

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

**Re-application Form for Emissions Unit Programmes  
seeking eligibility to supply units to  
the CORSA first phase (2024 – 2026 compliance period)**

**(Version 1, February 2023)**

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## **SECTION I: ABOUT THE ASSESSMENT OF RE-APPLICATIONS**

### **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 ICAO Document *CORSA Emissions Unit Eligibility Criteria* for use by TAB in undertaking its tasks<sup>1</sup>. TAB's assessment of emissions units programmes is undertaken annually<sup>2</sup>. The results of ICAO Council decisions that take account of these recommendations are contained in the ICAO Document *CORSA Eligible Emissions Units*<sup>3</sup>.

ICAO invites emissions unit programmes<sup>4</sup> to apply for the 2023 cycle of assessment by the TAB, to determine eligibility to supply CORSA-Eligible Emissions Unit for the **2024-2026 compliance period** (first phase). Any programme that submitted its application(s) in previous assessment cycles and would like to re-apply for TAB assessment must fill out this Re-application form.

The assessment process involves collecting information from each programme through this programme Re-application form and supplementary materials and requested evidence. In undertaking this work, TAB may also ask programmes to provide specific examples or case studies illustrating how programme procedures or systems perform in practice. Through this assessment, the TAB will develop recommendations on the list of eligible emissions unit programmes (and potentially activity types and unit dates) for use under the CORSA first phase, 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

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

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

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

Recommendations from 2021 assessment cycle: <https://www.icao.int/environmental-protection/CORSA/Pages/TAB2021.aspx>

Recommendations from 2022 assessment cycle: <https://www.icao.int/environmental-protection/CORSA/Pages/TAB.aspx>

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

<sup>4</sup> "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>

provided to inform programmes' completion of this Re-application form, in which they are cross-referenced by paragraph number.<sup>5</sup>

This form is also accompanied by Appendix B “*Programme Assessment Scope*”, and Appendix C “*Programme Exclusions Scope*”, which request all re-applicants to identify the programme elements<sup>6</sup> they wish to submit for, or exclude from, TAB’s assessment.

CORSIA Eligible Emissions Units Programmes must also complete Appendix D of this Re-application form, “*Emissions Unit Programme Registry Attestation*” in line with the instructions contained that Appendix. Applicant 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 program 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 Re-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:** As was done previously, 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 Re-application form, and any supporting evidence or clarification provided by the programme including information designated as “business confidential” by the programme, 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.

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<sup>5</sup> For further information on how TAB interprets the EUC in light of the *Guidelines*, refer to the document Clarifications of TAB’s Criteria Interpretations Contained in TAB Reports available on the ICAO TAB website:

[https://www.icao.int/environmental-protection/CORSIA/Documents/TAB/TAB%202022/Clarifications\\_TABs\\_Criteria\\_Interpretations.pdf](https://www.icao.int/environmental-protection/CORSIA/Documents/TAB/TAB%202022/Clarifications_TABs_Criteria_Interpretations.pdf)

<sup>6</sup> At the “activity type” level (e.g., sector(s), sub-sector(s), and/or project “type(s)”)

## **SECTION II: INSTRUCTIONS**

### **Submission and contacts**

A programme is invited to complete and submit the Re-application form, including accompanying evidence and with required appendices, through the ICAO CORSIA website no later than close of business on **24 March 2023**. 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](mailto: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 align with the questions included in the application for TAB's annual assessment, and are derived from the CORSIA emissions unit eligibility criteria (EUC) and any *Guidelines for Criteria Interpretation*. 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”](#).

### **Re-application Form completion**

Any programme that submitted its application(s) in previous assessment cycles and would like to apply in 2023 for TAB assessment must fill out this Re-application form. (Programmes that have never applied for TAB assessment are invited to instead use the Application form, which is designed for first-time applicants.) The programme is expected to respond to all questions in this application form at the time of application submission. TAB cannot initiate its assessment 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 assessment process.

A “complete” response involves three components: 1) a written summary response, 2) supporting evidence, 3) planned programme revisions, and 4) updates and changes to programme procedures since the previous application/approval.

- 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) 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].”

3) **Planned 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).

4) **Updates and changes to programme procedures since the previous application/approval**: Each question in this form provides discrete fields for the programme to include, and clearly distinguish between, two key pieces of information:

(1) the information provided by the programme in its previous application—which includes all written clarifications and explanations shared with TAB over the course of the programme’s previous assessment;

**and**

(2) new information describing any and all procedural changes and updates that programmes introduced ***between the dates of (a)*** their previous application or approval by ICAO Council and **(b) 24 March 2023**. Here, Programmes are requested to summarize and provide evidence of any and all changes, including those that were previously submitted for TAB’s review as potential material changes.

## Scope of re-application

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.

For programmes already eligible to supply emission units for the pilot phase, the programme may elect to revise the scope of activities supported by the programme and assessed by TAB, as compared to its current scope of eligibility. In such a case, the programme is requested to clearly identify, in the following Appendices, the additional 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 were included in the previous application and were previously assessed by TAB and if applicable, **currently eligible under the Scope of Eligibility**<sup>7</sup>, and **additional elements that the programme is submitting for TAB's assessment**; 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 that were excluded from TAB's previous assessments or are **currently outside of programme's Scope of Eligibility**, and **additional elements that the programme wishes to exclude from TAB's assessment**; as well as the specific methodologies, protocols, and/or framework(s) associated with these programme elements.

In **Appendix D** "*Emissions Unit Programme Registry Attestation*", the programme should complete and submit the information outlined in the instructions below, based on the status of its *Registry Attestation*:

- Programme **has not** previously completed and submitted a *Registry Attestation*: Refer to the instructions for completing the attached *Emissions Unit Programme Registry Attestation*, including the signature page and accompanying information form (Appendix D). Provide the completed materials along with this application form.
- Programme **has** previously completed and submitted a *Registry Attestation*: Respond only to Question 7.3 in the *Emissions Unit Programme Registry Attestation* form (Appendix D). ICAO will append this response to the programme's most recent *Registry Attestation* on file.
  - o NOTE: These Programmes **are not** required to re-submit the *Registry Attestation*'s signature page or any other information in Questions 7.1, 7.2, 7.4–7.11 of Appendix D, but may use this opportunity to inform ICAO of any needed updates.

## Treatment of EUC-relevant programme procedures at the methodology level

Programmes that identify with the following explanations are encouraged to summarize and provide evidence of

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<sup>7</sup> As defined in the latest ICAO Document "*CORSIA-Eligible Emissions Units*", available via <https://www.icao.int/environmental-protection/CORSIA/Pages/CORSIA-Emissions-Units.aspx>

both their overarching *programme-level* procedure(s) and *methodology-level* procedure(s) wherever relevant: The CORSIA EUC and TAB assessments typically apply to *programme-level* procedures rather than to individual methodologies or projects. Most programmes' overarching guidance documents contain a mix of *general/guiding* requirements and *technical* ones. However, some programmes set out general requirements in overarching guidance documents, while reflecting key technical procedures in programme methodologies<sup>8</sup>. **Such methodologies may be relevant to TAB's assessment.** This could be the case where, e.g., the methodologies are developed directly by the programme (staff or contractors); the programme must refer to a methodology's requirements when describing its alignment with the EUC; the programme's general requirements alone are too high-level/non-specific for TAB to assess them as stand-alone procedures.

EXAMPLE: Programme A's project standard contains its *programme-level* general requirements. The standard requires all activities to pass a programme-approved additionality test. However, Programme A sets out a unique list of approved tests in each of its methodologies—rather than providing a single list or menu in its programme-level standard. These lists vary across different activity types or category(ies). Thus, TAB may ultimately need to assess Programme A's programme- *and* methodology-level requirements in order to confirm its use of the specific additionality tests called for under the *Must be Additional* criterion.

#### **“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, 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.

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<sup>8</sup> Note that any applicant may use different terminology. For example, a programme may refer to a “methodology” as a protocol or framework.

**SECTION III: RE-APPLICATION FORM**

**PART 1: General information**

**A. Programme Information**

Programme name: [Forest Carbon Partnership Facility \(FCPF\)](#)  
Administering Organization<sup>9</sup>: [The World Bank](#)  
Official mailing address: [World Bank, 1818 H St NW, Washington DC, 20433, USA](#)  
Telephone #: [+ 1 202 473 1000](#)  
Official web address: [www.forestcarbonpartnership.org](#)

**B. Programme Administrator Information**

Full name and title: [Andres Espejo](#)  
Employer / Company (*if not programme*): [Click or tap here to enter text.](#)  
E-mail address: [aespejo@worldbank.org](mailto:aespejo@worldbank.org) Telephone #: [+12407138910](#)

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

Full name and title: [Click or tap here to enter text.](#)  
Employer / Company (*if not Programme*): [Click or tap here to enter text.](#)  
E-mail address: [Click or tap here to enter text.](#) Telephone #: [Click or tap here to enter text.](#)

**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:  
[The World Bank is the Trustee and Secretariat for the FCPF. The FCPF is managed by the Climate Change Fund Management Unit \(SCCFM\) of the Climate Change Group \(CCG\). Ms. Jennifer J. Sara is the Global Director of the Climate Change Group, and Mr. Juergen Voegel is the Vice President of the Sustainable Development Practice Group. Erwin De Nys is the Practice Manager of the SCCFM, and Andres Espejo is the Fund Manager of the FCPF.](#)

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<sup>9</sup> Name of the business, government agency, organization, or other entity that administers the Emissions Unit Programme, *if different from “Programme Name”*.



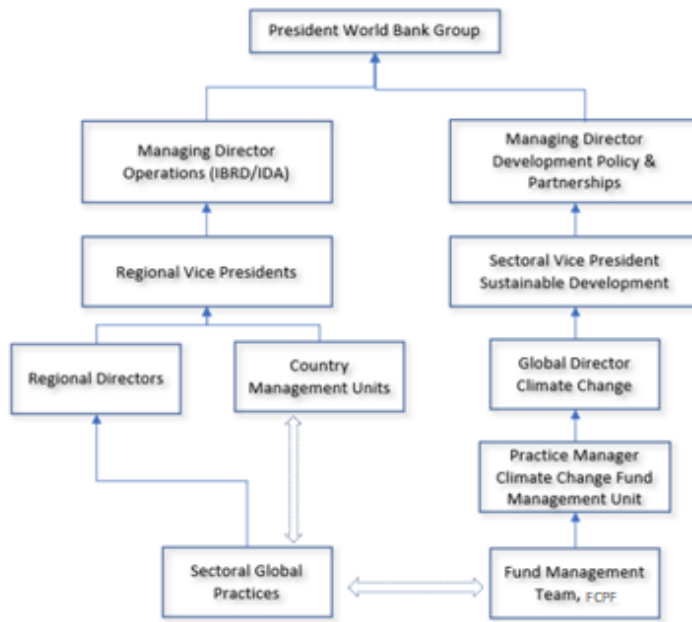
The FCPF is a partnership that administers a capacity-building trust fund (Readiness Fund) and a results-based payment trust fund (Carbon Fund) to address 'Reduced Emissions from Deforestation and Forest Degradation', forest carbon stock conservation, the sustainable management of forests, and the enhancement of forest carbon stocks (REDD+).

The FCPF is governed through three governing bodies, the Participants Assembly, the Participants Committee, and the Carbon Fund Participants. The Participants Assembly, the highest-level governance body of the FCPF, meets annually, oversees the operation of the partnership, and is made-up of representatives from all 64 participants of the FCPF (61 of which are countries), including 47 REDD+ host countries (REDD+ countries) and 17 financial contributors-.

The Participants committee oversees the operation of the Readiness Fund and includes representatives from 14 REDD+ Countries and 14 financial contributors to the Readiness Fund. The Carbon Fund Participants are representatives of the financial contributors to the Carbon Fund and make decisions on behalf of the Carbon Fund. There are official and unofficial (non-voting) observers to all three governance bodies, including international organizations, nongovernmental organizations, (northern and southern) civil society organizations, indigenous peoples and private sector representatives

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.

The diagram below shows the organizational structure, in particular, to show where the FCPF is placed within the World Bank Group. The solid arrows are the reporting lines whereas the dotted arrows are the working relationships between the units. As can be seen, FCPF Fund Manager is part of the Facility Management Team (FMT) which serves as the fund secretariat with responsibilities on fiduciary aspects, development of FCPF requirements, guidance documents, leading ERPA negotiations, coordinating the validation and verification of FCPF ER programs, monitoring program progress, etc. The Sectoral Global Practices (GPs) lead the development and implementation of the FPCF ER programs in client countries. The Country Management Units (CMUs) coordinate and manage the World Bank’s engagement (including through such programs) in client countries. The Sectoral GPs, work closely with the CMUs throughout the life cycle of the project or program. The FCPF FMT also works with the respective Sectoral GPs of FCPF ER Programs to monitor progress, provide guidance, negotiate ERPA with client countries, coordinate validations and verifications, etc



### 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*<sup>10</sup> 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*)

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The latest version of the FCPF MF approved through Resolution CFM/21/2020/ April 2020 is available in English, [Spanish](#) and [French](#) at this link.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

Guidelines and guidance notes on application of the FCPF MF are approved by the Carbon Fund on a periodic basis. The latest guidelines and guidance notes on the application of FCPF MF is available at the link below:

<https://www.forestcarbonpartnership.org/resources>

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<sup>10</sup> 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*”.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and questions pertaining to this question:

In June 2012, through Resolution PC/12/2012/3, the Participants Committee of the FCPF adopted a set of guiding principles for the development of a methodological framework for the Carbon Fund. In compliance with these guiding principles, a multi-stakeholder working group under the auspices of the Carbon Fund (including the FMT, Carbon Fund Participants, REDD+ Countries and observer groups) developed a single methodology, the FCPF Carbon Fund Methodological Framework (FCPF MF). In December 2013, the FCPF MF was adopted by the Carbon Fund through Resolution CFM/8/2013/1 and was revised in June 2016 through Resolution CFM/14/2016/4.

The Carbon Fund has refined the FCPF MF from time to time through a Carbon Fund resolution approved by Carbon Fund Participants to incorporate lessons and processes learned from REDD+ ER programs or to provide new guidance on REDD+ as per the latest requirements set by the UNFCCC

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The FCPF’s Participants Committee and Participants Assembly are at the core of its governance structure. The Participants Committee is the main decision-making body of the FCPF and meets twice a year to review submissions and select new participant countries, as well as approve funding allocations, rules of procedure, budgets and new methodologies.

All requirements are to be approved by the Carbon Fund Participants. Revisions to the FCPF Methodological Framework requires the approval by Carbon Fund Participants via a specific resolution. Revisions of existing Guidelines or approval of new Guidelines require the approval by Carbon Fund Participants via specific resolution or via three-week non-objection period. Revisions of an existing Guidance Note /template or approval of a new Guidance Note / template may be done by the Facility Management Team (FMT) without prior-approval from Carbon Fund Participants.

The Process is described in the FCPF Process Guidelines paragraph 18<sup>th</sup>.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

### 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*)

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The FCPF works with Jurisdictions only. The Accounting Area of FCPF ER Programs is of significant scale and aligns with one or more jurisdictions; or a national-government-designated area (e.g., ecoregion) or areas.

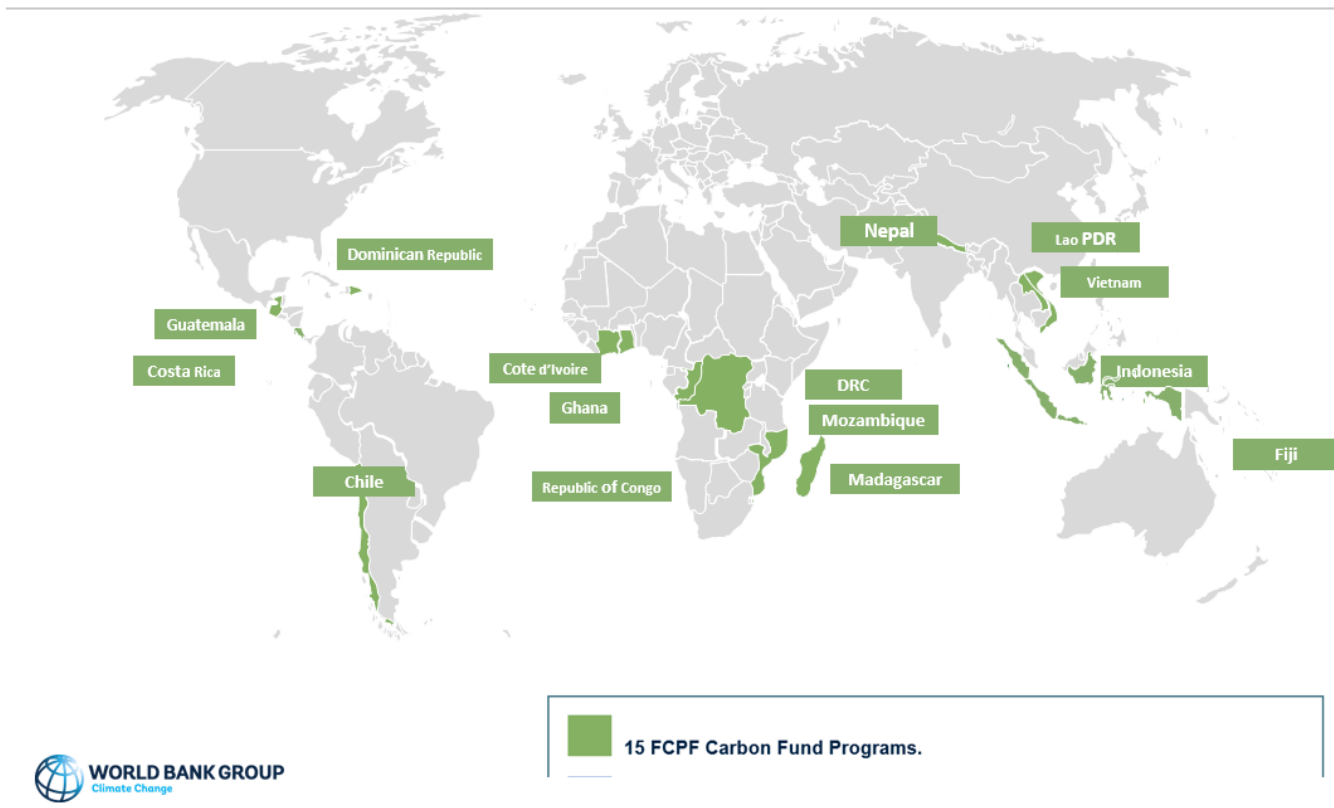
**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The FCPF focuses on REDD+ and works at a global scale. Currently there are 15 ER Programs located in Africa, Southeast Asia, Asia Pacific and Latin-America.



**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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*)

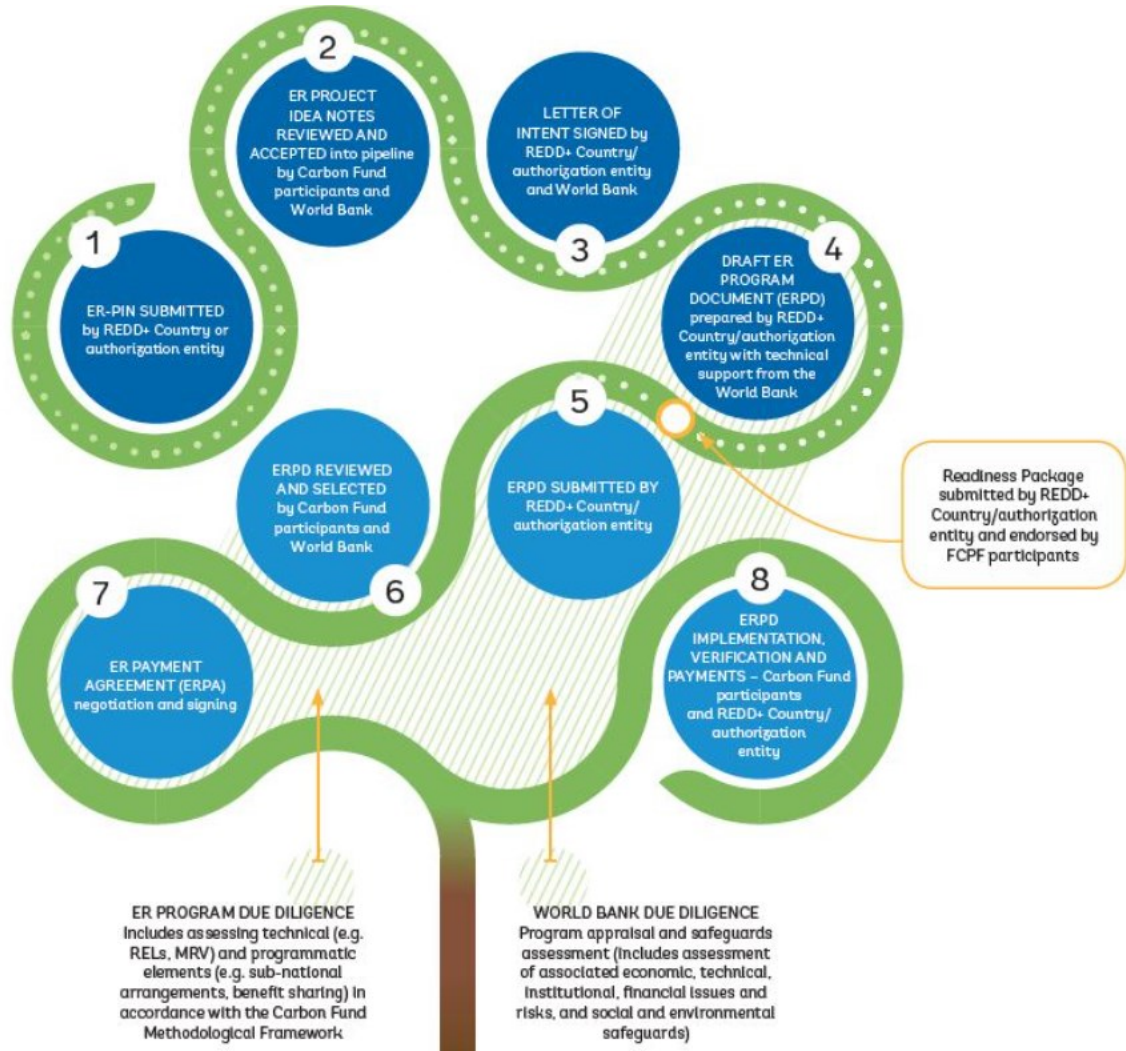
**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Section 2 of the Methodological Framework describes the level of ambition for FCPF Programs

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

The FCPF ER Programs are undertaken at a jurisdictional scale and/or takes a programmatic approach (i.e., involves multiple land areas, landowners or managers within one or several jurisdictions), and reflects a variety of interventions from the national REDD+ strategy in a coordinated manner. The Accounting Area of FCPF Programs is of significant scale and aligns with one or more jurisdictions; or a national-government-designated area (e.g., ecoregion) or areas.

The Carbon Fund is set up to pilot incentive payments for REDD+ efforts in developing countries. FCPF participant countries that have made significant progress in their REDD+ readiness endeavors may be selected to participate in the Carbon Fund, which became fully operational in May 2011. The process for becoming selected by the Carbon Fund is summarized in the following figure:



**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none*, “N/A”):  
N/A

Question 3.3. Offset credit issuance and retirement procedures

Are procedures in place defining how offset credits are... (Paragraph 2.3)	
a) issued?	<input checked="" type="checkbox"/> YES
b) retired / cancelled?	<input checked="" type="checkbox"/> YES
c) subject to discounting (if any)?	<input checked="" type="checkbox"/> YES

Are procedures in place defining... (Paragraph 2.3)	
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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) Procedures for credit issuance are presented in the Carbon Asset Tracking System (CATS) Operational Guidelines section 2.3.2. Recording and Issuance.  
[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Operational.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf)
- b) Procedures for retirement/cancellation are presented in the Carbon Asset Tracking System (CATS) Operational Guidelines section 3.3.7. Cancellation and 3.3.8. Retirement.  
[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Operational.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf)
- c) Requirements on discounting are related to the uncertainty discount to manage uncertainties, and reversal discount to manage reversals as described in the Buffer Guidelines.  
[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_buffer\\_guidelines\\_may\\_2022\\_version\\_3.1.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_buffer_guidelines_may_2022_version_3.1.pdf)
- d) For the FCPF the crediting period is defined as The period between the Crediting Period Start Date and the end date of the last Reporting Period under the ER Program which consists of at least two (2) Reporting Periods. See Glossary of Terms  
[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_glossary\\_of\\_terms\\_2022\\_2.2.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_glossary_of_terms_2022_2.2.pdf).  
There should be at least two Reporting Periods and associated Verifications during the defined ER Program’s Crediting Period, and the last Reporting Period (and Crediting Period) cannot be later than 31 December 2024. See paragraph 10 of the Validation and Verification Guidelines  
[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)
- e) The crediting periods under the FCPF are not renewable.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A”



that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

**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
---------------------------------------------------------------------------------------------	-----------------------------------------

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*):

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The Carbon Assets Tracking System (CATS) is an Emission Reduction (ER) Transaction Registry, designed and implemented to support the issuance and transactions of ER units generated under the World Bank Programs. The first release of CATS provides the foundational and central architecture for accounting and transactions of ER units under the Forest Carbon Partnership Facility Carbon Fund (FCPF CF) and BioCarbon Fund Initiative for Sustainable Forest Landscapes (BioCF ISFL) ER Programs.

<https://cats.worldbank.org/>

CATS is operated and administered by the IBRD acting as trustee of the Forest Landscapes and the Forest Carbon Partnership Facility on behalf of the participants. See the CATS Terms and Conditions

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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? ( <i>Paragraph 2.4.5</i> )	<input checked="" type="checkbox"/> YES

f) are secure (i.e. that robust security provisions are in place)? (Paragraph 2.4 (c))

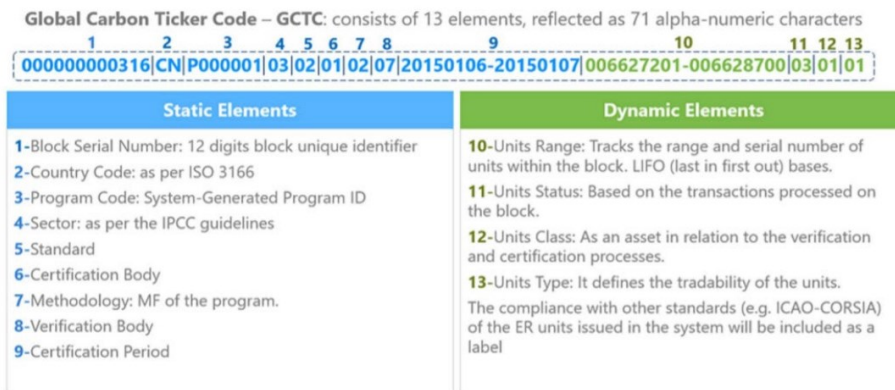
YES

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. Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) The identification of the ICAO-eligible units (as the compliance of CF FCPF ER units with other standards), will be explicitly added as a label to the unique serial number (GCTC). The GCTC consists of 13 elements, reflected as 71 alpha-numeric characters that can be described as (i) Static Elements that never change throughout the block lifecycle and define the details and characteristics of the block origin; and Dynamic Elements that are subject to continuous changes through the block life-cycle and define current state and characteristics of the block in relation to the transactions which have been performed.

### Serialization Mechanism



As can be seen from the above figure, the last 3 elements of the serial number characterize ICAO eligible units (status-active, class-certified, type-tradable) and the compliance with the standard will be explicitly labeled to the GCTC. For further details check section 2.3.2.1. Global Carbon Ticker Code (GCTC). ER Units Serialization of the CATS Operational Guidelines

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Operational.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf)

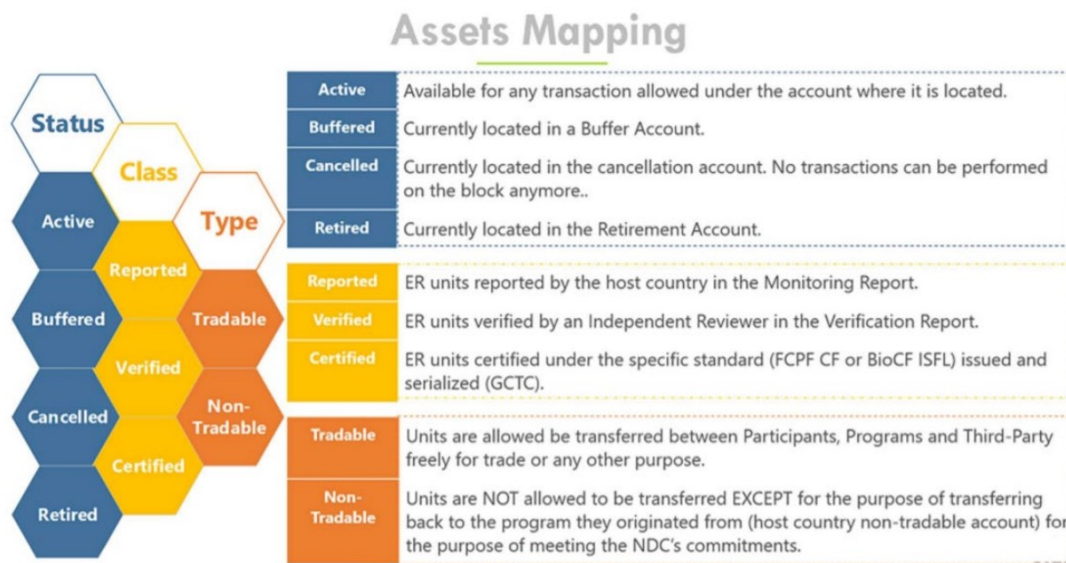
- b) CATS identifies and facilitates tracking and transfer of unit holding from issuance to cancellation/retirement. The unit’s lifecycle starting with issuance until its cancellation or retirement consists of a series of sequential irreversible transactions. Upon the issuance of units, each block is assigned a unique code (GCTC) that contains identifiable elements that facilitate the tracking of the block for the rest of its lifecycle. The holding accounts provide clear and transparent functions that identify the status and ownership of each block at any point in its lifecycle.

The issuance transaction is built with the necessary checks to prevent double issuance and both the retirement and the cancellation transactions are irreversible and final, which serves as a transparent and secure tool to account for the units already utilized for a specific purpose and prevents double claiming. Throughout its lifecycle, the allocation/transfer of units between the different accounts is distinctly identified. The responsibilities of the parties involved in the transactions are clearly defined in strictly observed approval matrix through specific roles and authorizations. Therefore, privileges to process the

transactions - including the issuance, transfer, and retirement/cancellation transactions are restricted to responsible parties. For detailed information consult section 2.3.1. of the CATS Operational Guidelines. Guidelines.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Operational.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf)

- c) The status, class, and type of the units are the three dynamic elements, part of the GCTC, that describe if the unit is active, it has been allocated in a buffer account, or it has been canceled or retired. Also, if the unit has been reported, verified, and certified and if we are dealing with a tradable or a non-tradable unit (to be retired against a mitigation goal, e.g. NDC). The GCTC facilitates the tracking of the block for the rest of its lifecycle across multiple accounts.



- d) The serialization function, upon the issuance of units, assigns a unique Global Carbon Ticket Code (GCTC) that contains identifiable elements that facilitate the tracking of the block for the rest of its lifecycle. This unique serial number follows the data exchange protocol of International Transaction Log (ITL) that uniquely identifies the status of emission reductions from issuance to retirement/cancellation.
- e) The serialization function (GCTC) in CATS allows for identification by country (country code as per ISO 3166), sector (IPCC), vintage (certification period), and project registration date (program code)
- f) The ER Transaction Registry has robust security provisions to ensure that credits managed in the registry are secure. A robust KYC (Know your Customer) sanctions screening solution through Lexis Nexis has been implemented for entities and users. This service is operative when creating/editing an entity/user and at the end of the day batch process. Provisions for ensuring the security of units and users in CATS are described in section 2.2.1. Integrity Due Diligence Procedures of the CATS Operational Guidelines.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Operational.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The International Transaction Log (ITL) connects registries and UNFCCC secretariat systems involved in the emissions trading mechanism under the Kyoto Protocol (and its Doha amendment). The specifications of this ITL system are defined in the Data Exchange Standards (DES). The CF FCPF ER Programs and consequently the WB ER Transaction Registry does not fall within the scope of the Kyoto Protocol emission trading mechanism nor the ITL/DES system. Data Exchange Standards (DES) adapted to non-Kyoto Protocol mechanisms, if any, will be considered. So far, the current GCTC proposal has been made as much ITL compatible as possible

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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):

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The ER Transaction Registry has policies and procedures in place to avoid conflicts of interests in the provision of registry services:

- a) The Terms and Conditions; and Operational Guidelines of the registry have provisions to avoid conflict of interest associated with governance or provision of registry services. The governance system consists of a minimum of two-level clearance system, with the participation of the program entity and after the final approval by the Administrator, Trust Fund Manager, or Buffer Manager that have registry responsibilities.
- b) The Terms and Conditions (Article XXII) of the registry have measures in place to address conflicts of interest when they arise. [https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The ER Transaction Registry has provisions for the application of:

- a) Multi-layered screening of requests for registry access to different registry accounts
- b) Protocols restricting access to registered and verified accounts to registered entities based on specific access criteria
- c) Procedures for periodic audits and reporting of the registry’s compliance with security requirements

A robust KYC (Know your Customer) sanctions screening solution through the World Bank Lexis Nexis services has been implemented. This service is operative when creating/editing an entity/user and at the end-of-day batch process. Accounts are only accessible for registered and approved entities and users. CATS team (Admin) will retain all supporting documents including review/clearance emails from AML-CFT (Anti-Money Laundering and Countering Financing of Terrorism), INT (Integrity Vice Presidency), CP (Corporate Procurement) team when they clear and close a case and make them readily available to auditors and AML-CFT Quality Assurance. All cases with a 100 score are audited and a sample of those with a score lower than 100. A yearly independent audit report certifying that the WB ER transaction registry performs required functions will be prepared and made public. See section 2.2.1. Integrity Due Diligence Procedures of the CATS Operational Guidelines.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Operational.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

**Question 3.5 Legal nature and transfer of units**

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

b) the underlying property aspects of a unit? (Paragraph 2.5)	<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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

a) **Attributes:** The attributes of a unit can be seen as part of the Global Carbon Ticket Code (GCTC) of each unit:

### Serialization Mechanism

**Global Carbon Ticker Code – GCTC:** consists of 13 elements, reflected as 71 alpha-numeric characters

1
2
3
4
5
6
7
8
9
10
11
12
13

000000000316|CN|P000001|03|02|01|02|07|20150106-20150107|006627201-006628700|03|01|01

Static Elements	Dynamic Elements
<p><b>1</b>-Block Serial Number: 12 digits block unique identifier</p> <p><b>2</b>-Country Code: as per ISO 3166</p> <p><b>3</b>-Program Code: System-Generated Program ID</p> <p><b>4</b>-Sector: as per the IPCC guidelines</p> <p><b>5</b>-Standard</p> <p><b>6</b>-Certification Body</p> <p><b>7</b>-Methodology: MF of the program.</p> <p><b>8</b>-Verification Body</p> <p><b>9</b>-Certification Period</p>	<p><b>10</b>-Units Range: Tracks the range and serial number of units within the block. LIFO (last in first out) bases.</p> <p><b>11</b>-Units Status: Based on the transactions processed on the block.</p> <p><b>12</b>-Units Class: As an asset in relation to the verification and certification processes.</p> <p><b>13</b>-Units Type: It defines the tradability of the units. The compliance with other standards (e.g. ICAO-CORSIA) of the ER units issued in the system will be included as a label</p>

As can be seen, the GCTC includes information on the Country and Program where the unit has been generated. Also, through CATS it is possible to track the location and the account where the units are located. All information relating to the ownership of the unit is available in the specific documentation of each Program.

b) The Carbon Fund requires REDD+ ER programs to demonstrate their ability to transfer title (i.e. legal and beneficial ownership) to ERs in accordance with the requirements of the FCPF MF. If this ability cannot be demonstrated to the Carbon Fund in full or in part the World Bank, as trustee of the Carbon Fund, may reject the transfer of ERs and payment for all or part of the verified ERs. Under the ERP A itself the Seller will be required to transfer title to ERs to the Carbon Fund. The link to the Note on the Ability of Program Entity to Transfer Title to ERs is presented below:

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_guidance\\_note\\_on\\_the\\_ability\\_of\\_program\\_entity\\_to\\_transfer\\_title\\_to\\_emission\\_reductions\\_2018.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_guidance_note_on_the_ability_of_program_entity_to_transfer_title_to_emission_reductions_2018.pdf)

Moreover, Programs are required to present information on the arrangement in place to demonstrate the Program Entity’s ability to transfer title to ERs. See section 6.1 of the FCPF Monitoring Report Template:

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_emission\\_reductions\\_monitoring\\_report\\_2022\\_ver02.4\\_0.docx](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_emission_reductions_monitoring_report_2022_ver02.4_0.docx)

and section 17 of the FCPF Emission Reduction Program Document template

<https://www.forestcarbonpartnership.org/system/files/documents/FCPF%20Carbon%20Fund%20ER-PD%20template%20July%202014.docx>

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

**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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) All FCPF ER Programs are subject to Validation and Verification by an independent accredited third party. Validation for FCPF Programs shall occur concurrently to the first Verification. The FCPF Validation and Verification Guidelines (VVG) provide a detailed set of provisions to be applied by accredited third party auditors to ensure that the Validation criteria of FCPF are fulfilled. The specific process for validation and verification is described in sections 7.4 of the FCPF Process Guidelines and section 10 of the FCPF Validation and Verification Guidelines:  
[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf)  
 The specific objectives, criteria, and scope of validation of ER Programs are described in section 8 of the Validation and Verification Guidelines:  
[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)
- b) The specific objectives, criteria, and scope of Verification of emission reductions are described in section 8 of the Validation and Verification Guidelines:  
[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)
- c) And d) Validation and Verification of ERs is to be conducted by accredited Validation and Verification Bodies. The Validation and Verification Body shall be accredited under ISO 14065 for scope ISO 14064-2, specifically for Land Use and Forestry by an Accreditation Body that is a member of IAF and that provides accreditation services to VVBs to assess GHG assertions in the land use and forestry sector. See section 6

of the Validation and Verification Guidelines

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

### 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:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) The World Bank is the trustee of the FCPF on behalf of financial contributors. The Facility Management Team based in the Climate Change Group of the World Bank administers the FCPF. The procedures for administration and management of the FCPF are described in the Process Guidelines section 5.  
[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf)
- b) All governance related decisions are published on the FCPF website under resources, facility management notes and resolutions. These are also compiled in chair summaries of FCPF annual meetings.  
<https://www.forestcarbonpartnership.org/resources>

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) The FCPF was launched at the UNFCCC Conference of the Parties (COP) in December 2007 in Bali and has been operational since then. The information on the meetings of the FCPF Participant Assembly and Participant Committee; and the Carbon Fund is available here:  
<https://www.forestcarbonpartnership.org/meetings>  
The resolutions adopted are available at the link here.  
<https://www.forestcarbonpartnership.org/resources>
- b) As stated in the response to (a)
- c) The FCPF term is expected to run to 31 December 2025. Beyond this date, the World Bank will continue to monitor FCPF ER Programs through 31 December 2037 in relation to the Reversal Management Mechanism. For more details please refer to Question 4.5 (d) in this application
- d) As stated in the response to (c)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) The **FCPF Charter** presents the policies and procedures for addressing conflicts of interest of the Participants Committee of the Readiness Fund and Carbon Fund Participants of the Carbon Fund (board members and management). Section 11.6 of the FCPF Charter specifies procedures for disclosing the conflicts of interest of the Participant Committee; and Section 8.3 of the FCPF Charter specifies procedures to disclose the conflicts of interests of the Carbon Fund Participants to the FMT and their recusal from the decisions of the Readiness Fund and Carbon Fund, respectively.

<https://www.forestcarbonpartnership.org/charter-and-rules-procedure>

The World Bank in its role as FMT manages the FCPF a trust fund of the World Bank; and in its capacity as trustee of the Carbon Fund manages the day-to-day operations of the Carbon Fund. **The World Bank Operational Policy (OP) 14.40** specifies policy, administration, implementation, reporting, auditing, and evaluation and conflicts of interest relating to management of trust funds. The Paragraph 3(c) of OP 14.40 clarifies the responsibilities, risks and management of conflicts of interest of a trust fund. The OP 14.40 is available at this link <https://ispan.worldbank.org/sites/ppf3/PPFDocuments/090224b08231c123.pdf>

The conduct of the FMT and World Bank operational units are also covered by the Bank staff accountability mechanisms - namely the **Ethics and Business Conduct and Integrity units** Under Staff Rule 3.0 adopted in 2009. The Ethics and Business Conduct Vice Presidency (EBC) commits to integrity, impartiality and independence of the World Bank work. EBC promotes the development and application of the highest ethical standards by staff members in the performance of their duties. The Chief Ethics Officer reports directly to the President of the WBG in close coordination with the WBG's Managing Director and Chief Administrative Officer. The procedures of the EBC are available at this link [https://www.worldbank.org/en/about/unit/ethics\\_and\\_business\\_conduct](https://www.worldbank.org/en/about/unit/ethics_and_business_conduct)

Additionally, the trust fund management units associated with the management of FCPF, and the Global Practice units that assist countries in preparing and implementing FCPF programs are organized under separate reporting and accountability structures of the World Bank to ensure clear separation of the trustee roles from the operational roles.

The members of the governance bodies of the FCPF (the equivalent of board members) are expected to comply with the Conflicts of Interest clauses of the FCPF Charter for Carbon Fund Participants (Section 8.3) and for the Participants Committee (Section 11.6).

- b) The FMT, as FCPF Secretariat, is required to follow World Bank's institutional accountability mechanisms conducive to ensure that conflicts that arise are appropriately declared, isolated, and addressed in a transparent and systematic manner. These include
  - i) **Inspection Panel:** Inspection Panel has the power to carry out independent investigations of World Bank-financed projects to determine whether the Bank follows its operational policies and procedures. The Panel reports its findings to the Bank's Board of Executive Directors, and the Bank Management is required to prepare a response with recommendations and actions to address the Panel's findings. The mandate and procedures of the Inspection Panel are available at the below link. <https://www.inspectionpanel.org/about-us/about-inspection-panel>
  - ii) **Grievance Redress Service (GRS):** Individuals and communities, or their representatives may make complaints to the World Bank's Grievance Redress Service (GRS) if they believe they are or may be directly and adversely affected by an active World Bank-supported project. The GRS ensures that grievances are promptly reviewed and responded to by the responsible units in the World Bank. The GRS notifies the complainant(s) of receipt of the complaint and within 30 business days of acceptance of a complaint, the GRS communicates a proposal to the

complainant(s) with an action plan and timeframe for its implementation.

<https://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>

- iii) **The Integrity Vice Presidency (INT)** is an independent unit within the World Bank Group that investigates and pursues sanctions related to allegations of fraud and corruption in World Bank Group-financed operations. The INT supports business units of the World Bank Group and external stakeholders to mitigate fraud and corruption risks and provides guidance to business processes and fiduciary controls to ensure the integrity of World Bank operations. The procedures of the Inspection Panel are available at this link <https://www.worldbank.org/en/about/unit/integrity-vice-presidency>.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------

Provide evidence of such coverage:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The World Bank is the Trustee of the Carbon Fund of the FCPF and has aggregate professional liability insurance coverage exceeding USD 5 million.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

### 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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

a) FCPF stakeholder engagement covers a wide range of government and non-government stakeholders such as Civil Society Organizations (CSOs), Indigenous Peoples (IPs), marginalized populations, and the private sector at both the Initiative and Program levels for implementation and management of programs.

i) The FCPF follows the World Bank Information Policy on information disclosure to enable access to information in a transparent manner. Information on FCPF Programs (including implementation, and reports) is publicly available on the World Bank and the FCPF websites <https://www.forestcarbonpartnership.org/countries> .

j) All FCPF ER programs, following World Bank rules, are required to consult with relevant stakeholder groups on a regular basis and share information on the design and implementation of their program. Section 5.2 of the ER Program Document Template, and annex 1 of the ER Monitoring Report template require ER programs to present details on stakeholder information sharing and consultation mechanisms or structures in a form, manner, and language understandable to the affected stakeholders and a description of how stakeholder feedback was incorporated in the ER program design. During implementation, programs are expected to present plans for consultations, publications, and other information and mechanisms used for receiving and responding to feedback. The programs should also present information on stakeholder outreach and consultation process. <https://www.forestcarbonpartnership.org/system/files/documents/FCPF%20Carbon%20Fund%20ER-PD%20template%20July%202014.docx>  
[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_emission\\_reductions\\_monitoring\\_report\\_2022\\_ver02.4\\_0.docx](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_emission_reductions_monitoring_report_2022_ver02.4_0.docx)

FCPF governance structure includes observers representing Indigenous Peoples, local communities, gender focused organizations and civil society organizations. These representatives are self-selected in a transparent manner in different target regions of FCPF (Africa, Asia-Pacific, Latin America and Caribbean). Observers participate in all FCPF governance meetings and receive regular information and update for review and feedback.

k) All relevant information of each FCPF Program is publicly available on the FCPF website, under Countries. This includes Program’s technical documents, resolutions, documents supporting FCPF ERPD’s and Monitoring Reports, amongst others. <https://www.forestcarbonpartnership.org/countries>

b) Local stakeholder consultations are integral to the sustainable program design, and compliance with social

and environmental safeguards and benefit sharing mechanism are requirements of the FCPF MF that need to be complied by all FCPF REDD+ ER programs.

FCPF programs follow World Bank rules and procedures, including Environmental and Social Framework (ESF) <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework> . ESS10: Stakeholder Engagement and Information Disclosure, applies to all projects, including those financed by FCPF and supported by the Bank. It outlines requirements to engage with stakeholders as an integral part of the project's environmental and social assessment and project design and implementation, as outlined in ESS1: Assessment and Management of Environmental and Social Risks and Impacts. The process of stakeholder engagement will involve the following, as set out in further detail in this ESS: (i) stakeholder identification and analysis; (ii) planning how the engagement with stakeholders will take place; (iii) disclosure of information; (iv) consultation with stakeholders; (v) addressing and responding to grievances; and (vi) reporting to stakeholders. FCPF stakeholder engagement at the local level requires the program entity to engage with relevant stakeholders in the program jurisdiction continuously through the design, implementation, and distribution of program benefits. Stakeholders may include relevant government agencies, formal and informal stakeholder groups, private sector entities, IPs, communities dependent on landscapes, research and academic institutions, local experts, CSOs, and local entrepreneurs.

**Criterion 26** the FCPF Methodological Framework specify that Feedback and Grievance Redress Mechanism (FGRM) procedures should be made public at the local level in a language through communications materials, including brochures that explain the FGRM value chain, focal points, the process, and timelines understandable to relevant stakeholders. Stakeholder consultations in relation to programs' benefit-sharing arrangements must inform the development of Benefit Sharing Plans, including clarifying the Monetary and Non-Monetary Benefits to be shared among program beneficiaries. Programs are also encouraged to include stakeholders in decision-making, monitoring, and reporting procedures for benefit-sharing arrangements.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

- c) Public comment provisions - During the Technical Assessment of REDD+ ER programs, the advanced draft ERPD as well as the final ERPD is made publicly available. Individual REDD+ Countries and ER programs may have their own public comment provisions. The REDD+ ER programs are approved at the CF meeting taking into consideration the findings of TAP in the Technical Assessment report relating to validation of the REDD+ ER programs. Observers to the Carbon Fund, including representatives of northern CSOs and Southern CSOs, Indigenous Peoples, private sector, UNFCCC, UN-REDD and an International Organizations .. represented at the Carbon fund meeting, may also provide comments.

Moreover, the FCPF requires programs to seek public comments through stakeholder consultations during design, implementation, review, and evaluation stages using FGRM. An FGRM can be developed on an FCPF ER Program-specific basis or use an existing mechanism that is assessed equivalent by the World Bank so that FGRM provides opportunities to stakeholders to share comments and feedback on a

continuous basis during program implementation. Criterion 26 of the FCPF ER Methodological Framework mandates programs to identify suitable FGRM prior to implementation of FCPF ER Program activities. [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) The FCPF programs conduct consultations and seek public feedback at various stages of program’s cycle. All FCP normative documents, including the Methodological Framework, Guidelines, Guidance notes and templates are publicly available on the FCPF website. Revisions of existing Guidelines or approval of new Guidelines require the approval by Carbon Fund Participants via specific resolution or via three-week non-objection period. Revisions of an existing Guidance Note /template or approval of a new Guidance Note / template may be done by the FMT without prior approval from Carbon Fund Participants. All major updates to FCPF normative documents are discussed and socialized with the FCPF Programs and relevant stakeholders through either, email, publication of a Program announcement, webinars, informing IPs and CSOs observers, and/or official virtual and/or in-person meetings. Records of consultations with experts, workshops, and other knowledge events used to revise/approve FCPF Requirements and methodologies can be found on the FCPF website under events. <https://www.forestcarbonpartnership.org/meetings>
- b) During the Technical Assessment of REDD+ ER programs, the advanced draft ERPD as well as the final ERPD is made publicly available. Individual REDD+ Countries and ER programs may have their own public comment provisions. The REDD+ ER programs are approved at the Carbon Fund meetings taking into consideration the findings of the Technical Advisory Panel in the Technical Assessment report relating to preliminary validation of the REDD+ ER programs. Observers to the Carbon Fund, including representatives of northern CSOs and Southern CSOs, Indigenous Peoples, private sector, UNFCCC, UN-REDD and an International Organizations represented at the Carbon fund meeting, can also provide comments.
- c) FCPF REDD+ ER programs are expected to seek public comments and feedback throughout the program design and implementation and should have operational feedback and grievance redress mechanism

(FGRM). The programs may organize public consultations to disseminate information and seek comments. Should there be any concern or grievance with the REDD+ ER program implementation, the FGRM would be available to respond.

- d) Comments and feedback from stakeholder consultations and program implementation are utilized to revise or update the FCPF Process Guidelines and other supporting documentation. All FCPF Requirements shall be prepared by the FMT and presented to Carbon Fund Contributors for approval prior to making them publicly available on the FCPF Webpage. Revisions of existing Guidelines or approval of new Guidelines require the approval by Carbon Fund Participants via specific resolution or via three-week non-objection period. Revisions of an existing Guidance Note /template or approval of a new Guidance Note / template may be done by the FMT without prior approval from Carbon Fund Participants. These different normative documents are defined in the FCPF Process Guidelines, Section 6.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf#page=4](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf#page=4)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

**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 checked="" type="checkbox"/> YES

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

REDD+ ER programs under the Carbon Fund need to comply with the World Bank’s Operational Policies and Procedures (Section 3.1 (d) of the FCPF Charter), which include the World Bank’s environmental and social safeguards requirements, with broad and systematic coverage of environmental and social risks associated with the REDD+ ER programs.

The information on World Bank Environmental and Social Framework is available at the below link

<https://www.worldbank.org/en/projects-operations/environmental-and-social-framework>

Moreover, FCPF ER programs are expected to comply with the World Bank’s Environmental and Social Framework (ESF) that ensures broad and systematic coverage of environmental and social risks associated with the ER programs. It emphasizes transparency, non-discrimination, public participation,

accountability, and expanded roles for Feedback, Grievance, and Redress Mechanisms (FGRM). The ESF utilizes 10 environmental and social standards (ESS) to avoid, minimize, reduce or mitigate the adverse environmental and social risks and impacts of programs.

World Bank Environmental and Social Framework (ESF) documentation is available at the below link. <https://thedocs.worldbank.org/en/doc/837721522762050108-0290022018/original/ESFFramework.pdf>

In support of environmental and social risk mitigation, FCPF programs are expected to have in place an FGRM and free, prior, and informed consent (FPIC) where applicable to ensure that grievances associated with the ESF are addressed in a formal, transparent, cost-effective, and time-bound manner.

FCPF ER programs are also expected to prepare formal documentation Strategic Environmental and Social Assessments (SESA), Environmental and Social Assessments (ESMF), Environmental and Social Commitment Plan (ESCP) and/ or other relevant documentation to assess, mitigate, and manage environmental and social risks of ER program interventions in an inclusive and participatory manner through active engagement of relevant stakeholders.

Additional resources on the application of World Bank Environmental and Social Framework are available at the below link: <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework/brief/environmental-and-social-framework-resources>

**B. Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):**

N/A

**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:

**A. Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:**

- a) The World Bank Group Strategy sets out goals of ending extreme poverty and promoting shared prosperity in all its partner countries. Securing the long-term future of the planet, its people, and its resources, ensuring social inclusion, and limiting the economic burdens on future generations will underpin these efforts. The twin goals of ending extreme poverty and promoting shared prosperity emphasize the importance of economic growth, inclusion, and sustainability, including strong concerns for equity. The



World Bank Vision for Sustainable Development is presented on pages 1-2 of the World Bank Environmental and Social Framework and is available at the below link: <https://thedocs.worldbank.org/en/doc/8377215227620501080290022018/original/ESFFramework.pdf#page=15&zoom=80>

The FCPF MF, as part of the sustainable program design and implementation, requires that REDD+ ER programs contribute to broader sustainable development. This could include, but is not limited to, improving local livelihoods, building transparent and effective forest governance structures, making progress on securing land tenure and enhancing or maintaining biodiversity and/or other ecosystem services as part of non-carbon benefits. The REDD+ ER Programs are expected to monitor and report on the non-carbon benefits as feasible, taking note of existing and emerging guidance on monitoring of non-carbon benefits by the UNFCCC, CBD, and other relevant platforms.

Moreover, the World Bank Environmental and Social Framework (ESF) represents a comprehensive approach to assess environmental and social risks, promote sustainability and enhance stakeholder engagement to strengthen program sustainability. The ESF focuses on the overall environmental and social sustainability of the programs using 10 Environmental and Social Standards (ESS):

- (i) ESS 1: Assessment and Management of Environmental and Social Risks and Impacts;
- (ii) ESS 2: Labor and Working Conditions;
- (iii) ESS 3: Resource Efficiency and Pollution Prevention and Management;
- (iv) ESS 4: Community Health and Safety;
- (v) ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement;
- (vi) ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources;
- (vii) ESS 7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities;
- (viii) ESS 8: Cultural Heritage;
- (ix) ESS 9: Financial Intermediaries; and
- (x) ESS 10: Stakeholder Engagement and Information Disclosure

For instance, the main instrument through which the World Bank ensures that Indigenous Peoples are included and can participate in and benefit from the emission reductions programs is the *Environmental and Social Standard 7 (ESS7): Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities*. ESS7 ensures that the development process fosters full respect for the human rights, dignity, aspirations, identity, culture, and natural resource-based livelihoods of Indigenous Peoples, and that their Free, Prior, and Informed Consent (FPIC) is obtained in those circumstances where FPIC is specifically warranted.

The ESF process is an ongoing process of assessing and promoting actions in support of the ESS throughout the program implementation period for the Investment Project Financing funded by the World Bank rather than scoring on development criteria. The assessment and implementation of ESF framework is coordinated by the environmental and social specialists of the World Bank that demonstrated expertise and experience on environmental and social sustainability issues.

b) The ESF objectives that are aligned with the SDGs form the framework of a monitoring and evaluation approach. Each objective is evidenced at the ER Program level by a set of both quantitative and qualitative indicators. Given that the development impacts of the ESF will take several years to fully materialize, some data on development outcomes is more qualitative, including interpretation of information extracted from Implementation Support Report (ISRs) and Implementation Completion Reports (ICRs). However, much active quantitative data on the implementation of the ESF at the project level is reflected in the Environmental and Social Management System (ESMS). The outcomes of the ESF Framework log frame with specific SDG output indicators are also monitored during ER program implementation and reported in the ER Monitoring Report of the FCPF programs. In addition, the FCPF has the capabilities to conduct evaluation and learning on the progress of sustainable development outcomes of specific ER programs and for the portfolio of programs. This is conducted through the Third-Party Monitoring (TPM) of the emission reduction programs, that reviews program documents, reports and conducts interviews in the field. Data/ evidence from the TPM contributes to the assessment of the outcomes of the programs. In addition, FCPF conducts regularly monitoring and evaluation of its programs and triangulates and validates all data on the development outcomes. The World Bank engages experienced social and environmental specialists to assess the compliance of programs with the ESS. The assessment of non-carbon benefits is evaluated by the World Bank through the regular implementation support missions and reported in publicly available Implementation Support Reports (ISR)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

**Question 3.11 Avoidance of double counting, issuance and claiming**

Does the programme use sustainable development criteria? ( <i>Paragraph 2.10</i> )	<input checked="" type="checkbox"/> YES
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

Summarize and provide evidence of the information referred to above, including its availability to the public:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) See previous response
- b) Per section 6.2 and criterion 23 of the FCPF Methodological Framework, programs are expected to coordinate with host countries to select appropriate arrangements to avoid double counting, including double issuance, double selling/use, or double claiming, in order to track the ERs to ensure that any ERs that have been generated, monitored and verified under the FCPF ER Program and paid for by the Carbon Fund are not used again by any entity for sale, public relations, compliance or any other purpose unless

otherwise agreed by the parties to the ERPA and, where relevant, consistent with any applicable guidance adopted under the Paris Agreement. The systems that should be in place to avoid double counting, issuance and claiming include the national REDD+ Programs and Projects Data Management System and an ER Transaction Registry. The ER Transaction Registry has capabilities to register, track, and as appropriate retire or cancel ER units generated under FCPF ER Programs.

The link to the FCPF ER Program Requirements is below:  
[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

The World Bank Carbon Asset Tracking System, CATS provides a strong and reliable architecture to create, govern, store, and maintain data; guarantees operational transparency and security; and mitigates double-counting risks for the ER units generated under the World Bank. Specific provisions can be found in CATS operational guidelines section 2.3.2. Recording and Issuance: 2.3.2.1. Global Carbon Ticker Code (GCTC).ER Units Serialization

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Operational.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf).

Specific provisions can be found in CATS Terms & Conditions:

-- Section 7.02, paragraph (d) - Transfers of ERs that result in Double-Counting, Double-Selling, or Double-Claiming are prohibited;

--Section 8.02, paragraph (b) – Cancel lation of ERs for erroneous or fraudulent use, including but not limited to the ERs or Buffer ERs subject to Double-Counting, Double-Selling or Double-Claiming;

- Section 11.02, paragraph (n) – User represents and warrants is not aware of nor has engaged in Double-Counting, Double-Selling or Double-Claiming of the ERs and Buffer ERs, and (o) has not registered and will not register any ERs simultaneously both in CATS and in any other system.

- Section 14.01 – (a) Users shall not engage in Double-Counting, Double-Selling or Double-Claiming of ERs or Buffer ERs, (b) shall immediately notify the Registry Operator in writing in case becomes aware of those, and (c) the Registry Operator may immediately suspend the associated Registry Accounts (Section 15.01).

- Section 15.01 – (a) The Registry Operator may temporarily suspend the User's Registry Account and its access to the Registry if reasonably believes that (v) any ERs or Buffer ERs have been or are suspected to be subject to Double-Counting, Double-Selling or Double-Claiming.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

**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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) *Additionality of REDD+ ER programs is reflected through the application of a conservative baseline represented as an average annual historical GHG emissions and removals of activities in the program jurisdictions over a baseline period of 10 years. This is in general conservative since emissions from forest sector have had historically an upward trend prior to 2016 as evidenced by different studies and sources.*

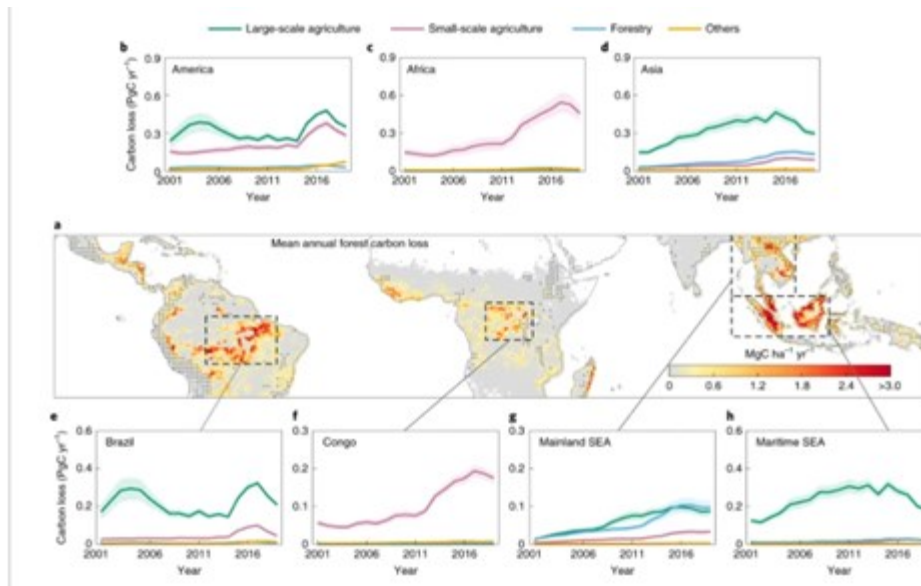


Figure 1. Feng, Y., Zeng, Z., Searchinger, T.D. et al. Doubling of annual forest carbon loss over the tropics during the early twenty-first century. *Nat Sustain* 5, 444–451 (2022). <https://doi.org/10.1038/s41893-022-00854-3>

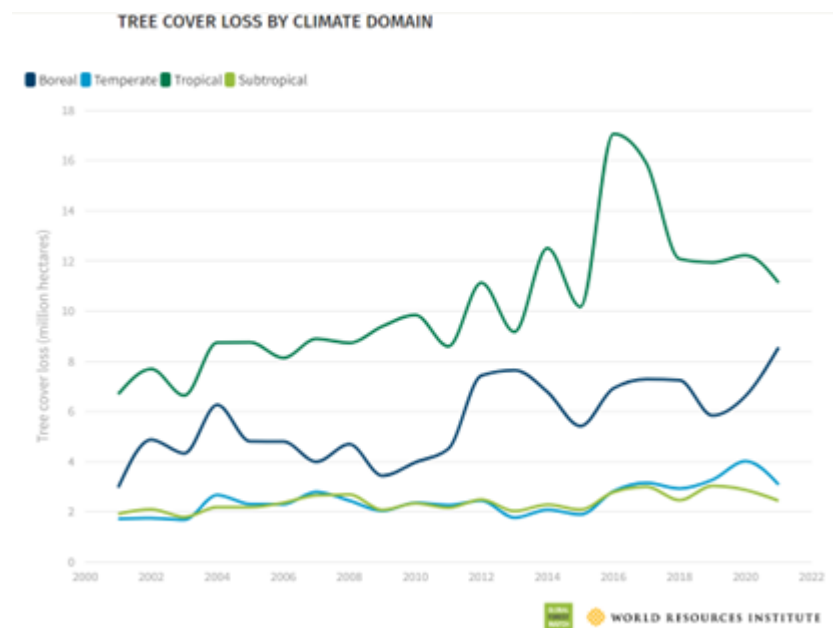


Figure 2. Global Forest Watch data. <https://www.globalforestwatch.org/map>

Moreover, FCPF MF requires the Reference Level to be adjusted downwards in the case of a downward trend in emissions (Indicator 13.1) so as to ensure conservativeness. Upward adjustments are allowed but in very specific situations where the REDD+ Country demonstrates that there has been long-term high forest cover and low deforestation, but due to a change in circumstances there has been an upward trend in historical emissions. This adjustment shall be documented and quantified (Indicator 13.3) and it will be conservatively capped (Indicator 13.4) to ensure the conservativeness of the adjustment. So far only 2 REDD+ ER Programs out of the 15 ER Programs have applied such documented, quantified and conservative adjustment. Criteria for baseline-setting

(Reference Level) are laid out in the Carbon Fund Methodological Framework (section 3, Carbon Accounting). [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

The assessment of the reference level is part of the scope of the third-party Validation, which is mandatory for all REDD+ ER Programs as specified in para 31 of the FCPF VVG. The principle of Conservativeness shall be followed by VVBs in its assessment as specified in para 7 f) of the FCPF VVG.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)

- b) As presented above the FCPF programme requires Reference Levels to be conservative. ERs from an REDD+ ER Program shall be conservatively measured and reported relative to a transparently presented and clearly documented Reference Level for the ER Program Accounting Area, following the guidance of the Carbon Fund Methodological Framework and informed by the emerging national Forest Reference Emission Level or Forest Reference Level.

The FCPF Validation and Verification Guidelines, section 5 requires Validation and Verification Bodies to apply the principle of conservativeness in their assessment [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf) Hence, additionality is demonstrated in terms of the excess GHG reductions or removals relative to a conservative emissions baseline.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

The above text has been enriched (compared to the initial application) to better justify our response. The adjustments include the addition of the above Figures (1 and 2).

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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) Criterion 6 of the FCPF Methodological Framework and paragraph 41 of the FCPF Process Guidelines, specify that ER programs shall be validated and verified using independent accredited third-party auditors. [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf)

The FCPF Validation and Verification Guidelines (VVG) provides a detailed set of requirements to be followed by third-party accredited auditors to ensure that FCPF Validation and Verification criteria are fulfilled; The assessment of the emissions baseline is part of the Validation objectives (section 8.2), criteria (section 8.3) and scope (8.4) of the Validation and Verification Guidelines. [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)

- b) As per the FCPF Process Guidelines, before and after Validation and Verification, the Facility Management Team (FMT) performs a completeness check on the GHG related sections (including baseline setting, which is directly linked to additionality) of the ER Monitoring Report and the Validation Report to ensure that they are compliant with the FCPF Requirements. [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The FCPF Requirements and Methodological Framework align with the UNFCCC Warsaw Framework for REDD+ and IPCC Guidelines and Guidance on Agriculture, Forest and Other Land Use (AFOLU) for the establishment of a baseline of emissions and removals in a jurisdiction. In accordance with these decisions, the baseline of a jurisdiction is expressed in tonnes of CO<sub>2</sub> equivalent per year over a baseline period. Additionality in FCPF Programs relies on defining a conservative baseline that sets a benchmark that represents a business-as-usual scenario so that any emissions below that benchmark that result from the mitigation actions are to be considered as additional. Thus, the use of conservative baselines ensures that ERs are additional, real and that they have an actual impact on the atmosphere

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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*)

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Not applicable

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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 type="checkbox"/> YES
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------

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:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Not applicable

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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*)

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Section 2 of the FCPF MF requires that REDD+ ER Programs are ambitious, implemented at a jurisdictional scale or programmatic scale and demonstrate the potential the implementation of national REDD+ strategy; and provides assurance that mitigation would not have occurred in the absence of a jurisdictional REDD+ program implemented through the Carbon Fund.



[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

It is worth noting that REDD+ ER Programs are developed from the outset considering result-based payments in mind as justified through the prior-consideration of carbon benefits to proceed with the ER Programs shown by REDD+ Countries. As documented in the FCPF Process Guidelines (Section 7.1) REDD+ Countries are required to submit an ER-PIN early on prior to the design and implementation of REDD+ ER Programs.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf#page=5](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf#page=5)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):  
N/A

**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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) Section 3.3 of the FCPF Methodological Framework on Carbon Accounting defines the requirements for defining and estimating baselines (reference levels). Such section requires that the emissions baseline of a jurisdiction is represented as an average annual historical GHG emissions and removals of activities over a baseline period of approximately 10 years (and maximum 15 years), which results in an emissions baseline that is most conservative as it reflects the historical emissions average of the baseline period. The processes used to define the reference level shall use the most recent Intergovernmental Panel on Climate Change (IPCC) guidance and guidelines, as adopted or encouraged by the Conference of the Parties as a basis for estimating forest related greenhouse gas emissions by sources and removals by sink.

For REDD+ ER Programs, the Reference Level does not exceed the average annual historical emissions over the Reference Period. This is in general conservative since emissions from forest sector have had historically an upward trend prior to 2016 as evidenced by different studies and sources.

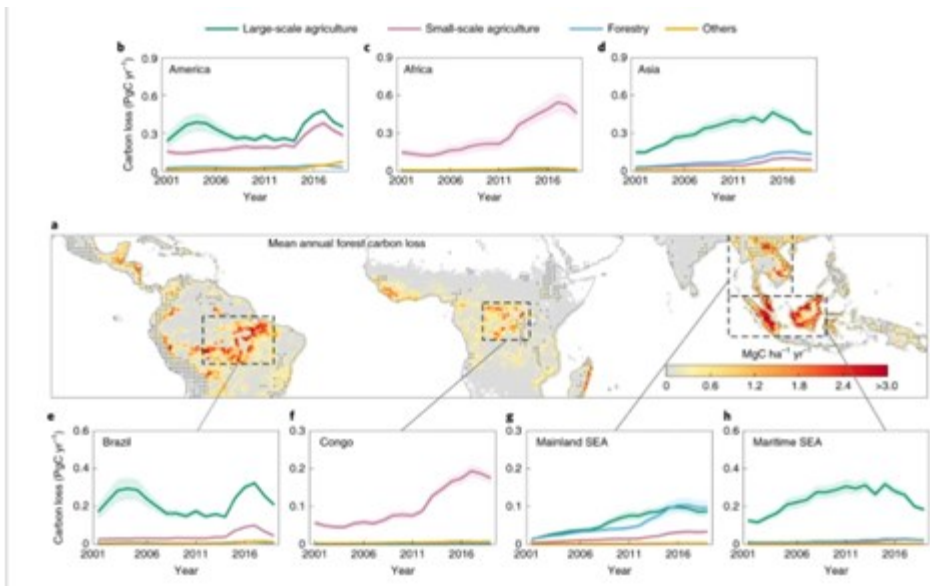


Figure 3. Feng, Y., Zeng, Z., Searchinger, T.D. et al. Doubling of annual forest carbon loss over the tropics during the early twenty-first century. *Nat Sustain* **5**, 444–451 (2022). <https://doi.org/10.1038/s41893-022-00854-3>

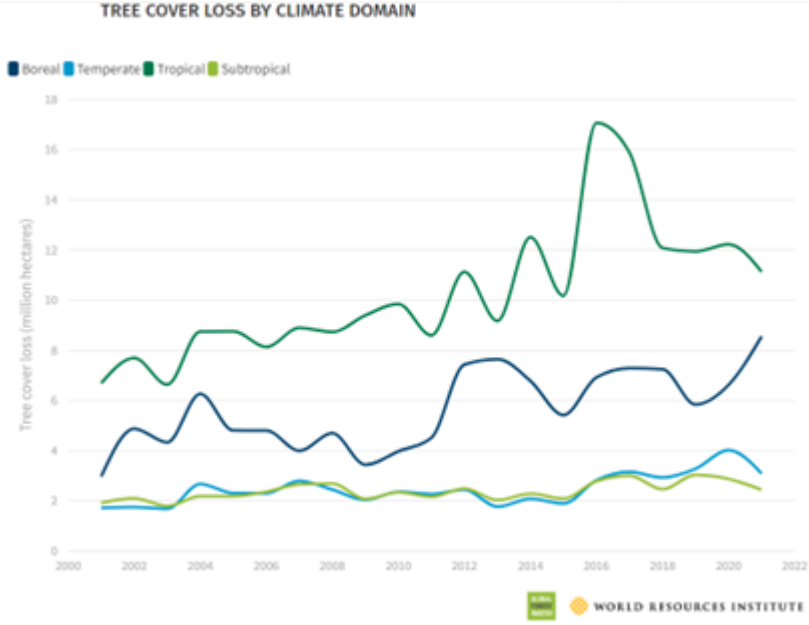


Figure 4. Global Forest Watch data. <https://www.globalforestwatch.org/map>

Moreover, FCPF MF requires the Reference Level to be adjusted downwards in the case of a downward trend in emissions (Indicator 13.1) so as to ensure conservativeness. Upward adjustments are allowed but in very specific situations where the REDD+ Country demonstrates that there has been long-term high forest cover and low deforestation, but due to a change in circumstances there has been an upward trend in historical emissions. This adjustment shall be documented and quantified (Indicator 13.3) and it will be conservatively capped (Indicator 13.4) to ensure the conservativeness of the adjustment. So far only 2 REDD+ ER Programs out of the 15 ER Programs have applied such documented, quantified and conservative adjustment. Criteria for baseline-setting

(Reference Level) are laid out in the Carbon Fund Methodological Framework (section 3, Carbon Accounting).

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

The detailed description of the process and methods used to set the reference level are included in the annex 4 of the FCPF Monitoring Report template.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_emission\\_reductions\\_monitoring\\_report\\_2022\\_ver02.4\\_0.docx](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_emission_reductions_monitoring_report_2022_ver02.4_0.docx)

- b) As explained above, the detailed description of the process and methods used to set the reference level are included in the annex 4 of the FCPF Monitoring Report template. Monitoring Reports for all FCPF Programs are publicly available on the FCPF website <https://www.forestcarbonpartnership.org/countries>

Also, according to the criterion 6 of the Methodological Framework, key data and methods that are sufficiently detailed to enable the reconstruction of the Reference Level, and the reported emissions and removals (e.g., data, methods and assumptions), shall be documented and made publicly available online by the FCPF Programs.

The final Monitoring Report and Validation report are made publicly available through the FCPF website as per paragraph 56 of the FCPF Process Guidelines. [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

The above text has been improved (compared to the initial application OF 2019) to better justify our response. The above response incorporates to new Figures (1 and 2) used to enrich our response.

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:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

ER Programs shall demonstrate conformity with the FCPF Methodological Framework and apply general principles of environmental integrity and conservativeness in order to be able to receive result-based finance from the Carbon Fund. Section 3 of the Methodological Framework specifies the requirements for conservative baseline setting, including data quality, methods, baseline period, compliance with IPCC requirements, amongst others.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

The requirements of the FCPF MF are complemented by requirements provided in different FCPF Guidelines and Guidance Notes.

<https://www.forestcarbonpartnership.org/resources>

Also, the assessment of baseline estimations to confirm that they are not over-estimated is part of the principles and objectives applicable to Validation and Verification of FCPF Programs (sections 5.1, and 8.2). Therefore, not only ER Programs but also VVBs are expected to carefully review baseline estimations to ensure that values do not over-estimate mitigation from an activity.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The baseline approach of average annual historical GHG emissions and removals of activities over a baseline period of about 10 years (and maximum 15 years) results in the most conservative emissions baseline as the scenarios of changing baseline conditions are not anticipated.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

**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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) Accurate measurements and valid quantification methods/protocols are covered by Section 3 of the FCPF Methodological Framework. Such section specifies that emissions and removals shall be estimated utilizing existing data that have been collected using the best available methods and approaches that are consistent with the most recent IPCC guidance and guidelines. ER Program data and methods are consistent with IPCC Tier 2, and ER Programs should, by using conservative assumptions and quantitative assessment of uncertainties, be incentivized to reduce uncertainties associated with all aspects of accounting, inter alia, reference levels, monitoring, and reporting.

Activity data for FCPF Programs covering deforestation is determined using IPCC Approach 3. Other sinks and sources such as degradation may be determined using indirect methods such as survey data, proxies derived from landscape ecology, or statistical data on timber harvesting and regrowth if no direct methods are available. On the other hand, IPCC Tier 2 or higher methods are required to be used to establish emission factors.

ER Programs are required to identify any systematic errors (related to accuracy) and random errors (related to precision) in the quantification of Emission Reductions in accordance to the FCPF Guidelines on the Application of the Methodological Framework Number 4. Uncertainty Analysis of Emission Reductions, and to manage these accordingly.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_guidelines\\_on\\_uncertainty\\_analysis\\_2020\\_0.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_guidelines_on_uncertainty_analysis_2020_0.pdf)

- b) According to section 7.4 of the FCPF Validation and Verification Guidelines, Validation shall occur concurrently to the first Verification. Validation with extended scope shall occur concurrently to a Verification and anytime the REDD Country wishes to generate CORSIA compliant units. In any case, Validation shall be based on Annex IV to the ER Monitoring Report that provides a description of the Reference Level of the ER Program and the carbon accounting system.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf).

- c) As per paragraph 56 of the FCPF Process Guidelines, the Validation and Verification reports are made

publicly available on the FCPF website, under Countries, Carbon Fund, Monitoring Report, Validation Report. See as example the Validation report for Costa Rica.

[https://www.forestcarbonpartnership.org/system/files/documents/validation\\_report\\_costa\\_rica\\_er\\_program\\_fcpf\\_v1.1.pdf](https://www.forestcarbonpartnership.org/system/files/documents/validation_report_costa_rica_er_program_fcpf_v1.1.pdf)

- d) The number of Verifications will depend on the number of Reporting Periods defined by each ER Program approved by the FCPF Carbon Fund. There should be at least two Reporting Periods and associated Verifications during the defined ER Program’s Crediting Period, and the last Reporting Period (and Crediting Period) cannot be later than 31 December 2024. See paragraph 10 of the Validation and Verification Guidelines.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)

Also see the definition of crediting period available on the FCPF Glossary of Terms. [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_glossary\\_of\\_terms\\_2022\\_2.2.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_glossary_of_terms_2022_2.2.pdf)

- e) The Validation and Verification Body providing services to the FCPF shall be accredited under ISO 14065 for scope ISO 14064-2, specifically for Land Use and Forestry by an Accreditation Body that is a member of IAF and that provides accreditation services to VVBs to assess GHG assertions in the land use and forestry sector. See section 6 of the Validation and Verification Guidelines.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)

- f) The FCPF does not issue ex-ante ERs. Ex-post verification is always required for the issuance of FCPF ERs. The verification report along with the monitoring report shall be submitted to CATS before the issuance of the ER units

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

a) Sections 5.2 and 7.2 of the FCPF Validation and Verification Guidelines (VVG) includes provisions to prevent/manage conflicts of interest of Validation and Verification Bodies conducting validation and verification processes. Also, the VVBs are required to be accredited under ISO 14065 for scope ISO 14064-2 by an Accreditation Body that is a signatory of the IAF Multilateral Recognition Arrangement (MLA) for ISO 14065. The ISO 14065:2013 in sections 5.4.1 and 5.4.2 clearly states that to avoid conflicts of interest the VVB:

- shall have commitment by top management to act impartially in validation or verification activities
- shall make publicly available a statement that describes its understanding of the importance of impartiality in validation or verification activities, how it manages conflict of interest, and how it ensures the objectivity of validation or verification activities;
- shall have formal rules and/or contractual conditions to ensure that each team member acts in an impartial manner,
- shall document how it manages potential conflict of interest situations and risks to impartiality from within the validation or verification body;
- shall not use personnel with an actual or potential conflict of interest;
- shall not validate and verify GHG assertions from the same GHG project unless allowed by the applicable GHG programme,
- shall not validate or verify a GHG assertion where its GHG consultancy services provided support to the responsible party's GHG assertion,
- shall not validate or verify a GHG assertion where a relationship with those who provided GHG consultancy services to the responsible party that support the GHG assertion poses an unacceptable risk to impartiality,
- shall not validate or verify a GHG assertion using personnel who were engaged by those who provided GHG consultancy services to the responsible party in support of the GHG assertion,
- shall not outsource the review and issuance of the validation or verification statement,
- shall not offer products or services that pose an unacceptable risk to impartiality,
- shall not state or imply that validation or verification of a GHG assertion would be simpler, easier, faster, or less expensive if a specified GHG consultancy service were used

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)

b) and c) Section 7.2 of VVG include provisions that accredited VVBs contracted to conduct validation/verification of ER programs shall disclose their and their family member conflicts of interests pertaining to relationships with entity(ies) associated with ER transactions; and shall have in place a mechanism to identify and address conflicts that may arise during validation and verification of FCPF Programs

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none*,

“N/A”):

N/A

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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) The first crediting period of FCPF Carbon Fund is expected to be until the end of 2024. The Carbon Fund Participants are expected to make decisions on the extension of the fund, which is expected to also include procedures for renewal of crediting period.
- b) Verification for FCPF Programs is expected to occur at least twice during the crediting period. The crediting period for all FCPF Programs shall end before the end of the Carbon Fund (December 31<sup>st</sup>, 2025). If no verifications have occurred before the end of the Carbon Fund, then further verifications are not allowed

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Not Applicable. The FCPF only issues ex-post certified ERs upon successful completion of verification events, i.e. ex-post.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A



#### Question 4.4 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:

**A.** Information contained in the programme's original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

REDD+ ER programs under the FCPF generate ERs that result from activities implemented in the forestry sector (reducing emissions from deforestation and/or forest degradation", conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks). These activities are subject to potential risks of reversals

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in "A" that were initiated following the previous application or the Council's approval of programme eligibility (*if none, "N/A"*):

N/A

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

**A.** Information contained in the programme's original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Any reversal occurring in REDD+ ER programs under the FCPF require a response. According to the FCPF MF (Indicator 21.2), REDD+ ER programs must report to the FCPF on the occurrence of any reversal within 90 calendar days after becoming aware of any reversed emission reductions. In the case of occurrence of a reversal, this will be compensated by the established buffer.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

The ER Program Buffer Guidelines require a program-based 'Reversal Buffer' to insure against potential reversals under a given REDD+ ER program; and a program portfolio-based 'Pooled Reversal Buffer' to insure against potential catastrophic/large-scale reversals which exceed the amount of Buffer ERs set aside in-the Reversal.Buffer The amount of buffer units is estimated using the Buffer Guidelines, and reported in each Monitoring Report as a percentage of Total Net Emission Reductions for that Reporting Period minus the quantity of ERs allocated to the Uncertainty Buffer for that Reporting Period. This assessment is verified by the VVB during each verification. Specific provisions for the assessment of risks of reversal and buffer allocation can be found in section 7 of the Guidelines.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_buffer\\_guidelines\\_may\\_2022\\_version](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_buffer_guidelines_may_2022_version)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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 checked="" type="checkbox"/> YES
c) mitigate identified risks of reversals? ( <i>Paragraph 3.5.3</i> )	<input checked="" 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 checked="" type="checkbox"/> YES

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

ER Programs shall identify potential sources of reversal of ERs (non-permanence); have the capacity to monitor and report any reversal of previously monitored and reported ERs; and have measures in place to address major risks of anthropogenic reversals for the ER Program area, to the extent feasible

- a) Per Section 7 of the ER Program Buffer Guidelines, the programs are expected to undertake a reversal risk assessment using a Reversal Risk Assessment Tool to assess reversal risk for each of the Risk Factors listed in Table 2, section 7 of the ER Program Buffer Guidelines to set aside the Reversal Buffer for each program. The reversal buffer could range between 10% and 40% of the verified and contracted emission reductions depending on the level of risk.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_buffer\\_guidelines\\_may\\_2022\\_version\\_3.1.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_buffer_guidelines_may_2022_version_3.1.pdf)

This is also stated in the FCPF Methodological Framework Criterion 18. [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

- b) ER programs are required to monitor the risk factors listed in Table 2, Section 7 of the FCPF Buffer Guidelines to conduct a new risk assessment and report it in the Monitoring Report during each reporting period prior to Verification.
- c) Table 2 of the FCPF Buffer Guidelines states that all FCPF Programs are subject to a default 40% discount due to possible risks of reversals. ER Programs need to demonstrate the implementation of mitigation

actions in order to reduce that discount. However, in any case, the total reversal set aside percentage cannot be lower than 10%. This means that the level of reversal risks estimated by each Program is residual after the mitigation has been implemented, validated, monitored, and verified by the VVB. [https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_buffer\\_guidelines\\_may\\_2022\\_version\\_3.1.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_buffer_guidelines_may_2022_version_3.1.pdf)

- d) Sections 11 and 12 of the FCPF Buffer Guidelines specify procedures for reversal management during the term of the FCPF ERPA. For CORSIA, section 13 of the Guidelines provides specific provisions. These are presented below:

If an ER Program wishes to supply “CORSIA Eligible Emissions Units” (as defined under CORSIA), the ER Program shall have in place a robust Reversal Management Mechanism that addresses the risk of Reversals beyond the Term of the CF ERPA and is equivalent to the ER Program CF Buffer if. A Reversal Management Mechanism is considered to be equivalent to the ER Program CF Buffer if:

- a) It is a buffer;
- b) It covers potential reversals of the units generated under the ER Program during the Crediting Period;
- c) It allows the transfer of the Buffer ERs from the ER Program CF Buffer
- d) The reversal risk set-aside percentage calculated under the Reversal Management Mechanism is equal to or higher than the actual reversal risk set-aside percentage of the ER Program CF Buffer
- e) It has in place a periodic monitoring and third-party Verification mechanism for a period from the end of the Crediting Period to 31 December 2037 to confirm if there have been Reversals and makes monitoring and verification reports publicly available; and

The Reversal Management Mechanism is operational and able to address identified Reversals. The Reversal Management Mechanism shall be continually managed and operated by the ER Program Entity and allows the World Bank, in its capacity as trustee of funds made available from the FCPF for this purpose, to (i) carry out a desk review of the publicly available monitoring and verification reports of the ER Program for Reversals and (ii) inform CORSIA, and the CFPs if applicable, of any Reversals and related compensation (through replacement of the CORSIA Eligible Emissions Units) under the ER Program’s Reversal Management Mechanism, from the end of the Crediting Period through 31 December 2037.

The Carbon Fund Participants have also requested the World Bank, in its capacity as trustee of funds to be made available by the CFPs from the FCPF, to carry out a desk review of the publicly available monitoring and verification reports of all ER Programs wishing to supply “CORSIA Eligible Emissions Units” (as defined under CORSIA) for Reversals for a period from the end of the Crediting Period of the respective ER Program through 31 December 2037. If there is a Reversal the World Bank will inform CORSIA, and the CFPs if applicable, of the Reversal and the related compensation (through replacement of the CORSIA Eligible Emissions Units) under the ER Program’s Reversal Management Mechanism.

The Carbon Fund Participants have also requested the World Bank to transfer US\$10.0 million from the FCPF to a World Bank Trust Fund, if necessary, to provide sufficient budget for World Bank staff to carry out the desk reviews and report to CORSIA and CFPs where necessary. For clarification purposes please be informed that the FCPF Carbon Fund is scheduled to terminate on 31 December 2025. The World Bank, or International Bank for Reconstruction and Development (IBRD), the current Trustee of the FCPF Carbon Fund, commits to carry out a desk review of the publicly available monitoring and verification reports of

all ER Programs wishing to supply “CORSIA Eligible Emissions Units” (as defined under CORSIA) for Reversals for a period from the end of the Crediting Period of the respective ER Program through 31 December 2037. If there is a Reversal the World Bank will inform CORSIA, and the CFPs if applicable, of the Reversal and the related compensation (through replacement of the CORSIA Eligible Emissions Units) under the ER Program’s Reversal Management Mechanism.

The World Bank will carry out these reviews using funds made available from the FCPF

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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 checked="" 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 checked="" 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 checked="" 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*:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) And c) Section 3.6 of the FCPF Methodological Framework; Sections 7, 10, 11, 12, and 13 of the FCPF Buffer Guidelines and Section 7.6 of the Process Guidelines present procedures for liability, monitoring, mitigation, and compensation for material reversals.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_buffer\\_guidelines\\_may\\_2022\\_version\\_3.1.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_buffer_guidelines_may_2022_version_3.1.pdf)

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_process\\_guidelines\\_2021\\_v5.2.pdf#page=13](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_process_guidelines_2021_v5.2.pdf#page=13)

- b) Section 10.2 of the Buffer Guidelines 10.2 specify “The Program Entity shall inform the World Bank of a Reversal Event and identify the occurrence of a Reversal Event in its period reporting, as specified in an ERPA”.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_buffer\\_guidelines\\_may\\_2022\\_version\\_3.1.pdf#page=11](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_buffer_guidelines_may_2022_version_3.1.pdf#page=11)

As per the ERPA with the Carbon Fund, ER programs shall report "to the Carbon Fund within 90 calendar

days after becoming aware of any emissions in the Accounting Area or changes in ER Program circumstances that, in the reasonable opinion of the ER Program, could lead to Reversals of previously transferred ERs by the next Monitoring event".

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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 checked="" type="checkbox"/> YES
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Summarize and provide evidence of the policies and procedures referred to above:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The ER units in the buffer are part of the REDD+ ER program's verified ERs. The reversal risk management policies and procedures of FCPF are capable of compensating material risks with the implementation of ER Program Buffer Guidelines and ensure meeting the obligations of the REDD+ ER program ER units used as offsets under the CORSIA.

The ER Transaction Registry has the capabilities to designate the ICAO eligible units in all account types. The identification of the ICAO-eligible units (as the compliance of FCPF ER units with other standards), will be explicitly added as a label to the unique serial number (GCTC). The last 3 elements of the serial number characterize ICAO eligible units (status-active, class-certified, type-tradable) and the compliance with the standard will be explicitly labeled to the GCTC

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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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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:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

REDD+ activities of the forestry sector supported through FCPF ER programs can have a potential risk of leakage

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Section 3.5 of the FCPF Methodological Framework states that potential sources of domestic and international displacement of emissions (Displacement) are identified by assessment of all drivers of land-use change relevant for the ER Program; and measures to minimize and/or mitigate the risk of displacement of domestic emissions are incorporated into ER Program design and the estimation and monitoring of ER.

Emphasis is placed on good Program design that reduces the risk of market- or subsistence-driven displacement, e.g., by maintaining the same level of production of commodities under the ER Program that occurred prior to the Program, and by introducing and supporting alternative sustainable livelihoods in the ER Program. ER Programs should seek to minimize and mitigate Displacement outside the Accounting Area (domestic and international) to the extent possible via design of the ER Program. However, due to accounting and attribution challenges and following UNFCCC guidance on REDD+, potential international Displacement is not accounted.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

Are provisions in place requiring activities that pose a risk of leakage when implemented at	<input checked="" type="checkbox"/> YES
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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> )	
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Summarize and provide evidence of the policies and procedures referred to above:

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The FCPF Methodological Framework section 2, requires programs to be designed and implemented at jurisdictional scale and/or takes a programmatic approach (i.e., involves multiple land areas, landowners or managers within one or several jurisdictions). For instance, the scale of several FCPF Programs covers the entire country or areas which are one level below the national scale.

Section 3.5 of the FCPF Methodological Framework specifies that ER Programs shall identify deforestation and degradation drivers and assess their associated risks of displacement. Moreover, the FCPF ER Programs shall have in place and implement, by the time of Verification, an effective strategy to mitigate and/or minimize, to the extent possible, potential Displacement.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

The Validation and Verification Bodies (VVBs) are required to assess the effectiveness of program design and strategy to address the risk of displacement and present their assessment in the Validation and Verification Reports. The ER programs are expected to address the issues highlighted in the VVB assessment and to report information on the measures implemented to minimize the displacement risks associated with sources and sinks of ER programs.

VVBs can assess displacement/leakage risk by assessing the extent to which the ER Monitoring Report includes a complete and accurate report, to the extent possible, on the implementation of its strategy to mitigate and/or minimize potential Displacement and on any on changes in major drivers in the ER Accounting Area. If displacement/leakage events or risk of displacement/leakage is identified by the VVB, then programs are required to propose mitigation measures prior to the issuance of a validation/verification report. The implementation of mitigation measures proposed to address displacement/leakage risk is assessed in the subsequent reporting periods. The provisions of VVB assessment of the risk of displacement are specified in paragraph 34 of the Validation and Verification Guidelines.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Leakage is commonly associated with small projects (small fractions of jurisdictional programs) due to the potential risk of shifts in their activities to areas outside project boundaries. However, due to the scale of implementation, under FCPF programs it is expected that leakage outside the implementation area will be more difficult.

Moreover, large program jurisdictions significantly mitigate leakage risk as a range of program interventions that seek to maintain pre-program levels of production or economic activity within program jurisdiction avoid or minimize leakage risk. Therefore, jurisdictional programs, by supporting policies and interventions at a large scale, prevent, avoid and mitigate leakage risk. Effectively FCPF programs mitigate the risk of leakage due to the large areas they cover, and their ability to monitor ERs at the level of the entire jurisdiction.

Additionally, significant challenges exist for monitoring and attribution of displacement of leakage emissions of activities from large jurisdictional (sub-national/province/region) programs that span several million ha and cover a wide range of drivers, economic activities, land use categories, and ecoregions. Hence, leakage from jurisdictional programs is not feasible to monitor in practice. To ensure that leakage from ER program jurisdictions is not a risk, the FCPF Methodological Framework specify that displacement mitigation measures should be mandatorily considered in the program design (Section 3.5); and are subject to assessment as part of verification to ensure the program design and intervention measures minimize the risk of leakage.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_carbon\\_fund\\_methodological\\_framework\\_revised\\_2020\\_final\\_posted.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_carbon_fund_methodological_framework_revised_2020_final_posted.pdf)

The World Bank's environmental and social safeguards requirements that go beyond the Cancun safeguards also ensure that measures to address leakage risk are in place as part of the program design and monitoring of the implementation of Environmental and Social Framework to actively address the risk of leakage or displacement of activities outside the program area. For these reasons, the FCPF MF requires that the design of REDD+ ER programs include measures against leakage/displacement without the need for active monitoring as the implementation of safeguards is expected to identify and address the leakage risk on a continuous basis. For these reasons, the FCPF MF considers that good program design addresses the leakage/displacement risk as it is infeasible to attribute the leakage associated with sub-national ER programs.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Due to the scale of implementation, under FCPF programs it is expected that leakage outside the implementation area will be more difficult since the area covered by the Programs is usually several million hectares in size (programs under the FCPF range between 1.6 and 29.4 mill ha (average size of 9 .2 million hectares). Therefore, what would constitute leakage from an FCPF intervention would simply constitute internal displacement at the FCPF program level. This means that the resulting emissions would be captured by the monitoring system that is covering the whole FCPF program area.

Moreover, during the design of FCPF Programs, Programs shall identify GHG sources and sinks that may be impacted by the proposed FCPF ER Program and assess their associated risk for Displacement. Also, the FCPF ER Programs shall have in place and implement, by the time of Verification, an effective strategy to mitigate and/or minimize, to the extent possible, potential Displacement, prioritizing key sources of Displacement risk. Consequently, although no material leakage is expected for FCPF Programs, the design and implementation of mitigation activities will result in a negligible residual leakage. For this reason, no procedures for deduction of ERs for leakage have been approved in the FCPF Methodological Framework

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

**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 does not occur between the airline and the host country of the emissions reduction activity? ( <i>Paragraph 3.7.3</i> )	<input checked="" type="checkbox"/> YES

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

**A.** Information contained in the programme’s original application, including information submitted in response to

follow-up discussions and written questions pertaining to this topic:

a) and b) The ER Transaction Registry has capabilities to issue one unit for one tonne of mitigation and to transfer, retire/cancel by only one entity at a time to avoid double counting of ERs.

c) and d) Section 6.2 of the FCPF Methodological Framework specify that host countries implementing ER programs shall select an appropriate mechanism to avoid double counting, including double issuance, double selling/use, or double claiming, to track the ERs and ensure that any ERs that have been generated, monitored and verified under the FCPF ER Programs and paid for by the Carbon Fund are not used again by any entity for sale, public relations, compliance or any other purpose. The ER Transaction Registry has capabilities to register, track, and as appropriate retire or cancel ER units generated under the FCPF ER program. The procedures are described in the Operational Guidelines for Emission Reductions Transaction Registry. <https://cats.worldbank.org/html/knowledge.html>

The national governments need to comply with the Terms and Conditions of the ER Transaction registry (CATS - Carbon Assets Tracking System) to demonstrate no Double-Counting, Double-Selling, or Double-Claiming of ERs. The national governments through the acceptance of the Terms and Conditions, acknowledge (Section 11.02 paragraphs (n) (o)) no Double-Counting, Double-Selling, or Double-Claiming of the ERs and Buffer ERs, and that ER programs are not registered and will not register ERs simultaneously in CATS ER Registry and other registries. The common application of the Terms and Conditions of CATS to all national governments ensures that FCPF procedures to prevent double counting and double claiming are uniformly applicable to all national governments hosting FCPF ER Programs.

Additionally, paragraph 34, item (e) of Section 8.2 of the FCPF Validation and Verification Guidelines, requires Verification Bodies to assess the extent to which systems to avoid that ERs generated under the FCPF ER program have not been counted or compensated for more than once have been adequately implemented and confirm that issuance has not occurred in other known registries.

[https://www.forestcarbonpartnership.org/system/files/documents/fcpf\\_validation\\_and\\_verification\\_guidelines\\_2021\\_ver\\_2.4.pdf](https://www.forestcarbonpartnership.org/system/files/documents/fcpf_validation_and_verification_guidelines_2021_ver_2.4.pdf)

The FCPF constantly engages with countries implementing ER programs to make them aware of the FCPF procedures on Validation and Verification, and CATS ER Transaction Registry to prevent the risk of double-counting and to assist national governments to develop procedures that comply with FCPF procedures to avoid the risk of double counting. In relation to CATS ER Transaction Registry, the FCPF constantly engages with countries to discuss the steps required to comply with the Terms and Conditions of CATS ER Transaction Registry and to strengthen the capacity of national governments to have procedures in place to address double counting before FCPF credits can be issued. Records of meetings and webinar sessions covering these topics can be found on the FCPF website under events. <https://www.forestcarbonpartnership.org/meetings>

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

N/A

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.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

a) and b) Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and Article XIV section 14.01; include provisions to address the above items.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf) Section 7.02 specifies that users in CATS need to submit a transfer request which is assessed by CATS to identify that no prohibited actions are taking place, including a transfer that would result in Double-Counting, Double-Selling or Double-Claiming.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

The above response has been updated to reflect the ongoing work from the FCPF on the design of the attestation forms and the process to make them publicly available. The updated response is provided below:

a) and b) Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and Article XIV section 14.01; include provisions to address the above items.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf) Section 7.02 specifies that users in CATS need to submit a transfer request which is assessed by CATS to identify that no prohibited actions are taking place, including a transfer that would result in Double-Counting, Double-Selling or Double-Claiming.

Moreover, the FCPF is currently working on the design of an attestation form (letter of assurance and authorization by the host country) that will be required as needed as an attached document prior to any international transfer of FCPF credits and will be published in the FCPF transaction registry (CATS Carbon Assets Tracking System) along with the third-party transaction request by the host country transaction processor. This form will be ready and approved before the end of the World Bank fiscal year (June 30th 2023).

Overall, all transfers of FCPF Credits to be used under CORSIA scheme will follow the following general

procedures to be included in the updated CATS operational guidelines (same deadline):

- FCPF will only qualify offset credits for CORSIA once the host country attestation (letter of assurance and authorization by the host country) is received and proves that all FCPF and CORSIA requirements are met (to qualify post-2020 FCPF Credits for CORSIA). Those letters signed by the relevant authority in the country will detail the REDD+ activity, volume to be issued, authorization to be used by airplane operators to meet offsetting requirements under CORSIA, and provisions to renouncing to use them to progress towards the country NDCs and assuring that the Corresponding Adjustments will be reflected in the structured summary of the country’s biennial transparency reports.
- The FCPF will also require (to qualify post-2020 units for CORSIA) the host country to present a mechanism to mitigate the risk of or compensate for double claims of emission reductions units between operators under CORSIA and host countries towards NDC achievement; if the adjustment has not been made (or credible evidence has not been provided) within a year after the adjustment was due. The FCPF is already conducting consultations with different stakeholders in this regard, including the World Bank Multilateral Investment Guarantee Agency (MIGA), and the detailed requirements and processes to be followed to mitigate the risk of or compensate for double claims of emission reductions are expected to be finalized by June 30th, 2023

c) To make publicly available attestations from national governments’ designated agencies, CATS Information and Technology Solution (ITS) team is working in parallel to label those FCPF credits as authorized FCPF credits (for which a corresponding adjustment has been applied). All FCPF Credit retirements and cancellations will be transparently recorded in public reports on CATS Registry (public dashboard and reports to be finalized by June 30th, 2023).

Does the Programme have procedures in place requiring... ( <i>Paragraph 3.7.9</i> )	
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. ( <i>Paragraph 3.7.9.1</i> )	
<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 checked="" type="checkbox"/> YES

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) & b) Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and article XIV section 14.01; include provisions to address the above items.  
[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

The above response has been updated to reflect the ongoing work of the FCPF on the design and publication of attestation forms. The updated response is presented below:

- a) & b) Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and article XIV section 14.01; include provisions to address the above items.  
[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf)

Moreover, the FCPF will only qualify offset credits for CORSIA once the host country attestation (letter of assurance and authorization by the host country) is received and proves that all FCPF and CORSIA requirements are met (to qualify post-2020 FCPF Credits for CORSIA). Those letters signed by the relevant authority in the country will detail the REDD+ activity, volume to be issued, authorization to be used by airplane operators to meet offsetting requirements under CORSIA, and the provisions to renouncing to use them to progress towards the country NDCs and assuring that the Corresponding Adjustments will be reflected in the structured summary of the country’s biennial transparency reports. The FCPF is currently working on the design of an attestation form which is expected to be ready by June 30<sup>th</sup>, 2023.

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):

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

- a) & b) Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and article XIV section 14.01; include provisions to address the above items.  
[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

The above response has been updated to reflect the ongoing work of the FCPF to design and make publicly available the attestation forms. The updated response is presented below:

a) & b) Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and article XIV section 14.01; include provisions to address the above items.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf)

Moreover, with regards to the provisions or measures to obtain and make publicly available attestations from national governments’ designated agencies, the FCPF is currently working on the design of an attestation form (letter of assurance and authorization by the host country) that will be required as needed as an attached document prior to any international transfer of FCPF credits and will be published in the FCPF transaction registry (CATS Carbon Assets Tracking System) along with the third-party transaction request by the host country transaction processor. This form will be ready and approved before the end of the World Bank fiscal year (June 30th 2023). Any updates made to the attestations will also be publicly available on CATS.

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
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

a) & b) Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and article XIV section 14.01; include provisions to address the above items.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf)

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

The above response has been updated to reflect the ongoing work of the FCPF on the requirements and processes to be followed to mitigate the risk of double claims of emission reductions. The updated response is presented below:

a) & b) Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and article XIV section 14.01; include provisions to address the above items.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf)

Moreover, all transfers of FCPF Credits to be used under CORSIA scheme will follow the following general procedures to be included in the updated CATS operational guidelines (to be released in June, 2023). As part of this, the FCPF will only qualify offset credits for CORSIA once the host country attestation (letter of assurance and authorization by the host country) is received and proves that all FCPF and CORSIA requirements are met (to qualify post-2020 FCPF Credits for CORSIA).

Those letters signed by the relevant authority in the country detail the REDD+ activity, volume to be issued, authorization to be used by airplane operators to meet offsetting requirements under CORSIA, and the provisions to renouncing to use them to progress towards the country NDCs and assuring that the Corresponding Adjustments will be reflected in the structured summary of the country’s biennial transparency reports. By having this provision in place, the FCPF will be able to confirm that units are not being double count

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
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and Article XIV section 14.01; include provisions to address the above items.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf) . According to these sections, in the event that ERs are issued on another registry and/or erroneous or fraudulent use of ERs listed in the Registry, including but not limited to the ERs or Buffer ERs being subject to Double-Counting, Double-Selling or Double Claiming; The Registry Operator may cancel ERs on the Registry.

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):

The above response has been updated to reflect the ongoing work of the FCPF on the requirements and processes to be followed to mitigate the risk of or compensate for double claims of emission reductions. The updated response is presented below:

Terms and Conditions of ER Transaction Registry sections 7.02, 8.02, 11.2 (n,o) and Article XIV section 14.01; include provisions to address the above items.

[https://cats.worldbank.org/shared/docs/CATS\\_Knowledge\\_Terms.pdf](https://cats.worldbank.org/shared/docs/CATS_Knowledge_Terms.pdf) . According to these sections, in the event that ERs are issued on another registry and/or erroneous or fraudulent use of ERs listed in the Registry, including but not limited to the ERs or Buffer ERs being subject to Double-Counting, Double-Selling or Double Claiming; The Registry Operator may cancel ERs on the Registry.

Moreover, the FCPF will also require (to qualify post-2020 units for CORSIA) the host country to present a mechanism to mitigate the risk of or compensate for double claims of emission reductions units between operators under CORSIA and host countries towards NDC achievement; if the adjustment has not been made (or credible evidence has not been provided) within a year after the adjustment was due. The FCPF is already conducting consultations with different stakeholders in this regard, including the World Bank Multilateral Investment Guarantee Agency (MIGA), and the detailed requirement and process to be followed to mitigate the risk of or compensate for double claims of emission reductions are expected to be finalized by June 30th, 2023.

<p>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 MIG; 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>)</p>	<p><input checked="" type="checkbox"/> YES</p>
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**Question 4.8 Do no net harm**

<p>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>)</p>	<p><input checked="" type="checkbox"/> YES</p>
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------

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

**A.** Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

World Bank’s rules and procedures, including ESF, ESS, Environmental and Social Policy for IPF, Directive on Addressing Risks and Impacts on Disadvantaged and Vulnerable Groups or Individuals and others establish solid safeguard policies, instruments and mechanisms to ensure that national legal frameworks are respected and accounted for. Following requirements as specified in ESS1: Assessment and Management of Environmental and Social Risks and Impact, the assessments include thorough review and analysis of

a) the country’s policy, legal, and institutional framework, as these are relevant to the specific environmental and social risks and impacts of the project; <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/712711627321467972/criteria-for-the-world-bank-s-disability-inclusive-investment-project-financing-ipf-in-education-guidance-note>

(b) Laws, regulations, rules, and procedures (including permits and approval requirements) applicable to the project, including regional and local requirements that are relevant to the environmental and social risks and



impacts of the project;

(c) Inconsistencies, lack of clarity, or conflict as to relevant authorities or jurisdiction, including differences between national and regional/local authorities or jurisdictions;

(d) Previous experience with the Bank or other multilateral or bilateral financing agencies and the performance of the Borrower and the national, subnational, sectoral, and local institutions involved in the preparation and/or implementation of similar previous projects; and

(e) Technical and institutional capacity of the Borrower and relevant national, subnational, or sectoral implementing institutions or agencies related to the preparation and implementation of the project.

FCPF procedures and requirements of the FCPF MF specified as criteria and indicators ( e.g. indicators 28.1, 33.1, 36.1, 36.2) ensure that the REDD+ ER program is designed and implemented in compliance with the national laws and regulation, including relevant international conventions and agreements. The programs are also expected to identify legal and regulatory gaps and clarify how they will be addressed.

**B. Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):**

N/A

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

**A. Information contained in the programme’s original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:**

FCPF programs are required to comply with the World Bank’s Environmental and Social Framework (ESF) and other safeguards policies. There is a requirement for all FCPF programs to monitor the implementation of the safeguards systems and report on the compliance in line with the agreed ESS tools at least twice a year through the ISRs, as well as through the annual ER Monitoring Reports. Each program has to develop and approve the Environmental and Social Commitment Plan (ESCP), which underlines all potential risks and all safeguarding measures which need to be installed and followed, as well as other safeguards instruments. The Bank conducts implementation support missions at least twice a year to monitor the implementation of the safeguard measures and compliance. The reports (ISR) are disclosed and publicly available.

To address grievances of stakeholders, ER programs are required to operationalize an FGRM to address grievances in relation to the program compliance with ESF. Additional information details on compliance with social and environmental safeguards is presented in response to question 3.9 above.

**B. Summary and accompanying evidence of any updates or changes to the programme elements described in “A” that were initiated following the previous application or the Council’s approval of programme eligibility (*if none, “N/A”*):**

N/A

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*)

**A.** Information contained in the programme's original application, including information submitted in response to follow-up discussions and written questions pertaining to this topic:

The FCPF follows the requirements of World Bank Policy on Access to Information on public disclosure of safeguards documentation and disclosure of documents relating to environmental and social risks prior to the appraisal. The information on institutions with accountability, processes, procedures to be followed, objectives and contents of documents, their rationale, arrangements for implementation are clarified in the Environmental and Social Framework and Safeguards Plan prepared to identify, monitor, manage and enforce safeguards relating to environmental and social risks for compliance with World Bank's environmental and social framework (ESF) over a specified timeframe and based on consultations with relevant stakeholder.

Section F of the Environmental and Social Policy for Investment project Financing of the World Bank Environmental and Social Framework clarifies the provisions of information disclosure and can be referred at the below link.

<https://thedocs.worldbank.org/en/doc/837721522762050108-0290022018/original/ESFFramework.pdf>

The World Bank Policy on Access to Information is available at the below links

<https://policies.worldbank.org/en/policies/all/ppfdetail/3693>

<https://ppfdocuments.azureedge.net/3693.pdf>

**B.** Summary and accompanying evidence of any updates or changes to the programme elements described in "A" that were initiated following the previous application or the Council's approval of programme eligibility (*if none, "N/A"*):

N/A

**PART 5: Programme comments**

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

No

**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:*



\_\_\_\_\_  
ANDRES ESPEJO  
Full name of Programme Representative (*Print*)

\_\_\_\_\_  
April 2, 2023  
Date signed (*Print*)

\_\_\_\_\_  
Programme Representative (*Signature*)

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



ICAO

**Programme Re-application Form, Appendix B**

**Programme Assessment Scope**

**CONTENTS:** List all activities and methodologies/protocols that were assessed by TAB at the time of the previous programme's application or are currently within the Scope of Eligibility in the pilot phase. Programmes may define additional activities and methodologies/protocols programmes for TAB's assessment for the **CORSIA first phase**.

Sheet A) Activities previously assessed by TAB at the time of the previous programme's application or those within the Scope of Eligibility in the pilot phase

Sheet B) List of all methodologies / protocols that support activities described under Sheet A

Sheet C) Activities that were not previously-assessed or excluded for assessment by TAB at the time of the previous application and that programmes wish to add for TAB's assessment for the first phase

Sheet D) List of all methodologies / protocols that support activities described under Sheet C













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**Programme Re-application Form, Appendix C**

**Programme Exclusions Scope**

**CONTENTS:** List all activities and methodologies/protocols that were excluded from the previous TAB's assessment or outside of Scope of Eligibility in the pilot phase. Programmes may define additional activities and methodologies/protocols programmes to be **excluded** from TAB's assessment for the **CORSIA first phase**. The four sheets are described below:

- Sheet A) Activities that were **excluded** from TAB's assessment at the time of the previous programme's application, or outside of programme's Scope of Eligibility in the pilot phase
- Sheet B) List of all methodologies / protocols that support activities described under Sheet A
- Sheet C) Additional activities that the programme wish to **exclude** from TAB's assessment
- Sheet D) List of all methodologies / protocols that support activities described under Sheet C









# Emissions Unit Programme Registry Attestation

(Version 3, January 2023)

## 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-designated registry:*** registry designated by a CORSIA Eligible Emissions Unit Programme to provide its registry services and approved by the ICAO Council as reflected in the programme's listing contained in the ICAO Document titled "*CORSIA Eligible Emissions Units*".

**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. Reference to "ETM, Volume IV" throughout this document refer to Environmental Technical Manual (Doc 9501), Volume IV — *Procedures for demonstrating compliance with the Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)*, containing the guidance on the process to implement CORSIA SARPs.

### 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. The TAB may periodically review and report to the ICAO Council regarding the continued consistency of programme's registry and its administration with terms contained in this document's Part B.

- 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 and ETM, Volume IV involving emissions unit cancellation-, reporting-, and verification-related actions after its consistency with the registry requirements contained in this attestation is demonstrated by the programme in accordance with Part A, Paragraph 3 of this document, 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 eligibility<sup>1</sup>.

**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

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<sup>1</sup> 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 7.12:
- 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*"<sup>2</sup>.
- 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 identify (in the case of applicants to be assessed to determine their eligibility) / identifies (when the Programme is determined to be eligible by a decision of the ICAO Council) CORSIA Eligible Emissions Units as defined in the ICAO document "*CORSIA Eligible Emissions Units*"<sup>3</sup>. This will be/is done consistent with the capabilities described by the Programme in its communications with ICAO, and any further requirements decided by the ICAO Council for CORSIA Eligible Emissions Unit Programme-designated Registry.
- 7.4. 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;

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<sup>2</sup> 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.

<sup>3</sup> As prescribed in the ICAO Document "*CORSIA Eligible Emissions Units*", the programme must provide for and implement its registry system to identify its CORSIA eligible emissions units as defined in the document.

- 7.5.** 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, and ETM, Volume IV;
- 7.6.** 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, and ETM, Volume IV;
- 7.7.** 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;
- 7.8.** 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;
- 7.9.** 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, and ETM, Volume IV. 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;
- 7.10.** 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;
- 7.11.** 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;
- 7.12.** 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 prior to identifying any emissions unit cancellations specifically for CORSIA use and supporting any related reporting and verification activities.

- 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.

Erwin de Nys  
Programme Representative Signature

Erwin De Nys  
Programme Representative Name

Forest Carbon Partnership Facility (FCPF)  
Programme Name

Date: 03/28/2023

Bong Thi Le  
Registry Representative Signature

Bong Thi Le  
Registry Representative Name

Carbon Assets Tracking System (CATS)  
Registry Name

Date: 03/28/2023

*Instructions for Registry Representative:* Please append a document on the next page of this attestation describing your Registry's 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 ensure the Programme Registry's ability to implement the requirements of this document prior to identifying any emissions unit cancellations specifically for CORSIA use and supporting any related reporting and verification activities.

## **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 7.11 of the *Emissions Unit Programme Registry Attestation* "Scope of Programme Registry responsibilities under the CORSIA".

In accordance with item 7.12 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*<sup>4</sup>.

### **PART 2: PROGRAMME AND REGISTRY REPRESENTATIVE INFORMATION**

#### **1. Programme Representative Information**

##### **A. Programme Information**

Programme name: [Forest Carbon Partnership Facility \(FCPF\)](#)

Administering Organization<sup>5</sup>: [The World Bank](#)

Official mailing address: [The World Bank, 1818 H Street NW, Washington DC, 20433 USA](#)

Telephone #: [+1-202-473-6179](#)

Official web address: <https://www.forestcarbonpartnership.org/>

##### **B. Programme Administrator Information (i.e., individual contact person)**

Full name and title: [Andres Espejo \(Fund manager FCPF, SCCFM, The World Bank\)](#)

Employer / Company (*if not programme*): [The World Bank](#)

E-mail address: [aespejo@worldbank.org](mailto:aespejo@worldbank.org)

Telephone #: [+1- 2407-1389-10](#)

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

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<sup>4</sup> <https://www.icao.int/environmental-protection/CORSIA/Pages/TAB.aspx>

<sup>5</sup> **Please complete**, even if the name of the business, government agency, organization, or other entity that administers the Emissions Unit Programme is the same as "*Programme Name*".

Full name and title: Erwin De Nys (Practice Manager, SCCFM, The World Bank)

Employer / Company (*if not Programme*): The World Bank

E-mail address: [edenys@worldbank.org](mailto:edenys@worldbank.org)

Telephone #: +1-202-2477-510

## 2. Registry Representative Information<sup>6</sup>

### A. Registry Information

Registry / system name: Carbon Assets Tracking System (CATS)

Administering Organization: The World Bank

Official mailing address: The World Bank, 1818 H Street NW, Washington DC, 20433 USA

Telephone #: +1 202 473 6966

Official web address: <https://cats.worldbank.org/>

### B. Registry Administrator Information (i.e., individual contact person)

Full name and title: Bong Thi Le (CATS Administrator, SCCFM, The World Bank)

Employer / Company (*if not Registry Administering Organization*): The World Bank

E-mail address: [ble@worldbank.org](mailto:ble@worldbank.org)

Telephone #: +1 202 473 6966

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

Full name and title: Erwin De Nys (Practice Manager, SCCFM, The World Bank)

Employer / Company (*if not Registry Administering Organization*): The World Bank

E-mail address: [edenys@worldbank.org](mailto:edenys@worldbank.org)

Telephone #: +1-202-2477-510

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<sup>6</sup> **Please complete this section**, even if the business, government agency, organization, or other entity that administers the Emissions Unit Programme Registry is the same as the organization described in **Part 2. “1. Programme Representative Information”**.

### PART 3: EVIDENCE OF ADHERENCE TO SCOPE OF REGISTRY RESPONSIBILITIES

	<p>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<sup>7</sup>, as acknowledged by the Programme in the signed “Programme acceptance to terms of eligibility for inclusion in the ICAO document “<i>CORSIA Eligible Emissions Units</i>”?”</p>	<input checked="" type="checkbox"/> YES
<p>7.1</p>	<p>Describe how the Registry ensures its ability to implement these provisions:</p> <p>Yes, it does. CATS (Carbon Assets Tracking System) is the designated CORSIA Eligible Emissions Unit Programme registry. CATS is an online centralized platform that supports the issuance and transaction of ER units generated under World Bank programs. Specifically, it has been designed to support the operations under the ER Programs of the FCPF.</p> <p>All the programme registry provisions and procedures are described in the three documents of the Transaction Registry; the <b>Operational Guidelines</b> - key policy document to facilitate the implementation of the registry procedures; the <b>User Manual</b> - describes step-by-step procedures and tools for system access and use; and the <b>Terms and Conditions</b> - legal agreement between the service provider (The WB) and the users that sets the rules and guidelines that users must agree and follow to use the registry services.</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>CATS (Carbon Assets Tracking System) Web: <a href="https://cats.worldbank.org/">https://cats.worldbank.org/</a></p> <p>The three documents of the Transaction Registry - the <b>Operational Guidelines</b>, the <b>User Manual</b> and the <b>Terms and Conditions</b> - are accessible under the “Knowledge Center” block in the CATS webpage.</p>	
<p>7.2</p>	<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 does or will implement this provision:</p> <p>During the on-boarding process, as described in the <b>Operational Guidelines</b>, all external users (included CORSIA participants) will be requested to submit information and specific documentation about the entity and the staff that will operate the system, prior to sharing the invitation through the platform to open an account in the system.</p>	<input checked="" type="checkbox"/> YES

<sup>7</sup> 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>CATS follows the Bank Procedures that set out the steps for Anti-Money Laundering and Combating Financing of Terrorism (AML/CFT) screening and sanction screening of transactions<sup>8</sup>. Integrity Due Diligence checks features of external users and organizations on-boarded in CATS using WBG sanctions screening system, to gain a deeper understanding of the potential external users of the registry, primarily from a risk management perspective and to proactively mitigate integrity risks.</p> <p>All external registry users and their institutions (Fund participants, Host Countries, and Third-party buyers) are screened daily against WB internal sanction lists (WBG Debarred and Temporarily Suspended firms and individuals, WBG Corporate Procurement Non-Responsible Vendors, and World Bank Corporate Risk Profile Database - CRPD - watchlist) and major external sanction screening lists (Consolidated United Nations Security Council (UN) sanctions list, United States Office of Foreign Assets Control (US OFAC) – SDN and Non-SDN Consolidated lists, European Union Consolidated (EU) list of sanctions, and United Kingdom HM Treasury’s Consolidated (UK) list of financial sanctions targets) using Lexis Nexis (LN) Bridger Insight.</p> <p>The information checked against the internal and external sanction screening lists is the <b>complete name and address</b>. <b>The location of an user in country is not a flag to prevent any third-party user to open a registry account in CATS.</b></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>CATS (Carbon Assets Tracking System) Web: <a href="https://cats.worldbank.org/">https://cats.worldbank.org/</a></p> <p>The Operational Guidelines as the key policy registry document to facilitate the implementation of the registry procedures, describes the On-boarding and Integrity Due Diligence (Sanction Screening) processes. The document is accessible under the “Knowledge Center” block in the CATS webpage.</p>

	<p>Will the Programme Registry (in the case of applicants to be assessed to determine their eligibility)/Does the Programme Registry (when the Programme is determined to be eligible by a decision of the ICAO Council) identify / label its CORSIA eligible emissions units as defined in the ICAO Document “<i>CORSIA Eligible Emissions Units</i>”?</p>	<p><input checked="" type="checkbox"/> YES</p>
<p>7.3</p>	<p>Describe how the Registry does or will implements this provision:</p> <p>CATS has the capabilities to designate the ICAO eligible units in all account’s types, identify, track and transfer unit holding from issuance to retirement/cancellation, and uniquely serialize units including information on unit status (active, buffered, cancelled or retired), unit’s country and sector of origin and vintage of credits among other information as part of the Global Carbon Ticket Code (GCTC).</p> <p>The registry procedures ensure traceability, transparency, efficiency, environmental Integrity and FCPF compliance requirements.</p> <p>The identification of the ICAO-eligible units will be explicitly added as a label to the unique serial</p>	

<sup>8</sup> Bank Procedure: Anti-Money Laundering and Countering Financing of Terrorism (AML/CFT) and Sanctions Screening Procedure. Catalogue Number IVP1.04-PROC.110. Effective: April 1<sup>st</sup>, 2020. This Procedure sets out steps that are consistent with Article VI of the 1947 Relationship Agreement between the United Nations and the International Bank for Reconstruction and Development (IBRD) and the decisions of the WBG Sanctions Board.

	<p>number (GCTC). The GCTC consists in 13 elements, reflected as 71 alpha-numeric characters that can be described as: (i) Static Elements that never change throughout the block lifecycle and define the details and characteristics of the block origin; and (ii) Dynamic Elements that are subject to continuous changes through the block life-cycle and define current state and characteristics of the block in relation to the transactions which have been performed.</p> <p>The last 3 elements of the serial number characterize ICAO eligible units (status-active, class-certified, type-tradable) and the compliance with the standard will be explicitly label to the GCTC.</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>For further details check section</p> <p>2.3.2.1. <i>Global Carbon Ticker Code (GCTC). ER Units Serialization</i> of the CATS Operational Guidelines <a href="https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf">https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf</a></p>

7.4	<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 the purpose of reconciling offsetting requirements under the CORSIA, including by compliance cycle?</p>	<input checked="" type="checkbox"/> YES
	<p>Describe how the Registry does or will implement these provisions:</p>	
	<p>Yes, it will. The cancellation process of tradable units from any third-party’s tradable account to their cancellation account is a permanent transfer (ER units status changes from active to cancelled). Cancellation of units is a two-levels of approval transfer that starts with a request from the ER units owning entity (third-party under this assumption) that submits the transaction to its authorized approver (third-party approver according to this case), followed by the final clearance from the Fund Manager/ CATS Admin – Global.</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>CATS (Carbon Assets Tracking System) Web: <a href="https://cats.worldbank.org/">https://cats.worldbank.org/</a></p> <p>The <b>Operational Guidelines</b> is the key policy registry document to facilitate the implementation of the registry procedures. It describes the process of Cancellation of ER units in detail. The document is accessible under the “Knowledge Center” block in the CATS webpage.</p>	

7.5	<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</p>	<input checked="" type="checkbox"/> YES
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	administrator, make visible on the Programme Registry’s public website the account owner’s cancellations of CORSIA Eligible Emission Units as instructed.	
	b. Will such cancellation information (row a) include all fields that are specified for this purpose in Annex 16, Volume IV, and ETM, Volume IV?	<input checked="" type="checkbox"/> YES
	Describe how the Registry does or will implement these provisions:	
	<p>Yes, it will. According to the cancellation process described in 7.4, once the transaction request is approved by the authorized account holder of the ER units (third-party approver), the final clearance from the CATS Admin will be processed the same day it is received (‘approve’), unless is inadmissible (reject) or some observed errors must be corrected (‘send back for revision’). Information on cancelled ER units will be visible on the CATS Registry public website.</p> <p>The specific cancellation information available on the CATS Registry public website includes (but not limited to) the quantity of ER units cancelled, the certification period, the start and end of the serial numbers, the date of cancellation, the programme code, unit type, host country, methodology and the party cancelling the ERs from their accounts. This information is available for each specific transaction and includes the complete information of the global carbon ticket code assigned to the cancelled ER units (in reference to the SARPs provisions on the consolidated information for cancelled emissions units).</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>CATS (Carbon Assets Tracking System) Web: <a href="https://cats.worldbank.org/">https://cats.worldbank.org/</a></p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures. It describes the process of Cancellation of ER units and the information available under the third-party and CATS admin dashboards referring to that transaction. It also includes the description of the global carbon ticket code assigned to each ER unit. The document is accessible under the “Knowledge Center” block in the CATS webpage.</p> <p>The Terms and Conditions is the legal agreement between the service provider (The WB) and the users, establishes in its Article XX. Confidentiality; Disclosure and Sharing of Confidential Information, the rules and guidelines that users must agree to and comply in relation to the information made public. The document is accessible under the “Knowledge Center” block in the CATS webpage.</p>	

<b>7.6</b>	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, and ETM, Volume IV?	<input checked="" type="checkbox"/> YES
	Describe how the Registry does or will implement this provision:	
	An aggregated report provides a snapshot of any asset type, status, class of any third-party account between two dates. Any user who has access under the third-party entity will be able to generate and view the report.	

	<p>Users can generate transaction report (in the form of pdf or excel) on Monthly, Quarterly, Yearly &amp; with customized time period. Users can generate unit holding report on a specific date by clicking on the calendar icon.</p> <p>The information in the transactions report includes among others the quantity of ER units transferred, the certification period, the start and end of the serial numbers, the date of the transfer, the programme code, unit type, host country, methodology and the third-party transferring the ERs (in reference to the SARPs provisions containing specific information / fields to reflect in registry).</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>CATS (Carbon Assets Tracking System) Web: <a href="https://cats.worldbank.org/">https://cats.worldbank.org/</a></p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures. It describes the process of how the registry users can generate transactions reports and unit holding reports. The document is accessible under the "Knowledge Center" block in the CATS webpage.</p> <p>The Terms and Conditions is the legal agreement between the service provider (The WB) and the users, establishes in its Article XX. Confidentiality; Disclosure and Sharing of Confidential Information, the rules and guidelines that users must agree to and comply in relation to the information made public. The document is accessible under the "Knowledge Center" at the CATS webpage.</p>

7.7	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?	<input checked="" type="checkbox"/> YES
	b. Does the Programme Registry disclose documentation of such practices (row a) upon request?	<input checked="" type="checkbox"/> YES
	c. Does the Programme Registry utilize appropriate method(s) to authenticate the identity of each user accessing an account?	<input checked="" type="checkbox"/> YES
	d. Does the Programme Registry grant each user access only to the information and functions that a user is entitled to?	<input checked="" type="checkbox"/> 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?	<input checked="" type="checkbox"/> YES
	f. Do such security features (rows a – e) meet and undergo periodic updates in accordance with industry best practice?	<input checked="" type="checkbox"/> YES
	Describe how the Registry implements each provision in rows a – f:	

CATS (Carbon Assets Tracking System) has implemented a robust security system that ensures the integrity, authenticated and secure access of authorized external users **(a)**. All the on-boarding procedures, the authentication and the Integrity Due Diligence (Sanction Screening) processes are described in detail in the **Operational Guidelines (b)**.

CATS has implemented an off-line on-boarding process where the entities and their staff, proposed as users of the system under different roles (transaction processor, approver and viewer), have to submit detailed information and documentation to the CATS Administrator. Once the official onboarding request with supporting documents has been received and checked, the WB will send an invitation email (through the platform) to the external user with a link to create an account on the WB cloud-based user authentication system.

WB cloud-based user authentication service (Microsoft Azure AD) permits external users to utilize a government/corporate or commercial domain email addresses as user ID to access CATS **(c)**. The user may create a password, confirm location, verify email using a code, overcome an anti-spam check, confirm email address, and review and accept permissions to grant the WB to use external user's name and email address.

The request is submitted to the CATS Administrator who manages user access and assigns roles and authorizations. The external user will receive an email notification with the group membership granting access through a specific role under the program. CATS authorizes each user access only to the information and functions (role) that a user is entitled to **(d)**.

Each transaction initiated by an authenticated user with designated user role has to be confirmed before submitting and explained in the comments section (compulsory) and supported with documentary evidence to assure it is an intentional transaction event confirmed by the user **(e)**. In addition, any transaction has several levels of approval with a final clearance according to the registry governance system.

Furthermore, as explained in 7.2, Integrity Due Diligence checks features of external users and organizations on-boarded to CATS using WBG sanctions screening system proactively mitigates and manages integrity risks. All external registry users and their institutions (Participants, Programs - Countries, and Third-party buyers) are screened before creation and daily through end of day batch process against WB internal sanction lists and major external sanction screening lists.

These security features (a – e) are meet and undergo periodic updates in accordance with industry best practice, checked regularly by a dedicated IT and business team in The WB. The results of the security checks are evaluated by different teams in The WB depending on their severity according to a detailed Decision-Making (ADM) framework and are subject to an annual external audit.

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*.

CATS (Carbon Assets Tracking System) Web: <https://cats.worldbank.org/>

The **Operational Guidelines** is the key policy registry document to facilitate the implementation of the registry procedures. It describes the on-boarding, the authentication and the Integrity Due

	<p>Diligence (Sanction Screening) procedures. The document is accessible under the “Knowledge Center” at the CATS webpage.</p> <p>The <b>Terms and Conditions</b> is the legal agreement between the service provider (The WB) and the users, establishes in its <i>Article V. Account Authorization, Authorized Representatives, User Acting as Agent</i>, the rules and guidelines that users must agree to and comply to use the registry services, to ensure the integrity and the authenticated and secure access to the registry data. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>
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<b>7.8</b>	<p>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?</p>	<input checked="" type="checkbox"/> YES
	<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>	<input checked="" type="checkbox"/> YES
	<p>Describe how the Registry does or will implement each provision in rows a and b:</p>	
	<p>CATS Admin, upon identifying any breach of CATS data security or integrity that affects any external user account holder, will notify the external user <b>(a)</b>. In case of breach of security or integrity affects a CORSIA participant account holder, CATS will notify the FCPF (Fund Manager) which will inform the ICAO Secretariat on the matter in the same manner as required for material deviations from the Programme’s application form <b>(b)</b>.</p> <p>In case of any breach of CATS data security, the dedicated CATS maintenance IT team will immediately inform through the CATS Admin all external users and entities potentially affected to and will implement necessary measures to restore the service per the conditions agreed with parties.</p> <p>If as a result of the Integrity Due Diligence process, the Sanctions Screening Plus API call to Lexis Nexis (LN) service, right after CATS Admin approval (creation or editing the external user’s account) or as a result of the sanction screening end of day batch process, is returned with a hit:</p> <p>(i) a pop-up notification message will be displayed; (ii) the external user/entity on-boarding request will be listed as pending for approval and (iii) a case under IDD Management is created (Open Case Tab). The external user/entity is sanctioned and/or associated with negative news/substantial risk, and CATS will flag the external user/entity creation request with a red banner “Due Diligence Block”.</p> <p>Until the case is resolved, users/entities will be frozen, and all their accounts will be blocked, so no one will be able to initiate transactions from or to the frozen account.</p> <p>Depending on the specific sanction list and the percentage of match, various instances in the WB will evaluate and clear or bear out the case, contacting the external users and entities involved.</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</p>	

	<p>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>CATS (Carbon Assets Tracking System) Web: <a href="https://cats.worldbank.org/">https://cats.worldbank.org/</a></p> <p>The <b>Operational Guidelines</b> is the key policy registry document to facilitate the implementation of the registry procedures. It describes the implemented security protocols and the Integrity Due Diligence (Sanction Screening) procedures. The document is accessible under the “Knowledge Center” at the CATS webpage.</p> <p>The <b>Terms and Conditions</b> is the legal agreement between the service provider (The WB) and the users, establishes in its <i>Article XIX. Limited Warranty/Disclaimer of Warranties</i>, that the Registry is provided on an "As Is" basis at the User's sole risk, setting the warranty and liability limits for the registry services. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>

<p>7.9</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, and ETM, Volume IV<sup>9</sup>?</p>	<p><input checked="" type="checkbox"/> YES</p>
	<p>Describe how the Registry implements these provisions:</p>	
	<p>As it was explained in 7.4, cancellation is a permanent transaction; cancelled ER units are not allowed to be released out of the cancellation account (ER status changes from active to cancelled).</p> <p>As it was explained in 7.5, the specific cancellation information will be available under the third-party and CATS admin dashboards includes among others the quantity of ER units cancelled, the certification period, the start and end of the serial numbers, the date of cancellation, the programme code, unit type, host country, methodology, and the third-party cancelling the ERs from their accounts, under the specific transaction information that includes the global carbon ticket code assigned to the cancelled ER units (in reference to the SARPs provisions on the consolidated information for cancelled emissions units).</p> <p>According to section 4.2.2. (b) in Annex 16 to the Convention on International Civil Aviation, the designated Programme Registry must make visible on the registry’s public website the information on each of the aeroplane operator’s cancelled CORSIA eligible Emissions Units for a given compliance period. This information is available under the third-party and CATS admin dashboards and will be included in the reports as was explained in 7.6. CATS Registry public website will include the information on the volume of cancelled units by third-party published on a monthly basis.</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>	

<sup>9</sup> 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.

	<p>CATS (Carbon Assets Tracking System) Web: <a href="https://cats.worldbank.org/">https://cats.worldbank.org/</a></p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures. It describes the Cancellation of ER units process in detail and the specific information that will be available under the third-party and CATS admin dashboards referring to that transaction. It also includes the description of the global carbon ticket code assigned to each ER unit and discloses information on CATS Registry public webpage. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>
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<b>7.10</b>	a. Does the Programme Registry ensure that all cancellation information on its website is presented in a user-friendly format?	<input checked="" type="checkbox"/> YES
	b. Does the Programme Registry ensure that all cancellation information on its website is available at no cost and with no credentials required?	<input checked="" type="checkbox"/> YES
	c. Does the Programme Registry ensure that all cancellation information on its website is capable of being searched based on data fields?	<input checked="" type="checkbox"/> 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?	<input checked="" type="checkbox"/> YES
	Describe how the Registry implements each provision in rows a – d:	
	As explained in 7.5, 7.6, and 7.9, all cancellation information will be immediately available under the third-party and CATS admin dashboards (quantity of ER units cancelled, the start and end of the serial numbers, the date of cancellation, eligible emissions unit programme, unit type, host country, methodology, demonstration of unit date eligibility, and the third-party cancelling the ERs from their accounts). CATS Registry public website will in addition include the information on the volume of cancelled units by third-party and will be updated on a monthly basis. This information will be displayed in a user-friendly format (as all the platform was designed) <b>(a)</b> and will not require additional cost or credentials <b>(b)</b> . The platform has implemented search tools by fields <b>(c)</b> to easily locate and select the required information and, as was explained in 7.6, users can generate transaction reports in the form of pdf or excel <b>(d)</b> , on Monthly, Quarterly, Yearly & over customized period. Furthermore, users can also generate unit holding report on a specific date by clicking on the calendar icon.	
	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>CATS (Carbon Assets Tracking System) Web: <a href="https://cats.worldbank.org/">https://cats.worldbank.org/</a></p> <p>The <b>Operational Guidelines</b> is the key policy registry document to facilitate the implementation of the registry procedures. It describes the Cancellation of ER units process in detail and the specific information that will be available under the third-party and CATS admin dashboards referring to that transaction. It also includes the description of the global carbon ticket code assigned to each ER unit. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>		



	The <b>User Manual</b> is the document describing step-by-step functions and tools for user’s system access and use, describes in detail all the platform search tools and the process to generate and download the user’s reports. The document is accessible under the “Knowledge Center” at the CATS webpage.
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<b>7.11</b>	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?	<input checked="" type="checkbox"/> YES
	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?	<input checked="" type="checkbox"/> YES
	Describe how the Registry does or will implement each provision in rows a and b:	
	Yes, CATS Registry will retain documents and data relevant to CORSIA Eligible Emissions Units and cancellations for the period specified for monitoring of buffer (FCPF Buffer Guidelines Version 3.1, April 2022). Under sections 12 and 13: If an ER Program wishes to supply “CORSIA Eligible Emissions Units” (as defined under CORSIA), the ER Program shall have in place a robust Reversal Management Mechanism that: addresses the risk of Reversals beyond the Term of the FCPF CF ERPA; is equivalent to the ER Program FCPF Buffer as defined under paragraph 12.1; and shall be continually managed and operated by a “CORSIA Eligible Emissions Unit Programme” (or “Programme”, as defined under CORSIA) which administers comparable multi-decadal Programme elements that are included in the Programme's scope of eligibility from the end of the Term of the FCPF CF ERPA through 31 December 2037 <b>(a,b)</b> .	
	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> .	
	CATS (Carbon Assets Tracking System) Web: <a href="https://cats.worldbank.org/">https://cats.worldbank.org/</a>  The <b>Operational Guidelines</b> is the key policy registry document to facilitate the implementation of the registry procedures, describes the generalities of the registry service provided. The document is accessible under the “Knowledge Center” at the CATS webpage.	