked within EcoRegistry system. Any public user of the platform can access each project's information and observe its unit accounting and beneficiaries. This includes the amount of serial number issued, transferred, and retired. Besides, EcoRegistry administrator and specified role users can view and search for any serialized unit's current and historical ownership and track them through the issuance, transfer history, and retirement report. Data can be filtered and exported in XML archives.

The process: if an account holder wants to transfer a unit, the ownership of that unit is passed to the following account (new custodian), and the blockchain database traces all the transactions and ownerships until each carbon unit is retired. EcoRegistry has provided a solution that allows each owner to retire the units directly on behalf of a third party or transfer the credits to another owner. Both processes are done through a double key system by email code to avoid fraud, impersonation, and phishing. When a unit is transacted, the new account holder withholds the carbon units as its own. During the retirement process, the holder of the carbon units must state expressly on behalf of whom he/she is retiring the units.

c) identify unit status, including retirement / cancellation, and issuance status

Public users can identify the market eligibility and the issuance and retirement status of each unit in the project's tab information, where carbon offsets issued, transferred retired, and available are recognized. Serial numbers retired are shown as below:

Vintage	Carbon offsets issued	Carbon offsets available	Transferred	Carbon offsets cancelled	Elegible	
					Corsia	Carbon Tax
2015-05-05 - 2015-12-31	50.000	36.480	29.212	13.520	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2016-01-01 - 2016-12-31	45.000	18.195	0	26.805	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
2017-01-01 - 2017-12-31	55.000	52.000	7.800	3.000	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
2018-01-01 - 2018-06-06	50.000	40.770	1.750	9.230	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

See certificate	# Certificate	Serial	Carbon offsets destination	Final user	Taxpayer subject	Date	Carbon offsets delivered	Project documents
	1	CDC_191_1_5_321_13_GR_1_1_2015_1 a CDC_191_1_5_321_13_GR_1_1_2015_13520	Compensación voluntaria	874.554.784-5 - Oil & Gas CO	- - -	2021-02-04 15:45:35	13.520	
	2	CDC_191_1_5_321_13_GR_1_1_2017_1 a CDC_191_1_5_321_13_GR_1_1_2017_3000	Impuesto al Carbono	874.541.145-3 - Transportes Pereira CO	874.511.452-8 - Oil Max S.A.	2021-02-04 15:50:59	3.000	

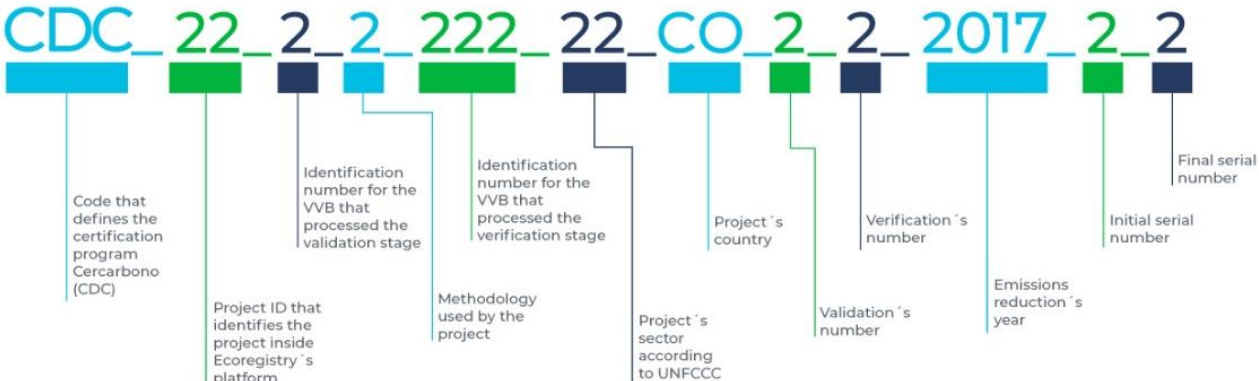
At the same time, EcoRegistry administrators and specific role users have access to system broad information, including serialized retirement and issuance units status reports.

Units can receive the following status:

- Issued: Once the project is certified, the carbon offsets are automatically issued and assigned to the project owner. The serial numbers are created according to the project’s owner characteristics.
- Transferred: A defined amount of carbon units that have been already issued are transferred to another account. The new custodian of those carbon units is registered on the system.
- Retirement: The custodian of the units retires them on behalf of itself or a third party for a specific accounting purpose, like compliance markets or voluntary compensation. During this process, the final serial number is shown, recognizing the actual units of the project that was retired.

d) assign unique serial numbers to issued units

EcoRegistry automatically assigns a unique serial number to each carbon offset once the programme Standard approves the issuance. The serial numbers contain the following parameters:



Source: <https://www.ecoregistry.io/info-register-projects>

The serial number's purpose is that any user can recognize all the information about the project just by taking a look at the serial number.

e) identify in serialization, or designate on a public platform, each unique unit's country and sector of origin, vintage, and original (and, if relevant, revised) project registration date

As explained in the point before, the serial number contains each unique unit's country, sector of origin, and vintage. Also, the project's information can be accessed on EcoRegistry's website under the filters required. On the other hand, the project registration date is safeguarded in EcoRegistry's database and is shown publicly.

f) are secure

EcoRegistry is a joint venture between two companies with much experience in security and reliability of information management processes. According to the highest standards, EcoRegistry has implemented a robust architecture that allows secure transfer of data inside a web application firewall solution that defines a reliable network and API's data transfers. All this information is safeguarded under encrypted databases. Users can only access it using the online platform that secures the connection. Other than that, EcoRegistry has a contract with Cercarbono that establishes security tests and ethical hacking periodically.

The software architecture of EcoRegistry has been developed as a solution that is based on two different cloud platforms (AWS and Azure) and implements the following security standards and technologies:

- Three bases approach for the information: Availability, Security and Integrity.
- The authentication of each user is safeguarded by the Multi-factor solution of Amazon Cognito. This implementation complies with standards like OAuth 2.0, SAML 2.0, and OpenID Connect.
- The communication inside out system is implemented under a Private VPC subnet solution that provides extra security for information hacking.
- The solution has a self-recovery system that safeguards a backup of the information every 24 hours.
- Amazon and Azure systems comply with the following security standards:
 - ISO27001
 - HIPAA
 - FeRAMP
 - SOC 1 and SOC 2
 - IRAP
 - OWASP
- EcoRegistry is based on a Distributed Ledger Technology (DLT), also recognized as blockchain database, whose characteristics correspond to decentralization of information, validation of transactions by peers, the immutability of registered information, and implementation of consensus mechanisms.
- All the documentation is safeguarded in two ways: A cloud base solution for information process and a private blockchain solution to recognize traceability and non-modification of the data.
- The users have to be logged in to make changes. Additionally, there is a double confirmation step that uses a secondary (temporary) password that is sent to an email or mobile phone. This process has been implemented in order to avoid fraud by fishing or impersonation.
- The Validation and Verification Body, as well as the programme Standard, have to sign through our platform the change of state of each Project, approving processes in the registry.
- During the signing process by the different bodies responsible for each state, a version of the documentation is safeguarded as a support for the process that had been done until that moment in time.
- Each retirement certificate has a QR code, which allows identifying the authenticity of the document.

Once the QR code is scanned, the user is redirected to the accountability project information to confirm the transaction.

Serial	Inicial	Final	Total tCO2e	Año de remoción (vintage)
CDC_41_6_9_326_13_CO_1_1_2019_42389 a CDC_41_6_9_326_13_CO_1_1_2019_43281	42.389	43.281	893	Del 2019-01-01 al 2019-12-26



A nombre de:
Primax Colombia S.A

Identificado con NIT:
860002554-8

Fecha: 2021-01-15
Nro. certificado 7

El retiro se realiza a favor de la compensación del Impuesto al Carbono en cumplimiento de lo dispuesto por el decreto 926 de 2017.

Periodo acreditación: 2012-12-27 a 2033-12-26

List any/all international data exchange standards to which the programme's registry(ies) conform: (*Paragraph 2.4 (f)*)

EcoRegistry is a cloud based platform that provides the registry services for Cercarbono under the highest security and reliability standards. Secure communications standards are used, such as SSL/TLS version 1.2 all this in order to comply with the ISO/IEC 27017 and other standards from the ISO27000 family.

We have also installed a WAF (Web Application Firewall) to prevent any non secure connection or attack attempts from the outside are identified and blocked. For our specific connection to other platforms, we provide a web service that includes an authentication protocol with an specific token that is valid for a maximum time of one hour, as the best practices of OWASP (Open Web Application Security Project) suggests.

For this automated authentication protocol we use the services from Amazon Cognito store the defined accesses for the users, and all the transactions are used either through REST (Representational State Transfer) or SOAP (Simple Object Access Protocol) communication protocol. Both protocols use an encrypted channel to transfer the information. The implementation of SOAP is based on an XML (Extensible Markup Language) and the REST implementation is based on (JavaScript Object Notation) to ensure the correct definition of data objects and values according to the specified structure. EcoRegistry has implemented periodic SOC2 standardized audits, to evaluate the performance of these implementations.

Are policies and robust procedures in place to...	
a) prevent the programme registry administrators from having financial, commercial or fiduciary conflicts of interest in the governance or provision of registry services? (<i>Paragraph 2.4.6</i>)	<input checked="" type="checkbox"/> YES
b) ensure that, where such conflicts arise, they are appropriately declared, and addressed and isolated? (<i>Paragraph 2.4.6</i>)	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) and b):

CERCARBONO, as a certification programme and EcoRegistry as the registry administrator, have established policies to avoid the generation of any conflict of interest. These policies are written in the contract document that establishes the Alliance between CERCARBONO and EcoRegistry, in which it is installed and agreed that neither of the Parties can commit directly or indirectly in any commercial or professional activity that can produce a conflict of interest with the responsibilities in their charge by the execution of the Alliance. Both organizations and their officials are obliged in any case to disclose any existing or supervening conflict of interest situation. The company or official in whom there is a conflict of interest situation is prevented from acting in such a conflict situation.

Each member of our company has the obligation to sign a contract where they commit to adhere to the conflict of interest policy during the time they are working at CERCARBONO.

Are provisions in place...	
a) ensuring the screening of requests for registry accounts? (<i>Paragraph 2.4.7</i>)	<input checked="" type="checkbox"/> YES
b) restricting the programme registry (or registries) accounts to registered businesses and individuals? (<i>Paragraph 2.4.7</i>)	<input checked="" type="checkbox"/> YES
c) ensuring the periodic audit or evaluation of registry compliance with security provisions? (<i>Paragraph 2.4.8</i>)	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the registry security provisions referred to in a) through c):

a) ensuring the screening of requests for registry accounts

Screening of registry accounts is a process that is done by the Registry provider (EcoRegistry) every time that a company or natural person request an opening account in the platform. Here is the summary of steps to create an account in EcoRegistry:

1. Account creation request
2. Approval of terms and conditions and habeas data
3. Submitting support information
4. Review in binding and restrictive lists and the media
5. Understanding the customer's reason to open an account
6. Decision making to approve or deny account creation

EcoRegistry has implemented a series of procedures and existing control measures preventing it from being used as an instrument for money laundering and terrorist financing. At the same time, this process seeks to identify

activities against ethics and transparency on the part of the organization or person requesting the creation of an account in EcoRegistry.

Once the account creation request is received through the system, and the terms and conditions and habeas data are approved, the EcoRegistry support team requests and collects the following information to carry out a know your customer process through a specialized audit firm:

For a company:

- Certificate of existence and legal representation of the company
- ID number and the full name of the following people
 - CEO
 - Legal representative
 - Persons who appear in the company act
 - Board members
 - Shareholders with more than a 5% participation in the company
- Home Country
- Contact details

Natural person:

- Full name
- ID
- Home country
- Contact details

To carry out know your customer process consultations are made about the natural person or the organization, directors, and main shareholders of the company in binding and restrictive lists, which are national and international databases that collect information, reports, and background information from different organizations on people and organizations that may present suspicious activities, investigations, processes or convictions for the crimes of money laundering and financing of terrorism. The restrictive consultation lists are updated continuously according to national and international regulations on the matter.

(BUSINESS CONFIDENTIAL):

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(END BUSINESS CONFIDENTIAL):

The specialized audit firm also performs an advanced search for information and negative mentions in the media to identify activities contrary to the ethics and transparency on the part of the organization or natural person. If alerts are found during the process, EcoRegistry may request more information about the findings to assess the situation. Likewise, EcoRegistry comes into contact with the potential user to determine the specific needs for account creation and maintains continuous communication with CERCARBONO to coordinate this process.

b) restricting the programme registry (or registries) accounts to registered businesses and individuals

Once the previous stages have been evaluated, EcoRegistry would accept or reject the creation of an account for the assessed person or organization. No account can be created in EcoRegistry without first having fulfilled and passed the know your customer process. It should be noted that EcoRegistry adheres to the Code of Ethics and Conduct and the Anti-Corruption and Anti-Bribery Management Guide of the ISA Group and its Subsidiaries, which can be consulted on the following websites:

<http://www.xm.com.co/corporativo/Paginas/Inversionistas/codigo-de-etica-inversionistas.aspx>

<http://www.xm.com.co/corporativo/Paginas/Inversionistas/Guia-anticorrupcion.aspx>

c) ensuring the periodic audit or evaluation of registry compliance with security provisions

The implementation of EcoRegistry has taken into account different modes of failure recovery, audit, and backup Systems:

- A blockchain-based database has been implemented, where the documentation is safeguarded and replicate in a distributed ledger. As a result, information cannot be modified.
- Based on the cloud watch solutions from Microsoft Azure and Amazon AWS, the support team has full control of what is happening on the system, including reports and information about the real state of operation.
- The Database implementation includes a backup system that serves a full recovery opportunity every 24 hours. The backups are saving during the last 7 days.
- Ethical hacking implementations were carried out at the end of 2020 with satisfactory results

As stated by the contract between EcoRegistry and CERCARBONO, EcoRegistry must Perform annual assessments related to hacking, ethical hacking, static and dynamic code tests, and stress tests to access the platform in order to generate transparency and reliability.

EcoRegistry was granted with the Statement of Compliance with the Enterprise Blockchain Security Specification (EBSS) as stated by Cryptonics:
<https://cryptonics.consulting/2020/09/15/cryptonics-issues-enterprise-blockchain-security-specification-compliance-stamp-to-xm-colombia/>

Databases and Security:

- <https://aws.amazon.com/es/rds/>
- <https://aws.amazon.com/es/s3/>
- <https://aws.amazon.com/es/secrets-manager/>
- <https://aws.amazon.com/es/waf/>

Measurement and supervision:

- <https://azure.microsoft.com/es-es/blog/new-full-stack-monitoring-capabilities-in-azure-monitor/>
- <https://aws.amazon.com/es/cloudwatch/>

Question 3.5 Legal nature and transfer of units

Does the programme define and ensure the following:	<input checked="" type="checkbox"/> YES
a) the underlying attributes of a unit? (<i>Paragraph 2.5</i>)	<input checked="" type="checkbox"/> YES
b) the underlying property aspects of a unit? (<i>Paragraph 2.5</i>)	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of *the processes, policies, and/or procedures referred to in a) and b)*, including their availability to the public:

a) Underlying attributes of a unit

The protocol, while providing guidelines for carrying out the validation and verification processes, focuses on defining the principles governing the registration of GHG-PRR and the certification of emission and registration of carbon credits from the different types of projects accepted by the protocol.
 The underlying attributes of the compensation credits generated by CERCARBONO are defined in its

protocol and recognized as principles. These correspond to integrity, reliability, conservatism, consistency, evidence and transparency. Through the process of validation and verification, it is verified that the projects have been developed under these attributes.

b) Underlying property aspects of a unit

CERCARBONO defines ownership as statutory and customary rights to own, use, access or manage land, territories and resources (Section 5. Terms and Definitions).

Section 10.1 of the protocol lists the components that must have the projects that are registered in the CERCARBONO program, among which are included the detailed description and support of the ownership or right of use of the area.

Section 12.2.2 of the protocol explains that one of the requirements of the validation process is the review of the ownership or right of ownership of the area or lands covered by the project, which must demonstrate the right of use during the duration of the project.

Additionally, when an account type is created in EcoRegistry as a project owner and the terms and conditions are accepted, it is understood that whoever is in charge of this account is a natural or legal person, public or private, owner of the project, responsible for the formulation, implementation, monitoring and registration of the project and responsible for the retirement of carbon credits from EcoRegistry.

Question 3.6 Validation and verification procedures

Are standards, requirements, and procedures in place for... (<i>Paragraph 2.6</i>)	
a) the validation of activities?	<input checked="" type="checkbox"/> YES
b) the verification of emissions reductions?	<input checked="" type="checkbox"/> YES
c) the accreditation of validators?	<input checked="" type="checkbox"/> YES
d) the accreditation of verifiers?	<input checked="" type="checkbox"/> YES

Provide evidence of the standards, requirements, and procedures referred to in a) through d), including their availability to the public:

a) the validation of activities

Section 12 of the certification protocol defines all the requirements of the validation process. The CERCARBONO protocol defines the requirements that the VVB must take into account during the validation process, including a validation plan, evidence collection plan, reconnaissance, ownership, project boundaries, baseline scenario selection, quantification and monitoring methodologies, leakage, data information and data control system, calculations, future estimates and uncertainty. After you evaluate the above requirements, you should write a validation opinion based on the collected evidence. The opinion can be a positive opinion, a modified opinion or a negative opinion.

The validator should write a report that includes aspects such as title, ownership and location of the project, scope of validation, description of evidence collection procedures, opinion of the validator, description of the baseline,

projected emission reductions and the signature of the validator. At the end, a validation statement is issued, only when a positive or modified opinion has been generated.

b) the verification of emissions reductions

The CERCARBONO protocol defines the requirements that the VVB must review during the verification process in section 13 of the certification protocol, including a verification plan, risk assessment, evidence collection plan, implementation of verification activities and techniques, estimation and control tests, sampling, site or project area visits, property assessment, data information and control system, and evaluation of compliance with requirements.

After the verifier evaluates these requirements, he or she should write a verification opinion based on the evidence gathered. He may issue a verification statement only when a positive or modified opinion has been generated.

c) and d) accreditation of validators and verifiers

As established in section 14 of the certification protocol, the Validation and Verification Bodies (VVB) authorized by CERCARBONO must be accredited by the National Accreditation Body (ONAC) or by an accreditation body member signatory of the International Accreditation Forum (IAF), which has in its service offering the GHG Emission Validation or Verification Body accreditation programme under the requirements of ISO 14065.

Bodies accredited by the CDM Executive Board as a Designated Operational Entity (DOE) are defined according to Colombian regulations.

VVBs shall issue a verification statement indicating that GHG emission reductions or removals were generated in accordance with the methodology defined in ISO 14064-2 2006 and the results obtained in the verification performed according to ISO 14064-3 or those that adjust and update them.

Question 3.7 Programme governance

Does the programme publicly disclose who is responsible for the administration of the programme? (<i>Paragraph 2.7</i>)	<input checked="" type="checkbox"/> YES
Does the programme publicly disclose how decisions are made? (<i>Paragraph 2.7</i>)	<input checked="" type="checkbox"/> YES

Provide evidence that this information is available to the public:

Those responsible for the administration of the CERCARBONO programme are the members of the board members, with the support of the general management.

Decisions related to substantial changes to the certification protocol and changes to the certification programme guidelines (before the changes are sent out for public consultation) are made by the board of directors, which is made up of a group of people who specialize in different areas of expertise to ensure the sustainability of the program. In the corresponding order follows the general management, which is responsible for the issuance of compensation credits, as can be seen in all certificates of issuance; and for the administration of the programme's

resources.

The other functional units of CERCARBONO are in charge of the day-to-day operation of the program, technical support, project certification and all the technology, accounting and administrative operations required for the continuous operation of the program.

This information is available to the public on CERCARBONO's website in the "CERCARBONO - Who we are" section.

Can the programme demonstrate that it has... (<i>Paragraph 2.7.2</i>)	
a) been continuously governed for at least the last two years?	<input checked="" type="checkbox"/> YES
b) been continuously operational for at least the last two years?	<input checked="" type="checkbox"/> YES
c) a plan for the long-term administration of multi-decadal programme elements?	<input checked="" type="checkbox"/> YES
d) a plan for possible responses to the dissolution of the programme in its current form?	<input checked="" type="checkbox"/> YES

Provide evidence of the activities, policies, and procedures referred to in a) through d):

a) been continuously governed for at least the last two years

At the end of the year 2016, CERCARBONO was constituted as a company. The group of founders during 2017 began the work of structuring the organization of the company and the certification programme with the help of different actors of the market and based on national and international regulations. In 2018, regulations were specifically established in Colombia that served as the functional and operational basis of the certification programs; corresponding to the period in which the CERCARBONO group of founders considered that the programme was operationally consolidated.

b) been continuously operational for at least the last two years

The certificate of existence and representation shows that the date of creation of the company was November 9, 2016 and since then it has been in continuous operation. This document is the register that certifies the existence and incorporation of the company (Attachment No.1).

At the beginning of 2019, CERCARBONO generated the first emission certification for a forestry project after having accompanied all the process of formulation of such project during one year. From that moment CERCARBONO has constantly certified projects of different sectors.

c) a plan for the long-term administration of multi-decadal programme elements

CERCARBONO always seeks to be involved in the context of the international carbon market. The certification programme recognizes the importance of belonging to important organizations such as the International Emissions Trading Association (IETA). In this context, CERCARBONO finds it pertinent to be approved by control bodies that provide a robust structure to the programme in order to participate in the different markets while ensuring proper accounting and transparency of the process, which is why CERCARBONO is currently aligning its policies to the recommendations found in the Task Force on Scaling Voluntary Carbon Markets (TSVCM).

In addition, CERCARBONO has long-term plans to offer special attributes that help to add value to projects that involve significant impacts on biodiversity.

d) a plan for possible responses to the dissolution of the programme in its current form

In the first clause of the contract related to the contractual object that is signed between the owners of projects and CERCARBONO, it is defined in the section 1.5 that in the event of final liquidation of CERCARBONO, the custody, integrity and availability of the Certificate(s) of Emission will be in charge of Ecoregistry (registration system). In turn, in the event of permanent suspension of the services by Ecoregistry, its obligation will be to deliver to the project holder a copy of the information together with a certificate issued by Ecoregistry indicating that it was subject to public registration in the terms of law and of the unique assignment of serials during the time of validity of the services.

CERCARBONO always establishes within its equity a financial reserve, which in the event of dissolution of the programme would serve to support the operation for approximately 8 months, in order to ensure that during this time the programme leaves defined the situation of the projects that are registered.

Are policies and robust procedures in place to...	
a) prevent the programme staff, board members, and management from having financial, commercial or fiduciary conflicts of interest in the governance or provision of programme services? (<i>Paragraph 2.7.3</i>)	<input checked="" type="checkbox"/> YES
b) ensure that, where such conflicts arise, they are appropriately declared, and addressed and isolated? (<i>Paragraph 2.7.3</i>)	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) and b):

a) prevent the programme staff, board members, and management from having financial, commercial or fiduciary conflicts of interest in the governance or provision of programme services

CERCARBONO contractually obligates programme staff and board members to sign a contract in which in its eighth clause they commit to comply with the policies and procedures established in the CERCARBONO conflict of interest management manual, where they are obligated to report in a timely manner and following due process whenever financial, commercial or fiduciary conflicts of interest arise in the performance of their duties. The manual referred to is found [here](#)

b) Ensure that, where such conflicts arise, they are appropriately declared, and addressed and isolated

In the manual mentioned above, there is a section dedicated to the management of conflicts of interest where the steps to declare and properly manage such conflicts in case they occur are defined:

1. When the conflict is identified, all direct or indirect actions and interventions must be suspended.
2. Report in a timely manner and as soon as possible to the superior, presenting the format for declaration of conflict of interest. See [here](#)
3. Provide all necessary information and documentation that will allow your superior and later the members of the board of directors to know the details of the matter.
4. Doubts regarding the confirmation of the conflict of interest oblige the person involved to abstain from participating in the respective activities until the contrary is determined.
5. The members of the Board of Directors will decide whether a conflict of interest exists.
6. If a conflict of interest does exist, the members of the board of directors will indicate the actions to be taken through an official document, as well as inform about the person they will designate for the

continuation of the activities involved in the case.

There must be written evidence of the notification and management of the conflict, by the worker and the respective member of the board of directors.

7. In the event that it is concluded that the person involved is presenting a permanent conflict of interest that constantly affects the exercise of his or her position, it must be analyzed whether the conflict is a cause for the termination of the contract, due to the impossibility of exercising the position.

If the programme is not directly and currently administered by a public agency, can the programme demonstrate up-to-date professional liability insurance policy of at least USD\$5M? (<i>Paragraph 2.7.4</i>)	<input checked="" type="checkbox"/> YES
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Provide evidence of such coverage:

For CERCARBONO it has been a bit complex to obtain the professional liability insurance policy because it is a sector that is not within their areas of knowledge, it is a sector that Colombian insurers are completely unaware of. For this reason, the programme decided to explore the option of an international insurance through the company A&S Insurance, with which CERCARBONO is currently in the process of study.

Question 3.8 Transparency and public participation provisions

Does the programme publicly disclose... (<i>Paragraph 2.8</i>)	
a) what information is captured and made available to different stakeholders?	<input checked="" type="checkbox"/> YES
b) its local stakeholder consultation requirements (if applicable)?	<input checked="" type="checkbox"/> YES
c) its public comments provisions and requirements, and how they are considered (if applicable)?	<input checked="" type="checkbox"/> YES

Provide evidence of the public availability of items a) through c):

a) what information is captured and made available to different stakeholders

- Projects information:

Section 15.3.1 of the protocol defines the services of the CERCARBONO voluntary certification program. Among which the publication of updated information of the projects is defined as the availability of data from the projects in the EcoRegistry platform. This supports the emission of carbon credits from the different initiatives that are registered.

The EcoRegistry platform is designed to have public information about the projects, so that stakeholders can access the services offered by the voluntary carbon certification programme or to exercise the right to be informed.

The information that will be publicly exposed in EcoRegistry can be integrated:

- The complete PDD or its summary form when requested by the owner of the initiative or the project developer,

- The validation report,
- The findings or audit of the validator
- The validation statement,
- The monitoring report,
- The verification report,
- The verifier's findings or audit,
- The verification statement,
- The certification report,
- The OVV's statement of conflict of interest
- The certificate of emission of carbon credits,
- The retire certificate,
- The project retire table
- Programme information:
 On the CERCARBONO website, the programme information is publicly disclosed.
 In the home section the sectorial scope is presented, the quantity of projects and certified tons is shown updated and there are the important news that the programme wants to communicate to its stakeholders.
 Section " about us " describes the activity of CERCARBONO, the mission, vision, governance and membership.
 In the section "Program" there are all the links to the methodologies approved by the programme and lists the OVVs authorized to carry out validation and verification processes in CERCARBONO.
 In the section "Certification" are all the relevant documents to develop a project ensuring compliance with all guidelines and standards of the program.
 In the section "Projects" is the list of all projects certified by CERCARBONO.
 Finally, in the section "Consultations" you will find the public consultations that have already been carried out or that are in process.

b) its local stakeholder consultation requirements

In the chapter of the protocol where project requirements are defined, section 10.7 on stakeholder consultation is included. There it is defined that according to the activity and requirements of the project, these public consultations should or should not be carried out. They are carried out especially when the project is developed in an area where a local population/community is established or when its project activity may have an environmental, social or economic impact on a local population/community or society in general. The owner of the project shall prepare and make available to the stakeholder a report identifying the stakeholders and setting out full project information (the protocol describes what this report should include).

This document should be presented at a meeting between the project proponents or owners and the stakeholders identified in the project area or in the area surrounding the project. This meeting may conclude in common agreements or in defining the means by which stakeholders can contribute. Subsequently, the results achieved by the public consultation and the follow-up of their compliance will be recorded. Document to be submitted prior or subsequent to the validation or verification processes. When required or requested, this document will be made available to the public by CERCARBONO, on its

website, for a period of 15 solar days and the comments received will be made available to the project owner, who must update the PDD, taking into account the comments received during the public comment period.

In the new version of the Protocol, clear specifications will be made on this, especially what type of projects should or should not include it and at what stage it should be carried out.

c) its public comments provisions and requirements, and how they are considered

On the CERCARBONO website there is a section dedicated to public consultations, where it is established that the CERCARBONO programme within its policies establishes public comment periods for all development of new methodologies, guidelines, guidelines and technical standards, as well as for significant revisions to the structure of its protocol. [Here](#)

In conclusion, the requirements for public consultations and the length of the public comment period are different depending on the type and complexity. There are three scenarios in which public consultation is required:

1. Approval process for new methodologies
2. Changes to the Certification Protocol that define the programme guidelines.
3. Projects

Additionally, in the "contact" section of the website, CERCARBONO offers a space for any natural or legal person to express their opinion or observation regarding a project or a specific market situation. [Here](#)

Does the programme conduct public comment periods relating to... (<i>Paragraph 2.8</i>)	
a) methodologies, protocols, or frameworks under development?	<input checked="" type="checkbox"/> YES
b) activities seeking registration or approval?	<input checked="" type="checkbox"/> YES
c) operational activities (e.g., ongoing stakeholder feedback)	<input checked="" type="checkbox"/> YES
d) additions or revisions to programme procedures or rulesets?	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of any programme procedures referred to in a) through d):

a) methodologies, protocols, or frameworks under development

All methodologies developed by CERCARBONO have had their respective public consultation, as well as the first version of the certification protocol. The CERCARBONO programme within its policies establishes public comment periods for all the development of new methodologies, manuals, guidelines and technical norms. All of the above can be found on the CERCARBONO web page in the "CONSULTATIONS" section where all public consultations are listed, with information on the duration and responses to comments received during the public consultations.

b) activities seeking registration or approval

Both the EcoRegistry registration platform and the CERCARBONO website have a section to provide a dedicated

space for project comments and consultations. The programme also expresses its interest in knowing all comments or suggestions about any project or carbon market situation through an open channel on its website in the "contact" section.

c) operational activities

One of CERCARBONO's objectives as an associate and member of the board of ASOCARBONO (Colombian Association of carbon market actors) is the analysis and study of all operational activities that take place in a certification process in which all market actors participate. However, the final decisions related to the operational activities are in charge of the general management.

It is not established that a public consultation is required.

d) additions or revisions to programme procedures or rulesets

All additions or revisions to the programme procedures or sets of standards must be authorized by the CERCARBONO board of directors.

For example, the programme is currently in the stage of finalizing the double counting prevention document, which before being made publicly available must be accepted by the CERCARBONO programme board of directors. It is not established that a public consultation is required.

Question 3.9 Safeguards system

Are safeguards in place to address... (<i>Paragraph 2.9</i>)	
a) environmental risks?	<input checked="" type="checkbox"/> YES
b) social risks?	<input type="checkbox"/> YES

Summarize and provide evidence of the safeguards referred to in a) and b), including their availability to the public:

Currently, the safeguards system applies only to REDD+ projects. One of the components of the protocol correspond to the authorizations and documents required by current legislation for the development and operation of the project, which includes safeguards, if relevant.

Although in Colombia the Ministry of Environment and Sustainable Development mentions the existence and structure of a National Safeguards System, it exists only at the design level and has not yet been implemented⁸. CERCARBONO will be attentive to align itself with the National Safeguards System (SNS) and with its citizen service mechanism, when they are established.

Currently, the requirements in relation to conducting a stakeholder consultation are set out in Section 10.7 of the CERCARBONO Protocol. This section will be improved for the next version of the same, below a draft of the

⁸ https://redd.unfccc.int/files/ris_iv-colombia.pdf

corresponding text (new / edited text in italics):

According to the project activity and the PRR-GEI requirements, these public consultations should or should not be carried out. They are carried out especially when the PRR-GHG takes place in an area where a local population / community is established or when its project activity may have an environmental, social or economic impact on a local population / community or society in general.

In the event that a consultation with interested parties is necessary, it will be carried out as part of the validation process, for which the PRR-GEI holder must report all the mechanisms used to disseminate the complete information of the project relevant to the public consultation and this must be open, available on the EcoRegistry platform and in the National Safeguards System, when it is enabled. The holder of the PRR-GHG will prepare and make available to the interested parties a descriptive document of the PRR-GEI.

Question 3.10 Sustainable development criteria

Does the programme use sustainable development criteria? <i>(Paragraph 2.10)</i>	<input checked="" type="checkbox"/> YES
Does the programme have provisions for monitoring, reporting and verification in accordance with these criteria? <i>(Paragraph 2.10)</i>	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to above:

Colombia does not have an open and standardized reporting system for compliance with the Sustainable Development Goals (SDG)⁹ to which all projects that can be registered in CERCARBONO can contribute, nor does it have a fully defined methodology for said report.

As it is not the intention of CERCARBONO to overload the projects with requirements beyond their scope of action, while waiting for Colombia to structure an open system for reporting compliance with the SDGs, our current version of the protocol asks the project to define the co-benefits it expects to obtain and then report progress made on them during verifications.

Co-benefits are defined in section 10.8 of the certification protocol. It is of great interest to CERCARBONO that project owners promote activities to improve the quality of life of local populations, through the adoption of good practices, including the protection of traditional knowledge and improving the use of natural resources (sustainable development criteria). In no case will CERCARBONO accept that projects deteriorate the quality of life of affected local populations.

These actions may include the following:

- Income and employment generation.

⁹ Although Colombia implemented the "[SDG Corporate Tracker](#)" to "promote the measurement and analysis of the private sector's contribution to the 17 SDGs, in Colombia, based on indicators based on GRI standards", the system is only open to regional corporations (regional environmental authorities) and a small group of other companies.

- Capacity building of the communities through training activities.
- Protection of traditional knowledge of the communities.
- GHG mitigation actions linked to programs that promote the sustainable use of natural resources and promote the quality of life of the communities.

In the Project Description Document (PDD) template that is published on the CERCARBONO website, in Section 5, where legal and documentary aspects are described, project owners must describe the activities tending to improve the quality of life of local populations as established in the protocol.

Subsequently, the template of the validation and verification report to be carried out by the OVVs defines the evaluation criteria, which must consider the review of compliance with the co-benefits proposed by the projects and the legal authorization of the project, when applicable.

For the next version of the Protocol, the projects will be asked, during the validation stage, to fill out a table identifying the SDGs to which they plan to contribute, a short description of the baseline and the planned contribution of said indicators. During the verifications, the projects must fill in a column of the same table with a short description of the achievements so far (see model table below).

SDG	Project contribution (X)	Short baseline description (for those marked with X)	Planned project contribution (for those marked with X)	Short progress description at verification
1. No poverty				
2. Zero hunger				
3. Good Health and well-being				
4. Quality education				
5 Gender equality				
6. Clean Water and sanitation				
7. Affordable and clean energy				
8. Decent work and economic growth				
9. Industry, innovation and infrastructure				
10. Reduce inequalities				
11. Sustainable cities and communities				
12. Responsible consumption and production				
13, Climate action				
14. Life below water				
15. Life on land				
16. Peace, justice and strong institutions				
17. Partnerships for the goals				

Question 3.11 Avoidance of double counting, issuance and claiming

Does the Programme provide information on how it addresses double counting, issuance and claiming in the context of evolving national and international regimes for carbon markets and emissions trading? (<i>Paragraph 2.11</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the information referred to above, including its availability to the public:

CERCARBONO's double counting document explains all the movements that occur with offset credits from registration and certification to issuance, retirement, transfers and cancellation. Additionally, it sets out all the procedures and tools established by the programme to address double counting, issuance and claiming in the context of evolving national and international regimes for carbon markets and emissions trading.

PART 4: Carbon Offset Credit Integrity Assessment Criteria

Note—where “evidence” is requested throughout *Part 3* and *Part 4*, the Programme should provide web links to documentation. If that is not possible, then the programme may provide evidence of programme procedures directly in the text boxes provided (by copying/pasting the relevant provisions) and/or by attached supporting documentation, as recommended in “SECTION II: INSTRUCTIONS—*Form Completion*”.

Note—“*Paragraph X.X*” in this form refers to corresponding paragraph(s) in Appendix A “Supplementary Information for Assessment of Emissions Unit Programmes”.

Note—Where the programme has any plans to revise the programme (e.g., its policies, procedures, measures, tracking systems, governance or legal arrangements), including to enhance consistency with a given criterion or guideline, provide the following information in response to any and all relevant form question(s):

- Proposed revision(s);
- Process and proposed timeline to develop and implement the proposed revision(s);
- Process and timeline for external communication and implementation of the revision(s).

Question 4.1 Are additional

Do the Programme’s carbon offsets... (<i>Paragraph 3.1</i>)	
a) represent greenhouse gas emissions reductions or carbon sequestration or removals that exceed any greenhouse gas reduction or removals required by law, regulation, or legally binding mandate?	<input checked="" type="checkbox"/> YES
b) exceed any greenhouse gas reductions or removals that would otherwise occur in a conservative, business-as-usual scenario?	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) and b), including their availability to the public:

- a) Currently, CERCARBONO requests the holders of PRR-GEI that *“they must relate, describe and justify compliance with the laws, statutes and local, regional and national regulatory frameworks that apply to the activity of the PRR-GEI, including the corresponding environmental requirements and the record of the specific actions of the project, when applicable”*.

The new version of the Protocol under construction will state additionally (draft text):

“Additionally, the holder of the PRR-GEI must sign a statement that the PRR-GEI has not been registered for obtaining of carbon credits under any programme or standard or for the reduction or removal of greenhouse effect gases required by law, regulation or legally binding mandate and that, if registered by CERCARBONO, it will not attempt a partial or total registration of the PRR-GHG under any other programme or standard or its use to comply with any reduction or removal of greenhouse gases required by law, regulation or legally binding mandate, unless it is withdrawn from CERCARBONO, complying with the requirements defined for that purpose. For this, CERCARBONO may request additional information, clarifications or corrections on the already validated project.”

- b) Mitigation actions (reduction, removal, destruction, displacement and avoidance of GHG emissions) can be carried out to offset GHG emissions on a voluntary basis or regulated by Decree 926 for national compliance based on the carbon tax.

In this respect, CERCARBONO adheres to Article 26 of Resolution 1447 of 2018 of Colombia, which defines the additionality of projects on the basis that *“it is possible to demonstrate that the mitigation actions of GHG emissions resulting from the execution of a project generate a net benefit to the atmosphere reducing, removing, avoiding, destroying or displacing GHGs”* and that such actions are not the product of environmental compensation.

However, we are aware that the Colombian government defined additionality only in environmental terms, without taking into account economic or barrier additionality and without taking into account (at least explicitly) regulatory additionality.

In this sense, CERCARBONO has accepted the government’s definition of additionality on a temporary basis, but has made progress on a proposal on additionality that takes these other two aspects into account, which will be presented in the short term for discussion to Asocarbono, the association that groups together the actors of the carbon market in Colombia, so that it is refined, agreed upon and proposed to the Colombian Ministry of the Environment for its official implementation.

Is additionality and baseline-setting... (<i>Paragraph 3.1</i>)	
a) assessed by an accredited and independent third-party verification entity?	<input checked="" type="checkbox"/> YES
b) reviewed by the programme?	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) and b), including their availability to the public:

a) assessed by an accredited and independent third-party verification entity

Indeed, the additionality and baseline of a project are evaluated by an accredited OVV and an independent third party, a process that is described in detail in Section 12 of the Protocol.

OVVs must review and evaluate compliance with these points, in accordance with ISO 14064: 2, which responds to Resolution 1447 of Colombia.

b) reviewed by the programme

Compliance with these two issues is reviewed during the project certification process. The CERCARBONO programme reviews compliance with these points in accordance with its own protocol.

Identify one or more of the methods below that the programme has procedures in place to ensure, and to support activities to analyze and demonstrate, that credited mitigation is additional; which can be applied at the project-and/or programme-level: (*Paragraphs 3.1, and 3.1.2 - 3.1.3*)

- Barrier analysis
- Common practice / market penetration analysis
- Investment, cost, or other financial analysis
- Performance standards / benchmarks
- Legal or regulatory additionality analysis (as defined in *Paragraph 3.1*)

Summarize and provide evidence of the policies and procedures referred to in the above list, including describing any/all additionality analyses and test types that are utilized under the programme:

As explained in Question 4.1, CERCARBONO adopted the definition of additionality given by Colombia in the Article 26 of Resolution 1447 of 2018 of Colombia, which includes environmental additionality, but not considerations on barriers. Also, as explained there, we are contributing to the discussion for a better definition of additionality to be adopted by the Colombian government. Depending on the timing and achievements in this respect, It will be possible to include a new definition of additionality and a demonstration procedure in the next version of the protocol.

If the Programme provides for the use of method(s) not listed above, describe the alternative procedures and how they ensure that activities are additional: (*Paragraph 3.1*)

Not applicable

If the programme designates certain activities as automatically additional (e.g., through a “positive list” of eligible project types), does the programme provide clear evidence on how the activity was determined to be additional? (<i>Paragraph 3.1</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures for determining the automatic additionality of activities, including a) the criteria used to determine additionality and b) their availability to the public:

CERCARBONO does not have a positive list, no activity can be automatically considered additional.

Explain how the procedures described under Question 4.1 provide a reasonable assurance that the mitigation would not have occurred in the absence of the offset programme: (*Paragraph 3.1*)

Under current circumstances, in which CERCARBONO acts as a national, Colombian certification programme, born as a result of the possibility of not causing the national tax on carbon emissions, it has accepted the definition of additionality established by Colombia in Article 26 of Resolution 1447 of 2018, which defines additionality in exclusively environmental terms, with which it is not possible to guarantee in all cases that mitigation would not have occurred in the absence of the mitigation program. Given that, in the Colombian context, this has been a government decision aimed at boosting mitigation projects in various economic sectors, CERCARBONO is not in a position to unilaterally assume a stricter definition, beyond what is established by law, at risk to create unfavorable conditions in the face of competition. CERCARBONO considers that this lax definition of additionality has been temporarily acceptable, allowing the creation and development of a local carbon market, where there are many genuinely additional projects. However, it also considers that this laxity should be temporary and corrected, in order to arrive at a definition of additionality in the strict and broad sense of the term, for which it has begun to lead the corresponding discussions with the relevant national actors in the carbon market.

In the meanwhile, CERCARBONO is preparing its own additionality tool, which would be mandatory for projects other than the one that emerges from Decree 926 of 2017 of Colombia, such as international markets. When and if an improved version of additionality and its ancillary (if any) demonstration procedure has been adopted by Colombia, CERCARBONO will decide whether to adopt said definition and demonstration procedure or to continue with its own additionality tool.

Question 4.2 Are based on a realistic and credible baseline

Are procedures in place to... (<i>Paragraph 3.2</i>)	
a) issue emissions units against realistic, defensible, and conservative baseline estimations of emissions?	<input checked="" type="checkbox"/> YES
b) publicly disclose baselines and underlying assumptions?	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) and b), including how “conservativeness” of baselines and underlying assumptions is defined and ensured:

a) issue emissions units against realistic, defensible, and conservative baseline estimations of emissions

The procedures required to calculate the emission units are carried out based on CERCARBONO's approved, verified, recognized or proprietary methodologies, technically sound and specific for each project, and are in turn validated by competent bodies recognized by CERCARBONO. Both the methodologies and the protocol establish that the estimates must be realistic, defensible and conservative (see the pertinent principles in Section 9 of the protocol), while Section 12.2.4 sets the guidelines for the selection of the baseline scenario of robust, credible, documented, repeatable and appropriate manner, taking into account the designed operating conditions and anticipated activity levels.

b) publicly disclose baselines and underlying assumptions

The validation and verification reports issued by the validation and verification bodies adequately present the underlying assumptions and the baseline scenario. These reports are available to the general public, for validated and verified projects, on the EcoRegistry website.

Are procedures in place to ensure that <i>methods of developing baselines</i> , including modelling, benchmarking or the use of historical data, use assumptions, methodologies, and values do not over-estimate mitigation from an activity? (<i>Paragraph 3.2.2</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

The procedures required to calculate the emission units are carried out based on CERCARBONO's approved, verified, recognized or proprietary methodologies, technically sound and specific for each project, and are in turn validated by competent bodies recognized by CERCARBONO. Both the methodologies and the protocol establish that the estimates must be realistic, defensible and conservative (see the pertinent principles in Section 9 of the protocol), while Section 12.2.4 sets the guidelines for the selection of the baseline scenario of robust, credible, documented, repeatable and appropriate manner, taking into account the designed operating conditions and anticipated activity levels.

Are procedures in place for activities to respond, as appropriate, to changing baseline conditions that were not expected at the time of registration? (<i>Paragraph 3.2.3</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

Section 10.2.4 of the CERCARBONO Protocol establishes that “*the justification for the GHG baseline must take into account the probable future behavior of the baseline scenario (GHG emission sources or reservoirs) to comply with the principle of conservatism. In the event that the baseline is exposed to changing conditions during the crediting period of a PRR-GHG, it must be subjected to an evaluation and if this shows that the baseline no longer corresponds to the one initially established, the PRR-GHG must redo the validation process to PRR-GHG*”, while Section 11.1 of the CERCARBONO Protocol establishes that “*validation processes will be carried out after the first time in order to update the contemplated project activities, either by adding new instances in both the baseline*

and project scenarios. such as happens in grouped projects or by changes due to external factors (such as environmental catastrophes, market, policies, among others)”.

Question 4.3 Are quantified, monitored, reported, and verified

Are procedures in place to ensure that...	
a) emissions units are based on accurate measurements and valid quantification methods/protocols? (<i>Paragraph 3.3</i>)	<input checked="" type="checkbox"/> YES
b) validation occurs prior to or in tandem with verification? (<i>Paragraph 3.3.2</i>)	<input checked="" type="checkbox"/> YES
c) the results of validation and verification are made publicly available? (<i>Paragraph 3.3.2</i>)	<input checked="" type="checkbox"/> YES
d) monitoring, measuring, and reporting of both activities and the resulting mitigation is conducted at <i>specified intervals</i> throughout the duration of the crediting period? (<i>Paragraph 3.3</i>)	<input checked="" type="checkbox"/> YES
e) mitigation is measured and verified by an accredited and independent third-party verification entity? (<i>Paragraph 3.3</i>)	<input checked="" type="checkbox"/> YES
f) <i>ex-post</i> verification of mitigation is required in advance of issuance of emissions units? (<i>Paragraph 3.3</i>)	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) through f):

a) emissions units are based on accurate measurements and valid quantification methods/protocols

The CERCARBONO programme has procedures in place to ensure that emission units are based on accurate measurements by requiring all projects to apply one of the methodologies approved by the programme. The methodologies must meet the requirements of accurate, reliable and conservative estimates; this is one of the requirements that the VVB must assess whether the selected quantification methodologies and associated measurements or monitoring are appropriate. To do so, it must assess whether the measurements are accurate, reliable and conservative, and whether they have been properly applied, as explained in section 12.2.5 of the Protocol certification. Finally, the CERCARBONO technical team is responsible for the final review of compliance with the requirements of the quantification and monitoring methodologies in the certification process.

b) validation occurs prior to or in tandem with verification

Section 10 of the CERCARBONO certification protocol describes the requirements that projects must comply with to be part of the programme, it lists all the stages that make up the project cycle; this cycle includes eight phases, within which the validation stage is presented before the verification stage; however, CERCARBONO establishes in this section that it is possible for the validation and verification processes to be carried out simultaneously, integrated in a single report. In these cases, if there are no corrective actions, a separate or joint validation and verification statement is generated, which can be used both for project registration and for emission certification and credit registration.

c) the results of validation and verification are made publicly available

As described in section 15.3.1 of the Certification Protocol, the services of the voluntary certification programme include the publication of updated project information, which is possible through the EcoRegistry registration platform, where the validation and verification statements and the verification report made by the VVB are published.

This information can be verified at the following link <https://www.ecoregistry.io/projects>

d) monitoring, measuring, and reporting of both activities and the resulting mitigation is conducted at *specified intervals* throughout the duration of the crediting period

Section 10.1 of the protocol, which lists the project components, specifies that one of them is the monitoring plan and monitoring frequency. Subsequently, in section 10.2.11, which addresses project monitoring, the programme establishes that the owner or developer is responsible for developing a monitoring plan that includes procedures for measuring, recording, compiling and analyzing data and information relevant to quantifying and reporting emissions. The monitoring plan should include:

1. Purpose of monitoring,
2. List of parameters measured and monitored,
3. Types of data and information to be reported, including units of measurement,
4. Source of data,
5. Monitoring methodologies (estimation, modeling or measurement), calculation approaches and uncertainty. In case of measurement, establish or include calibration and maintenance protocols for measurement equipment, as appropriate,
6. Frequency of monitoring, considering the needs of stakeholders,
7. Definition of roles and responsibilities,
8. Controls including internal evaluation of input, transformation and output data, and procedures for corrective actions,
9. GHG information management systems, including location and retention of stored data and data management including a procedure for transferring data between different forms of systems or documentation,
10. Monitoring report structure.

Regarding the verification of emission reductions or removals, section 11.1 of the protocol establishes that verification processes subsequent to the first verification shall be carried out as many times as have been established in the monitoring plan, according to the project's accreditation period or when the project owner considers it appropriate.

e) mitigation is measured and verified by an accredited and independent third-party verification entity

Within the definitions of the CERCARBONO protocol in section 5, the definition of verification is included as the systematic, independent and documented process carried out by a third party, in which the methodological consistency of the removal or reduction actions of a project is evaluated. It also defines validation and verification

bodies (VVBs) as entities that act as independent third parties, which are authorized by CERCARBONO and carry out validation or verification processes for projects.

VVBs are required to issue a validation statement or a verification statement supporting the project baseline and scenario indicating that the GHG emission removals or reductions were generated in accordance with the methodology defined in ISO 14064-2 and the results obtained in the verification performed under ISO 14064-3 or those that adjust and update them.

Section 14 of the Certification Protocol lists the Validation and Verification Bodies (VVB) authorized by CERCARBONO, which are defined as entities that act as an independent third party and must be accredited by an International Accreditation Forum (IAF) signatory member accreditation body that has in its service offering the GHG Validation or Verification Body accreditation programme according to the requirements of ISO 14065.

f) ex-post verification of mitigation is required in advance of issuance of emissions units

Being consistent with the previous answer, CERCARBONO defines in its certification protocol in section 15 related to certification requirements, that it is indispensable to present the supporting documents of the verification processes, among which are included the verification report, the findings report (when applicable) and the verification statement.

Are provisions in place... (<i>Paragraph 3.3.3</i>)	
a) to manage and/or prevent conflicts of interest between accredited third-party(ies) performing the validation and/or verification procedures, and the programme and the activities it supports?	<input checked="" type="checkbox"/> YES
b) requiring accredited third-party(ies) to disclose whether they or any of their family members are dealing in, promoting, or otherwise have a fiduciary relationship with anyone promoting or dealing in, the offset credits being evaluated?	<input checked="" type="checkbox"/> YES
c) to address and isolate such conflicts, should they arise?	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) through c):

a) to manage and/or prevent conflicts of interest between accredited third-party(ies) performing the validation and/or verification procedures, and the programme and the activities it supports

The procedures established by CERCARBONO programme for the prevention and management of conflicts of interest that apply to VVBs are defined in the collaboration agreements signed between the programme and the respective VVB. In this agreement (section 3.1.15.) it is defined that the VVB may not engage directly or indirectly in any business or professional activity that may produce a conflict of interest with the responsibilities under his charge by virtue of the execution of his duties as validator and verifier. In case of identifying a possible conflict of interest, it is the obligation of the VVB to inform CERCARBONO of the fact in order to carry out the due process.

b) requiring accredited third-party(ies) to disclose whether they or any of their family members are dealing in, promoting, or otherwise have a fiduciary relationship with anyone promoting or dealing in, the offset credits being evaluated

CERCARBONO programme seeks to guarantee the transparency of the projects registered in its certification programme, defining within its policies the need to implement mechanisms to prevent and correctly manage possible conflicts of interest that may arise in the validation and verification processes. Therefore, a template was defined to declare that all VVBs implement within their internal processes mechanisms to prevent possible conflicts of interest; this template is publicly available in the "certification" section of CERCARBONO's website and it is a prerequisite to apply for certification of any project to have the declaration for both the validation and verification processes. Find the template [here](#).

c) to address and isolate such conflicts, should they arise

Section 14 of the CERCARBONO certification protocol states that the CERCARBONO programme will review any conflict of interest that arises with respect to a VVB. If a conflict exists, the board of directors or a committee assigned by the board will study the case and according to the review and analysis of the conflict of interest, the VVB will be allowed or not to exercise the VVB under the CERCARBONO voluntary carbon certification programme.

Are procedures in place requiring that... (<i>Paragraph 3.3.4</i>)	
a) the renewal of any activity at the end of its crediting period includes a reevaluation of its baselines, and procedures and assumptions for quantifying, monitoring, and verifying mitigation, including the baseline scenario?	<input checked="" type="checkbox"/> YES
b) the same procedures apply to activities that wish to undergo verification but have not done so within the programme’s allowable number of years between verification events?	<input type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) and b), including identifying the allowable number of years between verification events:

a) the renewal of any activity at the end of its crediting period includes a reevaluation of its baselines, and procedures and assumptions for quantifying, monitoring, and verifying mitigation, including the baseline scenario

Section 10.3 of the CERCARBONO Protocol establishes that the renewal of the crediting period will be carried out through a new validation statement, in which it will be analyzed whether the PRR-GHG continues to be additional and whether it continues to comply with the protocol requirements.

b) the same procedures apply to activities that wish to undergo verification but have not done so within the programme’s allowable number of years between verification events

This item will be considered in the next version of the protocol.

Are procedures in place to transparently identify units that are issued <i>ex ante</i> and thus ineligible for use in the CORSIA? (Paragraph 3.3.5)	<input type="checkbox"/> YES
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Provide evidence of the policies and procedures referred to above:

This question does not apply because the CERCARBONO programme does not allow the issuance of ex-ante reduction units. Project certification applications are only received after submission of the verification report with quantified, monitored and verified emissions.

Question | Have a clear and transparent chain of custody

SECTION III, Part 3.4—*Identification and tracking* includes questions related to this criterion. No additional information is requested here.

Question 4.5 Represent permanent emissions reductions

List all emissions sectors (if possible, activity types) supported by the Programme that present a potential risk of reversal of emissions reductions, avoidance, or carbon sequestration:

Of all the sectors and types of activities that CERCARBONO currently certifies, only reforestation projects present a risk of reversal of GHG emission reductions, due to the inherently non-permanent nature of removals. In this sense, the national regulation has been lax, accepting as permanent removals which by their nature are not; However, CERCARBONO agrees to register this type of projects in the context of not causing the tax on GHG emissions from the use of fossil fuels in line with the legislation and national context, but not for other objectives or markets. This restriction will be indicated in the next version of the CERCARBONO protocol.

What is the minimum scale of reversal for which the Programme provisions or measures require a response? (Quantify if possible)

Current version of the CERCARBONO protocol establishes that the project developer must select and apply criteria and procedures to assess the risk of a reversal of GHG removal in accordance with the selected methodology. However, it does not establish minimum scales for possible reversals that must be made.

The next version of the protocol will further develop this, including the following:

- a) mitigation of the risks of reversals that have been identified at the design stage,
- b) monitoring of reversals that occur after reductions have been verified and credits have been issued,
- c) operation and activation of the reversion buffer,
- d) review / stress test of reversion buffer requirements and
- e) Identification and monitoring of carbon leaks outside the project boundaries.

For sectors/activity types identified in the first question in this section, are procedures and measures in place to require and support these activities to...	
a) undertake a risk assessment that accounts for, <i>inter alia</i> , any potential causes, relative scale, and relative likelihood of reversals? (<i>Paragraph 3.5.2</i>)	<input checked="" type="checkbox"/> YES
b) monitor identified risks of reversals? (<i>Paragraph 3.5.3</i>)	<input type="checkbox"/> YES
c) mitigate identified risks of reversals? (<i>Paragraph 3.5.3</i>)	<input type="checkbox"/> YES
d) ensure full compensation for material reversals of mitigation issued as emissions units and used toward offsetting obligations under the CORSIA? (<i>Paragraph 3.5.4</i>)	<input type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) through d):

- a) In Section 10.2.9, as part of the quantification of GHG emissions, removals or reductions in the baseline scenario, the project proponent is requested to apply criteria and procedures to assess the risk of a reversal of a GHG removal according to the selected methodology.
- b) to d) These items will be considered in the next version of the protocol.

Are provisions in place that... (<i>Paragraph 3.5.5</i>)	
a) confer liability on the activity proponent to monitor, mitigate, and respond to reversals in a manner mandated in the programme procedures?	<input type="checkbox"/> YES
b) require activity proponents, upon being made aware of a material reversal event, to notify the programme within a specified number of days?	<input type="checkbox"/> YES
c) confer responsibility to the programme to, upon such notification, ensure and confirm that such reversals are fully compensated in a manner mandated in the programme procedures?	<input type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) through c), including indicating the *number of days within which activity proponents must notify the programme of a material reversal event*:

We do not have provisions in place for these items. They will be considered in the next version of the protocol.

Does the programme have the capability to ensure that any emissions units which compensate for the material reversal of mitigation issued as emissions units and used toward offsetting obligations under the CORSIA are fully eligible for use under the CORSIA? (<i>Paragraph 3.5.6</i>)	<input type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

We do not have provisions in place for these items. They will be considered in the next version of the protocol.

Would the programme be willing and able, upon request, to demonstrate that its permanence provisions can fully compensate for the reversal of mitigation issued as emissions units and used under the CORSIA? (<i>Paragraph 3.5.7</i>)	<input checked="" type="checkbox"/> YES
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We do not have provisions in place for these items. They will be considered in the next version of the protocol.

Question 4.6 Assess and mitigate against potential increase in emissions elsewhere

List all emissions sectors (if possible, activity types) supported by the programme that present a potential risk of material emissions leakage:

According to the Protocol, projects must account for leakage according to the provisions in the selected methodology. Any identified leakage source must be quantified and deducted from the accounted emissions reductions or removals. Following the list of activity types with their corresponding list of possible leakage types.

Sector/Type of activity	Leakage		
	CO ₂	CH ₄	N ₂ O
Energy sector			
Renewable energy	Dp	No	No
Energy efficiency	Dp	Dp	No
Fuel Change	Sí	Sí	No
Technology Change	Dp	Dp	No
Industrial sector			
Renewable energy	Sí	No	No
Energy efficiency	Dp	Dp	Dp
Fuel Change	Sí	No	No
Raw Material Change	Sí	No	No
GHG Emissions Avoided	Dp	No	No
Transport sector			
Energy efficiency	Dp	No	No
Fuel Change	No	No	No
Fugitive Emissions			
Fuel Change	Sí	No	No
Emissions Avoided	No	No	No
Destruction of GHG Emissions	No	Dp	No
Waste Handling and Disposal			
Renewable energy	No	Sí	NO
Emissions Avoided	No	No	No
Emission Destruction	Dp	Dp	Dp
Land Use sector			
Reforestation	Sí	Sí	Sí
REDD +	No	No	No
Woody revegetation	Sí	Sí	Sí

Are measures in place to assess and mitigate incidences of material leakage of emissions that may result from the implementation of an offset project or programme? (<i>Paragraph 3.6</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

CERCARBONO Protocol addresses the issue of leaks in many parts of the document, establishing specific provisions for each type of project and indicating that the issue should be addressed according to the indications of the

selected methodology. All methodologies accepted by CERCARBONO have provisions in place for assessing and mitigating possible occurrence of leakage.

Are provisions in place requiring activities that pose a risk of leakage when implemented at the project level to be implemented at a national level, or on an interim basis on a subnational level, in order to mitigate the risk of leakage? (<i>Paragraph 3.6.2</i>)	<input type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

In this moment CERCARBONO not have provisions related to this point.

Are procedures in place requiring and supporting activities to monitor identified leakage? (<i>Paragraph 3.6.3</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

Methodologies accepted by CERCARBONO have specific provisions for monitoring leakage, unless they consider that leakage is not possible. In the case of the methodologies developed by CERCARBONO, in the REDD+ Methodology, this monitoring is described in detail in Section 10.3; in the case of the Transportation Methodology, in sections 8.3 and 9 and in that of Sanitary Landfills, leakage is not considered.

Are procedures in place requiring activities to deduct from their accounting emissions from any identified leakage that reduces the mitigation benefits of the activities? (<i>Paragraph 3.6.4</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

Most methodologies accepted by CERCARBONO have in place equations explicitly considering leakage in carbon accounting for the estimation of the net GEI emissions removals or reductions, as is the case of CDM methodologies and CERCARBONO own methodologies. See previous answer.

Question 4.7 Are only counted once towards a mitigation obligation

Does the Programme have measures in place for the following...	
a) to ensure the transparent transfer of units between registries; and that only one unit is issued for one tonne of mitigation (<i>Paragraphs 3.7.1 and 3.7.5</i>)	<input checked="" type="checkbox"/> YES
b) to ensure that one unit is issued or transferred to, or owned or cancelled by, only one entity at any given time? (<i>Paragraphs 3.7.2 and 3.7.6</i>)	<input checked="" type="checkbox"/> YES
c) to discourage and prohibit the double-selling of units, which occurs when one or more entities sell the same unit more than once? (<i>Paragraph 3.7.7</i>)	<input checked="" type="checkbox"/> YES
d) to require and demonstrate that host countries of emissions reduction activities agree to account for any offset units issued as a result of those activities such that double claiming	<input checked="" type="checkbox"/> YES

does not occur between the airline and the host country of the emissions reduction activity? (Paragraph 3.7.3)	
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Summarize and provide evidence of the policies and procedures referred to in a) through d):

a) to ensure the transparent transfer of units between registries; and that only one unit is issued for one tonne of mitigation

CERCARBONO programme intends to guide efforts to cooperate in the construction of a reliable and transparent market, a scenario in which the need to align the program's own policies with the national climate strategies established in the different countries participating in the carbon market becomes evident in order to achieve the objective of preventing double counting of carbon credits (called CARBONCER under CERCARBONO) issued. This is why the programme decided to establish a document that includes procedures for the issuance, registration and retirement of CARBONCER in a way that ensures, as far as possible, that such credits have not been issued or used under other schemes, registries or standards. See the document on procedures for issuing, withdrawing and transferring credits and the double-counting prevention policies [here](#).

b) to ensure that one unit is issued or transferred to, or owned or cancelled by, only one entity at any given time

CERCARBONO's double-counting document establishes the preventive mechanisms to avoid double emissions, including the following:

- Project owner and location information available: Whenever a project is registered, all project owners must be identified, as well as their exact location using Shape or KML formats. Ownership of credits is always defined on issuance certificates and retirement certificates.
- Contractual statement of the project owner: Through a contract signed between the two parties (project owner and certification programme), the owner declares that the project is its legitimate and exclusive property. Additionally, the owner declares that, at the time of requesting the certification and subsequent registration of the Certified Emission Reductions, he/she has no knowledge that these have been, or are being or will be certified or registered in other national or international registry systems, or that concurrent benefits contrary to the law have been obtained on them, or that multiple accounting processes are being carried out to obtain additional benefits.
- Programme conversion procedures: CERCARBONO has procedures in place to register and monitor projects that want to migrate from a certification programme to CERCARBONO. These procedures state that the carbon credits to be converted to the CERCARBONO programme have not been sold, used for offset purposes, surrendered for compliance purposes in any mandatory or voluntary carbon market, or used for carbon tax exemption purposes.

c) to discourage and prohibit the double-selling of units, which occurs when one or more entities sell the same unit more than once

CERCARBONO's double counting document establishes preventive mechanisms to avoid the double use of emissions. A robust registry system or platform is a fundamental tool to ensure accuracy in accounting for

mitigation actions and to prevent the existence of dual use.

EcoRegistry has an efficient operation that allows the user to enter information on the final destination of credits. This is how CERCARBONO issues its credits specifying their final use in national, corporate and independent mitigation initiatives such as carbon tax, CORSIA, ETS Mechanisms and own, independent or other voluntary purposes. So far CERCARBONO has implemented this mechanism for all credits that have as final destination the Colombian carbon tax.

Everything is supported by assigning a unique serial number to each credit, which is assigned by the EcoRegistry platform, thus ensuring that no double use of such credits is generated. In this way, each certified credit has a visual and registered differentiation as to its final use that allows its identification in the certificates issued.

EcoRegistry publicly indicates whether or not a given offset credit has been qualified by the certification programme for use under a carbon offset and reduction scheme.

d) to require and demonstrate that host countries of emissions reduction activities agree to account for any offset units issued as a result of those activities such that double claiming does not occur between the airline and the host country of the emissions reduction activity

The double counting document establishes that the tools developed to avoid double-claiming are intended to be used primarily under carbon offset and reduction plans or schemes that involve several countries in their development and end-use.

CERCARBONO requests from all participants or project owners who wish to be part of an offset scheme where double-claiming is possible, a written statement from the host country where the emission reductions or removals actually occurred. This must occur once offset credits have been issued and CERCARBONO has qualified those credits under the selected scheme.

The request is for the host country to issue a statement authorizing that carbon credits certified by CERCARBONO can be used under a certain offset scheme and stating that they will not claim the associated emission reductions in order to account for them in their mitigation targets.

Does the Programme have procedures in place for the following: <i>(Paragraph 3.7.8)</i>	
a) to obtain, or require activity proponents to obtain and provide to the programme, written attestation from the host country’s national focal point or focal point’s designee?	<input checked="" type="checkbox"/> YES
b) for the attestation(s) to specify, and describe any steps taken, to prevent mitigation associated with units used by operators under CORSIA from also being claimed toward a host country’s national mitigation target(s) / pledge(s)?	<input checked="" type="checkbox"/> YES
c) for Host country attestations to be obtained and made publicly available prior to the use of units from the host country in the CORSIA?	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) through c):

a) to obtain, or require activity proponents to obtain and provide to the programme, written attestation from the host country’s national focal point or focal point’s designee

Through the EcoRegistry registration platform, the certification process is carried out; before issuing credits, the certifier selects the schemes or programmes in which the project meets all the eligibility criteria on an annual basis. When the owner of a project is going to make a retirement, it is necessary to indicate through the registration platform the final use that the credits will have, this final use must be selected as previously approved by the certification team. According to the selected final use, the system will require the owner of the project to upload the host country statement to the platform. Until the statement process is completed, it will not be possible to make the retirement.

b) for the attestation(s) to specify, and describe any steps taken, to prevent mitigation associated with units used by operators under CORSIA from also being claimed toward a host country’s national mitigation target(s) / pledge(s)

According to CERCARBONO's double accounting document, the format and content of the statements of the host countries is defined according to the circumstances and needs of each country, so it is up to each nation to define it. However, in order to comply with procedures that guarantee the principle of transparency in the accounting of global emissions, CERCARBONO establishes recommendations on the information it considers necessary to include in the statements issued by the countries.

- Specify the project with name and identification.
- Establish the time period over which reductions or removals are authorized, as well as identify the time periods in which the NDC targets are included.
- Determine the project activities covered by the NDC objectives.
- Specify the scheme, mechanism or programme under which emissions that will not be included in national accounting will be used.
- Describe the adjustments to be implemented in the accounting, where applicable.
- Include any additional restrictions that the host country considers necessary to support the transaction.

c) for Host country attestations to be obtained and made publicly available prior to the use of units from the host country in the CORSIA

As explained in a) above, host country statements are requested before credits can be used under the CORSIA.

The CERCARBONO double counting document also states that the statement issued by the host country will be made publicly available.

Does the Programme have procedures in place requiring... (Paragraph 3.7.9)	
a) that activities take approach(es) described in (any or all of) these sub-paragraphs to prevent double-claiming?	<input checked="" type="checkbox"/> YES
<input type="checkbox"/> Emissions units are created where mitigation is not also counted toward national target(s) pledge(s) / mitigation contributions / mitigation commitments. (Paragraph 3.7.9.1)	
<input type="checkbox"/> Mitigation from emissions units used by operators under the CORSIA is appropriately	

accounted for by the host country when claiming achievement of its target(s) / pledges(s) / mitigation contributions / mitigation commitments, in line with the relevant and applicable international provisions. (<i>Paragraph 3.7.9.2</i>)	
<input type="checkbox"/> Programme procedures provide for the use of method(s) to avoid double-claiming which are not listed above (<i>Paragraph 3.7.9.3</i>)	
b) that Host Country attestations confirm the use of approach(es) referred to in the list above?	<input type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) and b):

a) Most of the certificates issued by CERCARBONO are aimed at not causing the tax on GHG emissions from burning fossil fuels in Colombia. In this case, these credits are accounted for at the country level and not in any other context. Since the credits issued by CERCARBONO have an explicit identification of their destination and that they are publicly exposed in EcoRegistry, it is not possible that they can be used for any other purpose than the one already registered.

Currently the EcoRegistry database is available where all projects with their respective retirements can be viewed. However, CERCARBONO recognizes the need to make available to the public and especially to all host countries, as much information as possible to help in the process of avoiding double counting, which is why the programme has proposed the development of an annual certification report where all information related to offset credits will be published.

Does the Programme... (<i>Paragraph 3.7.10</i>)	
a) make publicly available any national government decisions related to accounting for units used in ICAO, including the contents of host country attestations described in paragraph 3.7.8?	<input checked="" type="checkbox"/> YES
b) update information pertaining to host country attestation as often as necessary to avoid double-claiming?	<input checked="" type="checkbox"/> YES

Summarize and provide evidence of the policies and procedures referred to in a) and b):

As stated in the double counting document, CERCARBONO is willing to adjust its procedures and requirements under the provisions of the Paris Agreement with respect to each country's NDCs and the time periods that apply to those targets and is willing to synchronize with the decisions of national governments, to the extent possible. However, it is important to clarify that it is only possible to accept credits under any offsetting scheme in cases where all information related to the use of such credits is available and where the consents of all parties involved are included.

Does the Programme have procedures in place to compare countries' accounting for emissions units in national emissions reports against the volumes of eligible units issued by the programme and used under the CORSIA which the host country's national reporting focal point or designee otherwise attested to its intention to not double claim? (<i>Paragraph 3.7.11</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

CERCARBONO is currently in the design stage of its annual emissions report where the objective of the programme is to make publicly available information on the annual amount of emissions emitted, transferred, retired and cancelled, as well as to generate content regarding the amount of credits that have been retired under the different offsetting schemes.

Does the Programme have procedures in place for the programme, or proponents of the activities it supports, to compensate for, replace, or otherwise reconcile double claimed mitigation associated with units used under the CORSIA which the host country’s national accounting focal point or designee otherwise attested to its intention to not double claim? (<i>Paragraph 3.7.13</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

The double counting document states that in the event that double counting is identified, CERCARBONO through its registry defines procedures to invalidate the offsetting credits that were doubly claimed.

Depending on the situation and the severity of the occurrence, CERCARBONO's board of directors will define what sanction apply:

- ▶ Minimum sanction: invalidation of the offsetting units or credits that were double-counted.
- ▶ Moderate sanction: forced compensation of occurrence which consists of the registration system taking a certain amount of credits defined by CERCARBONO to compensate the occurrence of double counting.
- ▶ Severe sanction: invalidation of the entire project.
- ▶ Maximum sanction: in addition to the invalidation of the entire project, the owner of the project subject to double counting is indefinitely disqualified from registering the project in the CERCARBONO programme.

All the procedures established in this document are focused on preventing double counting, but if a double issuance or double use of credits that were previously traded should occur, CERCARBONO will bring enforcement actions against the owner involved with the sole purpose of compensating the damages caused to the buyer of the credits.

Would the Programme be willing and able, upon request, to report to ICAO’s relevant bodies, as requested, performance information related to, <i>inter alia</i> , any material instances of and programme responses to country-level double claiming; the nature of, and any changes to, the the number, scale, and/or scope of host country attestations; any relevant changes to related programme measures? (<i>Paragraph 3.7.12</i>)	<input checked="" type="checkbox"/> YES
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Question 4.8 Do no net harm

Are procedures in place to ensure that offset projects do not violate local, state/provincial, national or international regulations or obligations? (<i>Paragraph 3.8</i>)	<input checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

The CERCARBONO Protocol repeatedly mentions the requirement of compliance with the laws by the projects that seek to be certified by the programme.

For their part, the validating and verifying bodies must review compliance with the relevant laws by project developers.

Describe, and provide evidence that demonstrates, how the programme complies with social and environmental safeguards: (*Paragraph 3.8*)

Same reply as for Question 3.9, above.

Describe, and provide evidence of the programme's public disclosure of, the institutions, processes, and procedures that are used to implement, monitor, and enforce safeguards to identify, assess and manage environmental and social risks: (*Paragraph 3.8*)

Currently, a summary of PDDs of the registered projects is publicly available on the EcoRegistry platform. However, these summaries do not clearly show information or evidence related to neither net damage nor issues as aspects to be considered in the revalidation of the baseline scenario, nor compliance with the expected contributions of the projects to the objectives of sustainable development and solution to the concerns resulting from public consultations where they have been requested. Elements for monitoring these topics will be added to the next version of the protocol, to the PDD template, and to the validation and verification templates, as well as to the public summaries of the PDDs available on the EcoRegistry platform.

PART 5: Programme comments

Are there any additional comments the programme wishes to make to support the information provided in this form?

CERCARBONO is pleased to submit this application form for credits issued by the programme to be evaluated by ICAO for approval of emission reductions under the CORSIA offset scheme.

In the development of this form, the new version of the certification protocol, currently under development, that is currently under development is repeatedly mentioned and referred to. In order to present more complete information on the stages and contents that will be modified in this new version, CERCARBONO attaches to the application a file (Attachment No.2) where the section of the CERCARBONO work plan corresponding to the above mentioned is presented.

SECTION IV: SIGNATURE

I certify that I am the administrator or authorized representative (“Programme Representative”) of the emissions unit programme (“Programme”) represented in a) this form, b) evidence accompanying this form, and c) any subsequent oral and/or written correspondence (a-c: “Programme Submission”) between the Programme and ICAO; and that I am duly authorized to represent the Programme in all matters related to ICAO’s analysis of this application form; and that ICAO will be promptly informed of any changes to the contact person(s) or contact information listed in this form.

As the Programme Representative, I certify that all information in this form is true, accurate, and complete to the best of my knowledge.

As the Programme Representative, I acknowledge that:

the Programme’s participation in the assessment does not guarantee, equate to, or prejudice future decisions by Council regarding CORSIA-eligible emissions units; and

the ICAO is not responsible for and shall not be liable for any losses, damages, liabilities, or expenses that the Programme may incur arising from or associated with its voluntary participation in the assessment; and

as a condition of participating in the assessment, the Programme will not at any point publicly disseminate, communicate, or otherwise disclose the nature, content, or status of communications between the Programme and ICAO, and of the assessment process generally, unless the Programme has received prior notice from the ICAO Secretariat that such information has been and/or can be publicly disclosed.

Signed:

Carlos Trujillo

Full name of Programme Representative (*Print*)

02/17/2021

Date signed (*Print*)

Carlos Trujillo

Programme Representative (*Signature*)

(This signature page may be printed, signed, scanned and submitted as a separate file attachment)

Programme Application Form, Appendix B

Programme Assessment Scope

SHEET A: DESCRIBED ACTIVITIES (Here, list activities supported by the programme that are described in this form for further assessment)

Sector	Supported activity type(s)	Implementation level(s)	Geography(ies)
Energy	Renewable energy	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Energy	Energy efficiency	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Energy	Fuel switch - Efficiency	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Energy	Technology switch - Efficiency	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Industry	Renewable energy	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Industry	Energy efficiency	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Industry	Fuel switch - Efficiency	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Industry	Raw material Switch - Efficiency	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Industry	GHG emissions avoided	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Industry	GHG emissions destruction	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Transport	Energy efficiency	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Transport	Fuel switch - Efficiency	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Fugitive emissions	Fuel switch - Efficiency	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Fugitive emissions	GHG emissions avoided	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Fugitive emissions	GHG emissions destruction	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Waste Management	Renewable energy	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Waste Management	GHG emissions avoided	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Waste Management	GHG emissions destruction	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia, global (depending on methodology).
Forestry	Afforestation / Reforestation	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia
Forestry	Reduction of emissions from deforestation and degradation (REDD)	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Colombia

Programme Application Form, Appendix C

Programme Exclusions Scope

SHEET A: EXCLUDED ACTIVITIES (Here, list activities supported by the programme that are *excluded* from further assessment)

Sector	Project/programme type(s)	Implementation level(s)	Geography(ies)
Chemical industries	All activities	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Country and global
Construction	All activities	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Country and global
Mining/mineral production	All activities	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Country and global
Metal production	All activities	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Country and global
Fugitive emissions from production and consumption of halocarbons and sulphur hexafluoride	All activities	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Country and global
Solvent use	All activities	Project level and programmes of activities, type 1 (Small scale) or type 2 (Large scale)	Country and global

SHEET B: EXCLUDED METHODOLOGIES (Here, list all methodologies / protocols that support activities described in Sheet A)

Methodology name	Unique Methodology / Protocol Identifier	Applicable methodology version(s)	Date of entry into force of most recent version	Prior versions of the methodology that are credited by the Programme (if applicable)	Greenhouse / other gases addressed in methodology	Web link to methodology
Abatement of methane from coal mines	ACM0008	8.0	21.02.2014	None	ND	https://cdm.unfccc.int/methodologies/DB/YS03F6W83P3C9064C07LXW1FVKK1
Decomposition of fluorocarbon (HFC-23) waste streams	AM0001	6.0.0	25.11.2011	None	ND	https://cdm.unfccc.int/methodologies/DB/GAQ2AY2DWI9HK7L1US0276N4AVE5C
Baseline methodology for decomposition of N2O from existing adipic acid production plants	AM0021	3.0	27.02.2009	None	ND	https://cdm.unfccc.int/methodologies/DB/PC4E8C5U68W9ZF58TMCV26DF43W6MZ
Substitution of CO2 from fossil or mineral origin by CO2 from renewable sources in the production of inorganic compounds	AM0027	2.1	05.10.2006	None	ND	https://cdm.unfccc.int/methodologies/DB/OE28W6VRSUJL72789R8R6N6E4W67C7
PFC emission reductions from anode effect mitigation at primary aluminium smelting facilities	AM0030	4.0.0	11.05.2011	None	ND	https://cdm.unfccc.int/methodologies/DB/FK423BNEVGINJ7L34F8NNDVPP1F1EUB
SF6 emission reductions in electrical grids	AM0035	2.0.0	23.11.2012	None	ND	https://cdm.unfccc.int/methodologies/DB/QR8WAAMUJOFF4W9PLUCTJ8G5SX0Z7W5
Methodology for improved electrical energy efficiency of an existing submerged electric arc furnace used for the production of silicon and ferro alloys	AM0038	3.0.0	03.07.2011	None	ND	https://cdm.unfccc.int/methodologies/DB/0BT29QTVH6G0E1S13E5T2V05WJLQ
Feed switch in integrated Ammonia-urea manufacturing industry	AM0050	3.0	20.07.2012	None	ND	https://cdm.unfccc.int/methodologies/DB/0EIV3EFH4NDKPE7C1PKYVJ56KK0G
Biogenic methane injection to a natural gas distribution grid	AM0053	4.0	13.09.2012	None	ND	https://cdm.unfccc.int/methodologies/DB/FYH0CECE0CAWU1735L168508R9P1
Reduction in GHGs emission from primary aluminium smelters	AM0059	2.0	22.07.2016	None	ND	https://cdm.unfccc.int/methodologies/DB/CXNLRVLEA4438MRS400YQD33PCF50
Recovery of CO2 from tail gas in industrial facilities to substitute the use of fossil fuels for production of CO2	AM0063	1.2.0	29.11.2007	None	ND	https://cdm.unfccc.int/methodologies/DB/NT2LQDVFYXJ1VGSOP48VLUG4NS474E
Methodology for improved energy efficiency by modifying refrigerant production facility	AM0068	1.0	15.05.2008	None	ND	https://cdm.unfccc.int/methodologies/DB/VUJ2BZWMTZG0VADYXCG80MA9QW1G0R
Manufacturing and servicing of domestic refrigeration appliances using a low GWP refrigerant	AM0071	2.0	08.04.2010	None	ND	https://cdm.unfccc.int/methodologies/DB/ZWF4K8F3UBCSHU755T3VC2N4N5VGG
Point of Use Abatement Device to Reduce SF6 emissions in LCD Manufacturing Operations	AM0078	2.0.0	02.03.2012	None	ND	https://cdm.unfccc.int/methodologies/DB/0BLZ8PEZ5MIIE13TEVTRV9X8RUK3
Recovery of SF6 from Gas insulated electrical equipment in testing facilities	AM0079	2.0	18.12.2009	None	ND	https://cdm.unfccc.int/methodologies/DB/4Z5E28U4N8R9NLC0V4N9Q8R0K0M17H
Flare or vent reduction at coke plants through the conversion of their waste gas into dimethyl ether for use as a fuel	AM0081	1.0	27.05.2009	None	ND	https://cdm.unfccc.int/methodologies/DB/06975KZV49Z0Z8WJ8BT4SULQQL73DV
Substitution of PFC gases for cleaning Chemical Vapour Deposition (CVD) reactors in the semiconductor industry	AM0092	2.0.0	23.11.2012	None	ND	https://cdm.unfccc.int/methodologies/DB/L47D8C779D63M5344G9923QTN5W0T8D
CF4 emission reduction from installation of an abatement system in a semiconductor manufacturing facility	AM0096	1.0.0	29.09.2011	None	ND	https://cdm.unfccc.int/methodologies/DB/SF95D0W4E43E4R6E9F1UX0D07FCT
Utilization of ammonia-plant off gas for steam generation	AM0098	1.0.0	29.09.2011	None	ND	https://cdm.unfccc.int/methodologies/DB/0NV6MRSV5GKVD8FF5N8MFG5JDT15
Introduction of hot supply of Direct Reduced Iron in Electric Arc Furnaces	AM0109	1.0.0	13.09.2012	None	ND	https://cdm.unfccc.int/methodologies/DB/XJ5UJMT677WYK1Y09VU18K5GERH0W0
Abatement of fluorinated greenhouse gases in semiconductor manufacturing	AM0111	1.0.0	23.11.2012	None	ND	https://cdm.unfccc.int/methodologies/DB/G2DGT148CNACUPOXLFEE1QEDURMW
Shift from electrolytic to catalytic process for recycling of chlorine from hydrogen chloride gas in isocyanate plants	AM0114	1.0	01.06.2014	None	ND	https://cdm.unfccc.int/methodologies/DB/Z0B1K4P3P8EED0N0KLOXRFDTZU
SF6 emission reductions in gas insulated metal enclosed switchgear	AM0119	1.0	04.05.2017	None	ND	https://cdm.unfccc.int/methodologies/DB/UK0S42AP7A47Z2JLGNMG3P3W
Avoidance of HFC emissions in Standalone Commercial Refrigeration Cabinets	AMS-III.AB.	1.0	28.05.2009	None	ND	https://cdm.unfccc.int/methodologies/DB/G28YKXFPD0F0D0WJ3D8G7E18H4HEZ
Displacement of production of brick and cement by manufacture and installation of gypsum concrete wall panels	AMS-III.BH.	1.0	04.10.2004	None	ND	https://cdm.unfccc.int/methodologies/DB/ZB55H9BC494G0548D2F4N4N891J6
Energy Efficiency and HFC-134a Recovery in Residential Refrigerators	AMS-III.X.	2.0	01.10.2010	None	ND	https://cdm.unfccc.int/methodologies/DB/983E0Y8Y8T75G1X44F4W17P1344F
Steam system efficiency improvements by replacing steam traps and returning condensate	AM0017	2.0	6/21/2005	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/AM0017_version_2.pdf
Baseline methodology for steam optimization systems	AM0018	4.0	7/22/2016	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/TWVRK805Y0C65H81N3J4LJ2EBG0G
Baseline methodology for water pumping efficiency improvements	AM0020	2.0	11/2/2007	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/CDMWF_AM_VS6TMTST4HPDP4H5B8A5R35JHJG3ZF
N2O destruction in the tail gas of Caprolactam production plants	AM0028	6.0	5/31/2013	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/IV32ELBASC7F04LUQ7MWDK68SPNZ1
Flare (or vent) reduction and utilization of gas from oil wells as a feedstock	AM0037	3.0	7/22/2016	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/PST6GNEQLK5WMRAZ0F48YX30R0ZUJ
Leak reduction from a natural gas distribution grid by replacing old cast iron pipes or steel pipes without cathodic protection with polyethylene pipes	AM0043	2.0	11/2/2007	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/CDMWF_AM_CFR2N1VP8AR8T04JTN0TH95GNJ0W177
Energy efficiency improvement projects - boiler rehabilitation or replacement in industrial and district heating sectors.	AM0044	2.0.0	11/23/2012	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/ZM0LQGL0B5C05738MVE147WJ98YT
Grid connection of isolated electricity systems	AM0045	3.0	7/22/2016	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/E49W0K3UP7H1K6B6R6BVPF2M2N6A
Distribution of efficient light bulbs to households	AM0046	2.0	11/2/2007	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/CDMWF_AM_GDGLV88N23M4D4LW0X1WHH0S1N0K36
Recovery and utilization of waste gas in refinery or gas plant	AM0055	2.1.0	6/3/2011	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/EC9003464HYBM0XKRW7J0PUSF315
Efficiency improvement by boiler replacement or rehabilitation and optional fuel switch in fossil fuel-fired steam boiler systems	AM0056	1.0	7/26/2007	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/CDMWF_AM_VS02S07P7IVJ90JAUP7PVL6X2WB1
Avoided emissions from biomass wastes through use as feed stock in pulp and paper, cardboard, fibreboard or bio-oil production.	AM0057	3.0.1	8/13/2010	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/WJ2KXRL7GVEJEBTJDSAPNLD0CB94F
Introduction of a district heating system	AM0058	5.0	7/22/2016	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/RS451X80H37DGT3AW8VFLMTJUD0ZC
Power saving through replacement by energy efficient chillers	AM0060	2.0	7/22/2016	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/QF8BE21M9V0AYK36X1H7SIR0VZ1
Capture and utilisation or destruction of mine methane (excluding coal mines) or non mine methane.	AM0064	3.0.0.	3/2/2012	None	ND	https://cdm.unfccc.int/UserManagement/File55/orage/LJ2DU4R8THV80K3IM5C6S080F9Z2

Replacement of SF6 with alternate cover gas in the magnesium industry	AM0065	2.1	8/16/2008	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0065/AM0065/AM0065.pdf
GHG emission reductions through waste heat utilization for pre-heating of raw materials in sponge iron manufacturing process	AM0066	2.0	12/5/2008	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0066/AM0066/AM0066.pdf
Methodology for installation of energy efficient transformers in a power distribution grid	AM0067	2.0	8/16/2008	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0067/AM0067/AM0067.pdf
Biogenic methane use as feedstock and fuel for town gas production	AM0069	2.0	12/18/2009	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0069/AM0069/AM0069.pdf
Manufacturing of energy efficient domestic refrigerators.	AM0070	3.1.0	4/8/2010	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0070/AM0070/AM0070.pdf
Fossil Fuel Displacement by Geothermal Resources for Space Heating	AM0072	3.0	5/31/2013	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0072/AM0072/AM0072.pdf
Methodology for new grid connected power plants using permeate gas previously flared and/or vented.	AM0074	3.0.0	5/11/2012	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0074/AM0074/AM0074.pdf
Methodology for collection, processing and supply of biogas to end-users for production of heat	AM0075	1.0	2/12/2009	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0075/AM0075/AM0075.pdf
Recovery of gas from oil wells that would otherwise be vented or flared and its delivery to specific end-users	AM0077	1.0	2/12/2009	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0077/AM0077/AM0077.pdf
Use of charcoal from planted renewable biomass in a new iron ore reduction system	AM0082	2.0	11/29/2018	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0082/AM0082/AM0082.pdf
Distribution of low greenhouse gas emitting water purification systems for safe drinking water	AM0086	5.0	3/28/2019	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0086/AM0086/AM0086.pdf
Air separation using cryogenic energy recovered from the vaporization of LNG	AM0088	1.0	7/9/2010	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0088/AM0088/AM0088.pdf
Production of diesel using a mixed feedstock of gasoil and vegetable oil	AM0089	2.0	7/24/2015	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0089/AM0089/AM0089.pdf
Modal shift in transportation of cargo from road transportation to water or rail transportation	AM0090	1.1.0	9/17/2010	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0090/AM0090/AM0090.pdf
Energy efficiency technologies and fuel switching in new and existing buildings	AM0091	4.0	11/29/2018	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0091/AM0091/AM0091.pdf
Distribution of biomass based stove and/or heater for household or institutional use.	AM0094	2.0.0	11/23/2012	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0094/AM0094/AM0094.pdf
Waste gas based combined cycle power plant in a Greenfield iron and steel plant.	AM0095	1.0.0	9/29/2011	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0095/AM0095/AM0095.pdf
Installation of high voltage direct current power transmission line	AM0097	1.0.0	9/29/2011	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0097/AM0097/AM0097.pdf
Installation of a new natural gas fired gas turbine to an existing CHP plant.	AM0099	1.0.0	11/25/2011	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0099/AM0099/AM0099.pdf
Renewable energy power generation in isolated grids	AM0103	4.0	11/28/2019	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0103/AM0103/AM0103.pdf
Interconnection of electricity grids in countries with economic merit order dispatch.	AM0104	2.0.0	11/23/2012	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0104/AM0104/AM0104.pdf
Energy efficiency in data centres through dynamic power management.	AM0105	1.0.0	7/20/2012	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0105/AM0105/AM0105.pdf
Energy efficiency improvements of a lime production facility through installation of new kilns	AM0106	2.0.0	9/13/2012	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0106/AM0106/AM0106.pdf
Interconnection between electricity systems for energy exchange.	AM0108	1.0.0	9/13/2012	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0108/AM0108/AM0108.pdf
Less carbon intensive power generation through continuous redox distillation of waste	AM0112	1.0	10/4/2013	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0112/AM0112/AM0112.pdf
Distribution of compact fluorescent lamps (CFL) and light-emitting diode (LED) lamps to households	AM0113	1.0	11/8/2013	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0113/AM0113/AM0113.pdf
Recovery and utilization of coke oven gas from coke plants for LNG production	AM0115	1.0	11/28/2014	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0115/AM0115/AM0115.pdf
Electric taxing systems for airplanes	AM0116	2.0	5/13/2016	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0116/AM0116/AM0116.pdf
Introduction of a new district cooling system	AM0117	2.0	6/14/2019	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0117/AM0117/AM0117.pdf
Introduction of low resistivity power transmission line	AM0118	2.0	11/1/2017	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0118/AM0118/AM0118.pdf
Energy-efficient refrigerators and air-conditioners	AM0120	1.0	11/1/2017	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0120/AM0120/AM0120.pdf
Emission reduction from partial switching of raw materials and increasing the share of additives in the production of blended cement	AM0121	1.0	10/5/2020	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0121/AM0121/AM0121.pdf
Electricity and heat generation from biomass	ACM0006	15.0	12/14/2009	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0006/AM0006/AM0006.pdf
Fuel switching from coal and/or petroleum fuels to natural gas in existing power plants for electricity generation	ACM0011	3.0	11/28/2014	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0011/AM0011/AM0011.pdf
Treatment of wastewater	ACM0014	8.0	6/14/2019	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0014/AM0014/AM0014.pdf
Mass Rapid Transit Projects	ACM0016	4.0	7/24/2015	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0016/AM0016/AM0016.pdf
Production of biofuel	ACM0017	3.1	5/4/2017	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0017/AM0017/AM0017.pdf
N2O abatement from nitric acid production	ACM0019	4.0	11/29/2018	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0019/AM0019/AM0019.pdf
Co-firing of biomass residues for heat generation and/or electricity generation in grid connected power plants.	ACM0020	1.0.0	9/29/2011	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0020/AM0020/AM0020.pdf
Reduction of emissions from charcoal production by improved kiln design and/or abatement of methane.	ACM0021	1.0.0	5/11/2012	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0021/AM0021/AM0021.pdf
Introduction of an efficiency improvement technology in a boiler	ACM0023	1.0	10/4/2013	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0023/AM0023/AM0023.pdf
Natural gas substitution by biogenic methane produced from the anaerobic digestion of organic waste	ACM0024	1.0	2/21/2014	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0024/AM0024/AM0024.pdf
Construction of a new natural gas power plant	ACM0025	2.0	7/22/2016	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0025/AM0025/AM0025.pdf
Fossil fuel based cogeneration for identified recipient facility(ies)	ACM0026	2.0	11/4/2016	None	ND	https://cdm.unfccc.int/Usar/Management/Files/Storage/CDM/AM0026/AM0026/AM0026.pdf

Programme Application Form, Appendix D

Emissions Unit Programme Registry Attestation

PART A. Applicability and Instructions

1. Relevance and definitions:

1.1. These terms are relevant to emissions unit programmes and their designated registries:

1.1.1. **CORSIA Eligible Emissions Unit Programme:** emissions unit programme approved by the ICAO Council as eligible to supply emissions units under the CORSIA.

1.1.2. **CORSIA Eligible Emissions Unit Programme registry:** registry designated by a CORSIA Eligible Emissions Unit Programme to provide its registry services.

1.1.3. **Material change:** any update to the procedures of an emissions unit programme or its designated registry that would alter the functions that are addressed in the Emissions Unit Criteria (EUC), related guidelines, or the contents of this attestation. This includes changes that would alter responses to questions in the application form that the programme has submitted to the ICAO Secretariat or contradict the confirmation of the registry's adherence to the requirements contained in this attestation.

1.1.4. **Cancel:** the permanent removal and single use of a CORSIA Eligible Emissions Unit within a CORSIA Eligible Emissions Unit Programme designated registry such that the same emissions unit may not be used more than once. This is sometimes also referred to as "retirement", "cancelled", "cancelling" or "cancellation".

1.1.5. **Business day:** defined by the CORSIA Eligible Emissions Unit Programme registry when responding to formal instruction from a duly authorized representative of the owner of an account capable of holding and cancelling CORSIA Eligible Emission Units.

1.2. References to "Annex 16, Volume IV" throughout this document refer to Annex 16 to the Convention on International Civil Aviation — *Environmental Protection*, Volume IV — *Carbon Offsetting and reduction Scheme for International Aviation (CORSIA)*, containing the Standards and Recommended Practices (SARPs) for CORSIA implementation.

2. Programme - registry relationship:

2.1. The ICAO Council's Technical Advisory Body (TAB) conducts its assessment of emissions unit programme eligibility including an assessment of the programme's provisions and procedures governing the programme registry, as represented by the programme. The ICAO Council determines CORSIA eligible emissions units upon recommendations by TAB and consistent with the EUC. The programme registry is not separately or independently considered throughout this process.

2.2. The provision of registry services under the CORSIA by a CORSIA Eligible Emissions Unit Programme registry is fully subject to the terms, conditions and limitations to the

programme's scope of eligibility. Such terms include, *inter alia*, the programme's commitment to administer any and all provisions and procedures governing the programme registry in the manner represented by the programme in the application form and additional information provided to TAB during the assessment process.

- 2.3. A CORSIA Eligible Emissions Unit Programme registry can provide registry services to aeroplane operators prior to the programme's and programme registry's demonstration of the registry's consistency with the registry requirements contained in this attestation. However, the programme registry can only claim to support and can only provide for aeroplane operators to fulfill the provisions in Annex 16, Volume IV involving emissions unit cancellation-, reporting-, and verification-related actions after its consistency with the registry requirements contained in this attestation is demonstrated, and the signed attestation is published on the CORSIA website in addition to the ICAO document "*CORSIA Eligible Emissions Units*".

3. Submitting an "*Emissions Unit Programme Registry Attestation*":

- 3.1. Both the administrator or authorized representative ("Programme Representative") of an emissions unit programme ("Programme"), and the administrator or authorized representative ("Registry Representative") of the registry designated by the Programme ("Programme Registry") will review and attest to their acceptance (as signed in Section 8 of this attestation) of all terms contained herein.

- 3.2. The Programme will electronically submit to the ICAO Secretariat a unique, dual-signed attestation for each and every Programme Registry that will provide its registry services to the Programme under the CORSIA:

- 3.2.1. If the Programme is determined to be eligible by a decision of the ICAO Council taken in 2020, the Programme will submit the signed attestation(s) to the ICAO Secretariat no later than one year after the Programme is determined to be eligible by the ICAO Council.

- 3.2.2. From 2021, the Programme should submit the signed attestation(s) to the ICAO Secretariat at the time of applying for assessment by the TAB. If the Programme is determined to be eligible by a decision of the ICAO Council after 31 December 2020, the Programme will submit the signed attestation(s) to the ICAO Secretariat no later than 180 days after the Programme is determined to be eligible by the ICAO Council.

- 3.3. As soon as possible upon receiving a signed attestation from the Programme, the ICAO Secretariat will:

- 3.3.1. Forward the signed attestation to the TAB; and

- 3.3.2. If the Programme is determined to be eligible by a decision of the ICAO Council, publicly post the signed attestation on the CORSIA website in addition to the ICAO document "*CORSIA Eligible Emissions Units*".

PART B: Emissions Unit Programme Registry Attestation

4. Programme application materials. As the Registry Representative, I certify items 4.1 to 4.4:

4.1. I have read and fully comprehend the following information:

4.1.1. The instructions and terms of this attestation;

4.1.2. The contents of the ICAO document “*CORSIA Emissions Unit Eligibility Criteria*”;

4.1.3. The contents of the most recent version of the application form that the Programme has provided to the ICAO Secretariat; and

4.1.4. The terms, conditions and limitations to the Programme’s scope of eligibility and further action(s) requested to the Programme by the ICAO Council, as presented to the Programme upon relevant decision of the ICAO Council on the Programme’s eligibility¹.

4.2. The Programme’s representation of its provisions and procedures governing the Programme Registry, and of Programme Registry functionality, as contained in the most recent version of the application form that the Programme has provided to the ICAO Secretariat, is true, accurate, and complete, to the best of my knowledge;

4.3. The Programme Registry will notify the Programme of any material changes to the Programme Registry, to enable the Programme to maintain consistency with relevant criteria and guidelines throughout its assessment by TAB and up to an eligibility decision by the ICAO Council; and, if applicable, continuing on from the effective date of an affirmative eligibility decision by the ICAO Council, the Programme Registry will notify the Programme of any material changes to the Programme Registry, such that the Programme can maintain consistency with relevant criteria and guidelines;

4.4. The Programme Registry and Registry Representative will not publicly disseminate, communicate, or otherwise disclose the nature, content, or status of communications between the Programme, the Programme Registry, and/or the ICAO Secretariat, related to the status of the Programme’s provision of programme and registry services under the CORSIA, unless the Programme has received prior notice from the ICAO Secretariat that such information has been and/or can be publicly disclosed.

5. Scope of Programme responsibilities under the CORSIA. As the Registry Representative, I acknowledge items 5.1 to 5.2:

5.1. The scope of the Programme assessment by the TAB, through which the TAB will develop recommendations on the list of eligible emissions unit programmes (and potentially project types) for use under the CORSIA, which will then be considered by the ICAO Council for an eligibility decision, including the Programme’s responsibilities throughout this process; and

¹ Only applicable when the Programme submits the signed “*Emissions Unit Programme Registry Attestation*” to the ICAO Secretariat after the Programme is determined to be eligible by a decision of the ICAO Council.

- 5.2. The scope and limitations of the ICAO Secretariat’s responsibilities related to the assessment process.
6. **Programme - Registry relationship.** As the Registry Representative, I understand and accept items 6.1 to 6.2:
- 6.1. The Programme Registry’s provision of registry services under the CORSIA is subject to the terms, conditions and limitations to the Programme’s scope of eligibility, as presented to the Programme upon relevant decision of the ICAO Council on the Programme’s eligibility; and
- 6.2. Only after the Programme and the ICAO Secretariat have completed all steps in Part A, Section 3 of this attestation, can the Programme Registry facilitate and identify emissions unit cancellations specifically for CORSIA use, and support any related reporting and verification activities. The Programme Registry will not promote itself as being capable of providing registry services for the described purpose until such time.
7. **Scope of Programme Registry responsibilities under the CORSIA.** As the Registry Representative, I certify items 7.1 to 7.11:
- 7.1. The Programme Registry is capable of fully meeting the objectives of any and all Programme provisions and procedures related to the Programme Registry that the Programme is required to have in place:
- 7.1.1. In the manner represented by the Programme in the application form that the Programme has provided to the ICAO Secretariat; and
- 7.1.2. As acknowledged by the Programme in the signed “Programme acceptance to terms of eligibility for inclusion in the ICAO document “*CORSIA Eligible Emissions Units*”²”.
- 7.2. The Programme Registry will not deny a CORSIA participant’s request for a registry account solely on the basis of the country in which the requestor is headquartered or based;
- 7.3. The Programme Registry will, upon request of the CORSIA participant account holder or participant’s designee, designate the participant’s cancellation of emissions units for the purpose of reconciling offsetting requirements under the CORSIA, including by compliance cycle;
- 7.4. The Programme Registry will, within 1 – 3 business days of receipt of formal instruction from a duly authorized representative of the owner of an account capable of holding and cancelling CORSIA Eligible Emission Units within the registry, and barring system downtime that is scheduled in advance or beyond the control of the registry administrator, make visible on the Programme Registry’s public website the account owners cancellations of CORSIA Eligible Emission Units as instructed. Such cancellation information will include all fields that are specified for this purpose in Annex 16, Volume IV;

² Only applicable when the Programme submits the signed “*Emissions Unit Programme Registry Attestation*” to the ICAO Secretariat after the Programme is determined to be eligible by a decision of the ICAO Council.

- 7.5. The Programme Registry will, upon request of the CORSIA participant account holder or participant's designee, generate report(s) containing the information specified for this purpose in Annex 16, Volume IV;
 - 7.6. The Programme Registry will maintain robust security practices that ensure the integrity of, and authenticated and secure access to, the registry data of CORSIA participant account holders or participants' designees, and transaction events carried out by a user; and disclose documentation of such practices upon request. The Programme Registry will utilize appropriate method(s) to authenticate the identity of each user accessing an account; grant each user access only to the information and functions that a user is entitled to; and utilize appropriate method(s) to ensure that each event initiated by a user (i.e. transfer of units between accounts; cancellation/retirement of a unit, update of data, etc.) is an intentional transaction event confirmed by the user. Such security features will meet and be periodically updated in accordance with industry best practice;
 - 7.7. The Programme Registry will, upon identifying any breach of Programme Registry data security or integrity that affects a CORSIA participant account holder or participant's designee, notify the CORSIA participant account holder or their designee, and notify the Programme, which will inform and engage with the ICAO Secretariat on the matter in the same manner as required for material deviations from the Programme's application form;
 - 7.8. The Programme Registry will ensure the irreversibility of emissions unit cancellations and the designation of the purpose of emissions units cancellations, as per the requirements contained in Annex 16, Volume IV (Part II, Chapter 4). Without prejudice to the aforementioned, such requirement would not prevent a Programme Registry from utilizing secure, time-bound and auditable methods for correcting unintentional user-entry errors;
 - 7.9. The Programme Registry will ensure that all cancellation information on its website is presented in a user-friendly format; is available at no cost and with no credentials required; is capable of being searched based on data fields; and can be downloaded in a machine-readable format, e.g., .xlsx;
 - 7.10. The Programme Registry will retain documents and data relevant to CORSIA Eligible Emissions Units and cancellations on an ongoing basis and for at least three years beyond the end date of the latest compliance period in which the emissions unit programme is determined to be eligible; and consistent with the Programme's long-term planning, including plans for possible dissolution;
 - 7.11. The Programme Registry will append a document to the end of the signed attestation describing how it will ensure its ability to implement the requirements of this document. This will include references to existing registry functionalities that already meet the requirements of this document and/or description of business practices and procedures that ensure the Programme Registry's ability to implement the requirements in this document.
- 8. Accuracy and completeness of information.** The signatures below certify that the information provided is true and correct in all material respects on the date as of which such information is dated or certified and does not omit any material fact necessary in order to make such information not misleading. Representatives are duly authorized for official correspondence on behalf of their organization.
-

Carlos Trujillo

Programme Representative Signature

Carlos Trujillo Echeverri
Programme Representative Name

Certificadora de Carbono S.A.S
Programme Name

February 6th, 2020
Date

Ana M. Restrepo

Registry Representative Signature

Ana Mercedes Restrepo
Registry Representative Name

EcoRegistry
Registry Name

February 6th, 2020
Date

Andrés Correa Agudelo

Registry Representative Signature

Andrés Correa Agudelo
Registry Representative Name

EcoRegistry
Registry Name

February 6th, 2020
Date

Instructions for Registry Representative: Please append a document on the next page of this attestation describing how your Registry will ensure its ability to implement the requirements of this document, including references to existing registry functionalities that meet the requirements of this document and/or description of business practices and procedures that describe the Programme Registry's implementation of the requirement of this document.

ATTACHMENT A: PROGRAMME REGISTRY ATTESTATION DISCLOSURE FORM

PART 1: INSTRUCTIONS FOR REGISTRY REPRESENTATIVE

The following information request corresponds to the registry representative's certification of its adherence to items 7.1 to 7.10 of the *Emissions Unit Programme Registry Attestation* "Scope of Programme Registry responsibilities under the CORSIA".

In accordance with item 7.11 of the *Emissions Unit Programme Registry Attestation*, registry administrators are to complete and append this form to the signed *Attestation* describing how the Registry will ensure its ability to implement the requirements of the *Attestation*. This includes references to existing registry functionalities that already meet the requirements of the *Attestation* and/or descriptions of business practices and procedures that ensure the Programme Registry's ability to implement the requirements in the *Attestation*.

For further guidance regarding the format and approaches for providing summary information and evidence of system functionalities and/or procedures in this form, refer to instructions for "**Form Completion**" in the *Application Form for Emissions Unit Programmes*³.

PART 2: REGISTRY AND REGISTRY REPRESENTATIVE INFORMATION

[A. – C. Programme, Administrator, and Representative information from Part 1 of Application Form]

[D. – E. Programme Registry and Administering Organization Name and contact; Programme Registry Administrator Name and contact information (may duplicate information from A. – C.)]

D: EcoRegistry, a joint venture between XM S.A. E.S.P. and Latin Checkout S.A.S.

EcoRegistry contact: contacto@ecoregistry.io / +57 301 6971019

E: Juan David Durán

Contact: juan@ecoregistry.io / +57 301 6971019

Secondary

Camilo Trujillo

Contact: camilo@ecoregistry.io / +57 313 7486383

PART 3: EVIDENCE OF ADHERENCE TO SCOPE OF REGISTRY RESPONSIBILITIES

7.1	Does the Programme Registry fully meet the objectives of any and all Programme provisions and procedures related to the Programme Registry that the Programme is required to have in place in the manner represented by the Programme in the application form that the Programme has provided to the ICAO Secretariat and, if applicable ⁴ , as acknowledged by the Programme in the signed "Programme acceptance to terms of eligibility for inclusion in the ICAO document 'CORSIA Eligible Emissions Units'"?	X YES
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³ <https://www.icao.int/environmental-protection/CORSIA/Pages/TAB.aspx>

⁴ Only applicable when the Programme submits the signed "*Emissions Unit Programme Registry Attestation*" to the ICAO Secretariat after the Programme is determined to be eligible by a decision of the ICAO Council.

	<p>Describe how the Registry ensures its ability to implement these provisions:</p> <p>The contract signed between EcoRegistry and Cercarbono states that EcoRegistry must provide the services as required by Cercarbono according to its Protocol and procedures. If Cercarbono is accepted as a CORSIA Eligible Emissions Unit Programme, EcoRegistry must ensure compliance with the functionalities necessary for the programme’s operation under the CORSIA mechanism.</p> <p>The EcoRegistry and Cercarbono teams work continuously and together to ensure the registry's proper operation according to the needs of the programme. Other than that, the terms and conditions of EcoRegistry include the definitions from this document in the scope of Programme Registry responsibilities under the CORSIA</p>	
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>	
	<p>EcoRegistry web page: https://www.ecoregistry.io/</p>	
	<p>Terms and Conditions and Habeas Data: https://www.ecoregistry.io/register</p>	
	<p>Project registration process: https://www.ecoregistry.io/info-register-projects</p>	
	<p>Role of registry in the certification process requirements: https://www.cercarbono.com/wp-content/uploads/2020/06/2020.04.13-Protocolo-CERCARBONO_Versi%C3%B3n-2.1-English-Version.pdf</p>	
7.2	<p>Will the Programme Registry ensure that a CORSIA participant’s request for a registry account will not be denied solely on the basis of the country in which the requestor is headquartered or based?</p> <p>Describe how the Registry ensures its ability to implement these provisions:</p> <p>EcoRegistry does not discriminate against any organization or person based on their country of origin to open an account on its platform. EcoRegistry is designed to support account users from any country of the world and provide support in English and Spanish through different channels like email, WhatsApp, Telegram. The basis for accepting or not the creation of accounts on the platform is expressly based on the Know Your Customer process implemented by EcoRegistry, which was described in the following questions in section 3.4 of the Application Form:</p> <ul style="list-style-type: none"> - Are provisions in place ensuring the screening of requests for registry accounts? - Are provisions in place restricting the programme registry (or registries) accounts to registered businesses and individuals? <p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p> <p>https://www.ecoregistry.io/create-account-process</p>	X YES
7.3	<p>Will the Programme Registry, upon request of the CORSIA participant account holder or participant’s designee, designate the participant’s cancellation of emissions units for</p>	X YES

	<p>the purpose of reconciling offsetting requirements under the CORSIA, including by compliance cycle?</p>	
<p>Describe how the Registry ensures its ability to implement these provisions:</p>		
<p>EcoRegistry has an automated retirement procedure for all kinds of registered units in its registry. This procedure asks the account holder to specify the number of units to be retired, the purpose for the retirement, the end beneficiary information, among other data. Suppose the CORSIA participant account holder pretends to retire an eligible CORSIA unit. In that case, he can select CORSIA as the reason for using the carbon offsets to reconcile offsetting requirements under the CORSIA, including by compliance cycle. An example is shown below.</p>		
<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry's implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>		
<div style="border: 1px solid #ccc; padding: 10px;"> <h3 style="text-align: center;">Carbon offsets cancellation</h3> <p>Project <input type="text" value="Waste handling - Test project"/></p> <p>Serial <input type="text" value="CDC_191_1_5_321_13_GR_1_1_2018"/></p> <p>Carbon offsets Issued/Received <input type="text" value="50.000"/></p> <p>Carbon offsets Cancelled/Transferred <input type="text" value="11.980"/></p> <p>Carbon offsets available <input type="text" value="38.020"/></p> <p>Reason for using the carbon offsets <input type="text" value="Corsia"/></p> <p>Carbon offsets to cancel <input type="text" value="1.000"/></p> <p>Certificate language <input type="text" value="English"/></p> <hr/> <p>End user information</p> <p>Country <input type="text" value="Denmark"/></p> <p>Document type <input type="text" value="ID"/></p> </div>		

<p>7.4</p>	<p>a. Will the Programme Registry, within 1 – 3 business days of receipt of formal instruction from a duly authorized representative of the owner of an account capable of holding and cancelling CORSIA Eligible Emission Units within the registry, and barring system downtime that is scheduled in advance or beyond the control of the registry administrator, make visible on the Programme Registry's public website the account owner's cancellations of CORSIA Eligible Emission Units as instructed.</p>	<p>X YES</p>
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	b. Will such cancellation information (row a) include all fields that are specified for this purpose in Annex 16, Volume IV ⁵ ?	X YES
Describe how the Registry ensures its ability to implement these provisions:		
EcoRegistry is characterized by being a self-managed platform. Every action that an account holder does in EcoRegistry is updated in real-time. When a retirement action is carried out on the platform by the user, the transaction is performed automatically by the system according to the information provided by the user on the platform. Likewise, the information about the transaction is automatically published and can be seen by anyone in the accountability project information. If there is a need for transaction confirmation from CORSIA, the process can also be manually implemented if desired.		
In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry's implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i> .		

7.5	Will the Programme Registry, upon request of the CORSIA participant account holder or participant's designee, generate report(s) containing the information specified for this purpose in Annex 16, Volume IV ⁶ ?	X YES
Describe how the Registry ensures its ability to implement these provisions:		
EcoRegistry has developed different kinds of reports that can be shown on the website and downloaded in various formats. These reports are always accessible by the general account owner and by specific users' roles designated for supervision and control, which may be shared with entities like ICAO. The reports can be customized according to the items required by the emissions unit cancellation report as stated in Annex 16, Volume IV, Chapter 4.		
In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry's implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i> .		

⁵ [Reference to SARPs provisions containing specific information / fields to reflect in registry]

⁶ [Reference to SARPs provisions containing specific information / fields to reflect in registry]

EcoRegistry already generates units cancellation reports customized for the Colombian Government to verify the accomplishment of the units used within the carbon tax offsetting mechanism. Units cancellation reports example:

[Exportar datos](#)

Amount carbon offsets cancelled	Cancellation date	Taxpayer subject	Final user	Serial	Cancellation reason	Name of the project	Accreditation period	Start vintage	Final vintage	Program or Standard	Cancellation certificate	Issuance certificate	Verification statement	VVB accreditation certificate
466	2020-12-02	PUMA ENERGY COLOMBIA COMBUSTIBLES S A S.	PUMA ENERGY COLOMBIA COMBUSTIBLES S A S.	CDC_7_1_1_321_14_CO_1_1_340255 a CDC_7_1_1_321_14_CO_1_1_340720	No causación de impuesto al carbono	Reforestación Comercial en Meta	2009-08-01/2029-07-31	2018-01-01	2018-08-31	CERCARBONO				
36	2020-12-02	PUMA ENERGY COLOMBIA COMBUSTIBLES S A S.	PUMA ENERGY COLOMBIA COMBUSTIBLES S A S.	CDC_7_1_1_321_14_CO_1_1_340721 a CDC_7_1_1_321_14_CO_1_1_340756	No causación de impuesto al carbono	Reforestación Comercial en Meta	2009-08-01/2029-07-31	2018-01-01	2018-08-31	CERCARBONO				
9.505	2020-12-02	PUMA ENERGY COLOMBIA COMBUSTIBLES S A S.	PUMA ENERGY COLOMBIA COMBUSTIBLES S A S.	CDC_10_1_1_321_14_CO_1_3_2018_1 a CDC_10_1_1_321_14_CO_1_3_2018_9505	No causación de impuesto al carbono	Bonos de Carbono Caracolí	2010-05-15/2030-05-14	2018-08-26	2018-12-31	CERCARBONO				
4.495	2020-12-02	PUMA ENERGY COLOMBIA COMBUSTIBLES S A S.	PUMA ENERGY COLOMBIA COMBUSTIBLES S A S.	CDC_10_1_1_321_14_CO_1_3_2019_1 a CDC_10_1_1_321_14_CO_1_3_2019_4495	No causación de impuesto al carbono	Bonos de Carbono Caracolí	2010-05-15/2030-05-14	2019-01-01	2019-11-04	CERCARBONO				

7.6	a. Does the Programme Registry maintain robust security practices that ensure the integrity of, and authenticated and secure access to, the registry data of CORSIA participant account holders or participants’ designees, and transaction events carried out by a user?	X YES
	b. Does the Programme Registry disclose documentation of such practices (row a) upon request?	X YES
	c. Does the Programme Registry utilize appropriate method(s) to authenticate the identity of each user accessing an account?	X YES
	d. Does the Programme Registry grant each user access only to the information and functions that a user is entitled to?	X YES
	e. Does the Programme Registry utilize appropriate method(s) to ensure that each event initiated by a user (i.e. transfer of units between accounts; cancellation/retirement of a unit, update of data, etc.) is an intentional transaction event confirmed by the user?	X YES
	f. Do such security features (rows a – e) meet and undergo periodic updates in accordance with industry best practice?	X YES
	Describe how the Registry ensures its ability to implement each provision in rows a – f:	
<p>A: The software architecture from EcoRegistry uses different mechanisms to provide security according to the best practices from ISO27000 family and the OWASP (The Open Web Application Security Project). The application has a configuration that uses Microsoft Azure and Amazon Web Services as cloud platforms and implements secure use of passwords like Amazon Cognito and a Web Application Firewall to prevent security attacks. Inside the security network, the information can only be accessed by the different applications through the authorized web services, protecting all the data stored on the platform.</p> <p>On top of this security, the information is safeguarded under encrypted databases through a Distributed Ledger Technology. Their characteristics correspond to the decentralization of data, validation of transactions by peers, registered information immutability, and implementation of consensus mechanisms. The EcoRegistry’s blockchain-based solution has been granted with an</p>		

	<p>EBSS (Enterprise Blockchain Security Specification) compliance according to an audit processed by S2 Group.</p> <p>As stated by the contract between EcoRegistry and CERCARBONO, EcoRegistry must Perform annual assessments related to hacking, ethical hacking, static and dynamic code tests, and stress tests to access the platform in order to generate transparency and reliability.</p> <p>B: Yes. EcoRegistry can disclose such information upon request. Indeed, the following link confirm the Enterprise Blockchain Security Specification granted to EcoRegistry https://cryptonics.consulting/2020/09/15/cryptonics-issues-enterprise-blockchain-security-specification-compliance-stamp-to-xm-colombia/</p> <p>C: Each user has one password to log into EcoRegistry, which they can modify at any time. During any transaction (transfer and retirement) or project state change signature, EcoRegistry will provide a dynamically created OTP (One Time Password) sent through email or SMS for the user to confirm the process. This good practice helps to avoid fraud, impersonation, and phishing phenomenon.</p> <p>D: EcoRegistry allows the creation of different types of accounts with varying permissions according to the user's needs. Some of these types of accounts are general account, project owner, broker, certification body, among others. When navigating through the platform, these account types can include different roles, like creating projects, receiving credits, and transferring or retiring them. Inside a company's account, the company account administrator can configure users with different permissions, according to the desired functionality that the company needs. Every user will have access to the registry system's information according to the account type and permissions granted.</p> <p>E: No type of action is performed unexpectedly on the platform without the activation of commands executed by the EcoRegistry user. The platform is developed in a friendly manner so that users can perform actions intentionally and consciously. Also, and as stated, during any transaction (transfer and retirement) or project state change signature, EcoRegistry will provide a dynamically created OTP (One Time Password) sent through email or SMS for the user to confirm the process.</p> <p>F: As a technology cutting company, our technical team is continuously updating and certifying itself in the latest developments and technologies in the industry to adopt them and provide an efficient, safe, and reliable service. Proof of this is the development of the platform in blockchain technology, one of the technologies of industry 4.0.</p> <p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry's implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p> <p>EcoRegistry main features: https://drive.google.com/file/d/1Dr8_ve8YOcqml9gIKBt_JfZPuDPhV43j/view?usp=sharing</p>
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7.7	a. Will the Programme Registry, upon identifying any breach of Programme Registry data security or integrity that affects a CORSIA participant account holder or participant's designee, notify the CORSIA participant account holder or their designee?	X YES
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<p>b. Will the Programme Registry, upon identifying any breach of Programme Registry data security or integrity that affects a CORSIA participant account holder or participant’s designee, notify the Programme, which will inform and engage with the ICAO Secretariat on the matter in the same manner as required for material deviations from the Programme’s application form?</p>	<p>X YES</p>
<p>Describe how the Registry ensures its ability to implement each provision in rows a and b:</p>	
<p>A: Within the terms and conditions that the platform users must accept, EcoRegistry has a Service Level Agreement that regulates the commitment to provide the service, the levels of customer service, the availability of the platform, the management and handling of errors in the platform, among other elements. It is precisely there that the commitment between the administrators of EcoRegistry and the users of the service is identified to maintain a fluid communication that allows to adequately manage possible breaches of security and integrity of the System.</p>	
<p>B: The agreement signed between EcoRegistry and CERCARBONO states that any problem or breach related to the platform should be informed immediately when it is recognized by any user or the support and maintenance team from the platform. If another agreement with CORSIA is needed, it can be signed.</p>	
<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>	
<p>Terms and conditions: https://www.ecoregistry.io/register</p>	

<p>Does the Programme Registry ensure the irreversibility of emissions unit cancellations and the designation of the purpose of emissions units cancellations, as per the requirements contained in Annex 16, Volume IV (Part II, Chapter 4)^{7,8}?</p>	<p>X YES</p>
<p>Describe how the Registry ensures its ability to implement these provisions:</p>	
<p>7.8</p>	<p>The retired units from EcoRegistry are always public on the website, and the operation cannot be changed or reversible after the retirement process is done. This statement can be totally ensured because of blockchain technology. During the retirement process, the tokens are sent to a burn address where they cannot be taken out ever again. The private key of this address is unknown, but the balance can be requested at any time for a detailed accounting process</p> <p>The retirement process in EcoRegistry always allows marking the unit’s specific use, according to the type of market in which the user participates. Suppose the CORSIA participant account holder pretends to retire an eligible CORSIA unit. In that case, he can select CORSIA as the reason for using the carbon offsets to reconcile offsetting requirements under the CORSIA, including by compliance cycle. EcoRegistry can show the transaction through customized retirement unit’s information accessible for CORSIA members to audit according to point 4.4. Verification of Emissions Unit Cancellation Report. If required, a special account may be generated so that CORSIA can download specifics report information.</p>

⁷ Sections 4.2.2 (b)

⁸ Without prejudice to the aforementioned, such requirement would not prevent a Programme Registry from utilizing secure, time-bound and auditable methods for correcting unintentional user-entry errors.

In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this *Emissions Unit Programme Registry Attestation*.

The screenshot displays a web-based interface for managing carbon offsets. It includes several input fields and dropdown menus:

- Project:** Waste handling - Test project
- Serial:** CDC_191_1_5_321_13_GR_1_1_2018
- Carbon offsets Issued/Received:** 50.000
- Carbon offsets Cancelled/Transferred:** 11.980
- Carbon offsets available:** 38.020
- Reason for using the carbon offsets:** Corsia
- Carbon offsets to cancel:** 1.000
- Certificate language:** English
- End user information:**
 - Country:** Denmark
 - Document type:** ID

7.9	a. Does the Programme Registry ensure that all cancellation information on its website is presented in a user-friendly format?	X YES
	b. Does the Programme Registry ensure that all cancellation information on its website is available at no cost and with no credentials required?	X YES
	c. Does the Programme Registry ensure that all cancellation information on its website is capable of being searched based on data fields?	X YES
	d. Does the Programme Registry ensure that all cancellation information on its website can be downloaded in a machine-readable format, e.g., .xlsx?	X YES
	Describe how the Registry ensures its ability to implement each provision in rows a – d:	
<p>A: EcoRegistry is developed in a friendly way. All the information about each retired unit is displayed on the project’s accountability page, with details like the following: retirement certificate, serial numbers (initial and end), carbon offset destination, end-user (beneficiary), date, and quantity of units retired. The supporting documentation and vintages can be accessed directly from the project’s tab link.</p> <p>B: The details of the carbon units retirements can be accessed by any public user of the platform, without any credential and at no cost. Anyone can try by clicking on this link: https://www.ecoregistry.io/emit-certifications/ra/22</p>		

	<p>C: The retirement information can be completely searched based on data fields.</p> <p>D: If an account is granted to the audit team from CORSIA, they will be able to download all this information in Excel files (.xlsx).</p>
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry's implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>
	<p>Project accountability tab example: https://www.ecoregistry.io/emit-certifications/ra/22</p>

7.10	<p>a. Will the Programme Registry retain documents and data relevant to CORSIA Eligible Emissions Units and cancellations on an ongoing basis and for at least three years beyond the end date of the latest compliance period in which the emissions unit programme is determined to be eligible?</p>	<p>X YES</p>
	<p>b. Will the Programme Registry retain documents and data relevant to CORSIA Eligible Emissions Units and cancellations consistent with the Programme's long-term planning, including plans for possible dissolution?</p>	<p>X YES</p>
	<p>Describe how the Registry ensures its ability to implement each provision in rows a and b:</p>	
	<p>A: As a repository for information on carbon projects and units, EcoRegistry is committed to safeguarding data. In fact, the agreement between EcoRegistry and Cercarbono states that documents and relevant data of projects and units must be stored and safeguarded by the registry platform by 5 years at the minimum counting from the project's issuance date.</p> <p>B: Yes. The agreement between EcoRegistry and Cercarbono states that documents and relevant data of projects and units must be stored and safeguarded by the registry platform by 5 years at the minimum counting from the project's issuance date. In the event that Cercarbono or EcoRegistry dissolution plans exist, EcoRegistry will certify the information available up to the date of operation and make it accessible to the different users, ensuring the migration of the data.</p>	
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry's implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>	