



**UK CARBON CODE OF CONDUCT (UKCCC) GREENHOUSE GAS EMISSIONS REDUCTIONS,
REMOVALS (GGR+) CREDIT REQUIREMENTS**

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UKCCC VISION & MISSION

OUR VISION: To reverse climate change, biodiversity loss and remove atmospheric carbon at scale through the restoration of natural systems

OUR MISSION: To ensure carbon removal and biodiversity projects, and their related credits are of the highest integrity standards and provide environmental and social good through nature restoration

EFFECTIVE DATE, SCOPE AND APPLICABILITY

1.1 EFFECTIVE DATE

- 1.1.1 The UKCCC GGR+ Credit Requirements are effective for all projects seeking UKCCC Approval as of 1st March 2020

1.2 SCOPE

- 1.2.1 The UKCCC GGR+ Credit requirements set out in this document apply to all Project Developers and the Projects for which UKCCC Validation, Approval and Verification is sought. It also represents the Requirements against which the UKCCC commissioners shall approve, monitor and verify the project.
- 1.2.2 The UKCCC is operated by a board of directors and Advisory Board, made up predominantly of member organisation representatives. Other board members can be appointed to fill in any knowledge gaps that may be identified. Advisory Board members are to meet no less than every quarter and shall consist of no less than 7 members. A quorum is achieved when 4 or more members are present. All Advisory board members have equal voting rights, except in the event of deadlock where the chairperson shall have the casting vote.
- 1.2.3 All Project Developers shall be approved by the UKCCC Commissioner, and no projects can be forwarded for approval by the UKCCC by non-approved bodies. All Project Developers shall become members of the UKCCC accept the UKCCC terms and conditions and pay a joining fee of £1,000 and annual subscription of £2,000
- 1.2.4 The UKCCC is a Community Interest Company (CIC number 14208963) and shall act in the best interests of the code, fulfilling its Vision and Mission and ensuring the 4 pillars of the code are upheld.
- 1.2.5 The Requirements shall be applied as per the relevant sections contained within this document and those associated or referenced.
- 1.2.6 From time to time, UKCCC may issue updates, changes, clarifications or corrections to the requirements. These shall be published to the [UKCCC Website](#) and notified to all current project developers and hosts. UKCCC provides notice of all such changes and specific dates for implementation. It is the responsibility of the Project developer to remain up to date and to apply all such updates as required for its project by checking the rule updates section on the *UKCCC Website*, regardless of whether a notification of change has been received.
- 1.2.7 UKCCC Members may submit suggested updates, edits, changes or additions to UKCCC by sending an email to info@ukcarboncode.org such requests shall be considered as per the Standards Setting Procedure managed by the UKCCC Advisory Board UKCCC reserves the right to accept or reject such submissions at its own discretion.
- 1.2.8 In some circumstances, UKCCC allows modules or elements from other, partner or endorsed Standards (for example, Woodland Carbon Code, Peatland Carbon Code, ISO 14064-2) to be considered as evidence that may be used to demonstrate conformity to certain *UKCCC Requirements*. In such cases, the UKCCC requirements still apply but, to help streamline processes and for practicality, shared evidence may be provided.

- 1.2.9 The UKCCC does not recognise, nor will it certify REDD+ or any other emission avoidance projects. The UKCCC will only approve projects and issue credits from Carbon Dioxide removal projects where a clear, measured reduction or removal can be demonstrated.
- 1.2.10 The UKCCC rules are interpreted in accordance with the standard's core principles of **fairness, honesty, transparency, reliability, conservativeness and pragmatism.**
- 1.2.11 The UKCCC has set out to be the principal standard by which all UK based GGR+ projects can be approved and verified. It sets out to develop the code rapidly in line with consultation with UKCCC Members and other Interested Parties and adopt technology to improve the validation, approval and verification process efficiency. The standard sets out to 'learn by doing' and accepts that the initial version approval cycles will occur on a regular basis.

1.3 APPLICABILITY

- 1.3.1 All Projects shall apply the *GGR+ credit requirements* and any associated documents. All projects shall ensure the four pillars of approved UKCCC GGR+ credits are upheld, namely, **assured additionality, assured permanence, avoidance of leakage, avoidance of negative outcomes. UKCCC GGR+ Credits may not be issued where there is a local or national obligation to carry out the proposed activity.**
- 1.3.2 One UKCCC GGR+ Credit is equivalent to one tonne of CO₂e removed from the atmosphere or one tonne of Carbon dioxide equivalent (CO₂e) emission reduction.
- 1.3.3 Crediting periods are a minimum of 5 years in length, being the period between project approval and formal verification. All projects will cover a minimum of 6 verification cycles and therefore 30 years in length. All projects are required to recalculate the baselines at the end of each verification cycle, the verification baselines become the new baseline for the next verification cycle.
- 1.3.4 It is the responsibility of project developers to ensure that no other carbon project or any other activity has taken place within the project boundary that may lead to a double issuance or double counting of carbon credits. Any incidence of double counting or issuance shall lead to immediate project suspension and an investigation shall be conducted at the expense of the project developer. If double counting or issuance is proven the project may have its approved status permanently removed and any issued credits to date removed from the UKCCC registry.
- 1.3.5 All UKCCC projects shall have detailed boundary and activity maps that shall be submitted as part of the development process. The UKCCC will do its utmost to ensure that there is no overlap with other schemes and will conduct annual audits to ensure that no double issuance or counting has taken place
- 1.3.6 The UKCCC has created a single source of truth map where all projects, both those approved by the UKCCC and other systems shall be entered.
- 1.3.7 Once a project is approved, credits are only issued onto the appointed *UKCCC registry* at the anniversary of project approval and only after an annual monitoring and verification report has been approved by the UKCCC Commissioner and the annual buffer applied. All UKCCC credits must be traded and retired through the registry, paying the associated fee. Any credits found to be traded outside of the registry shall be permanently deleted from the register.
- 1.3.8 All Projects shall also apply the *Land Use Activity Requirements* and relevant *Measure, Reporting and Verification (MRV)* protocol related to the project type – unless stated

otherwise. If no Activity Requirements exist for the proposed project type, then the Requirements shall be as per this document.

- 1.3.9 In addition to 1.3.1, 1.3.5 and 1.3.8, The UKCCC may adopt 3rd party MRV protocols, project developers may submit new MRV protocols for consideration, however they must not be used until approval for their use has been granted
- 1.3.10 All project hosts shall demonstrate that all activities within the project boundary is at CO2e net zero or better before a project that aims to sell carbon credits is approved. UKCCC issued credits must be utilised by the project host to achieve Net Zero status before any excess or those not required to establish a CO2e net zero position can be entered onto and sold through the UKCCC registry.
- 1.3.11 The project developer must work with the project host to ascertain their net CO2e position as part of the project planning process. The project developer shall ensure that an approved carbon footprint calculator has been used and all data entered accurately and that a third-party carbon auditor is engaged to ensure that the result is an accurate reflection of the operations activities. The UKCCC Commissioner reserves the right to insist that a third-party expert is assigned if there is doubt over the validity of the carbon calculation outcome. For the avoidance of doubt the net emissions position is the total of all Scope 1, 2 and 3 emissions less the carbon removal from natural capital sequestration, reported as CO2 equivalent.
- 1.3.12 All carbon calculators used must be approved by the UKCCC and will only gain approval if they can reference their data sources and the methodology is publicly available and been subjected to peer review. All approved calculators shall use the latest GHG Protocol IPCC Global Warming Potential (GWP) values relative to CO2 as the basis of their calculations.
- 1.3.13 The project boundary shall be established, and all activities under the control of the project host and natural capital recorded and emissions calculated within the boundary. The project boundary map shall be accurate to a 1m resolution and be made publicly available via a URL on the UKCCC Registry. The boundary map shall be compliant with the UKCCC single source of truth map and be linked to the UKCCC registry
- 1.3.14 All CO2e emissions shall be calculated including NO2 and CH4 enteric emissions from all activities within the project boundary. The project is permitted to count the carbon removal of all natural capital assets against total emissions provided they are indicated on the project plan and are in place throughout the project life. The carbon removal data shall be calculated from the 1m resolution natural capital map and having been entered into an approved carbon calculator.
- 1.3.15 Once the net emissions have been calculated the project host and developer must create an emissions reduction plan. The plan shall demonstrate a continued reduction in emissions and a clear strategy of how the reductions will be achieved.
- 1.3.16 Once approval has been given Project hosts can claim that their landholding is at Net Zero and can sell produce from the project area as Net Zero upon project approval. Beyond Net Zero claims can be made if the project host holds a stock of UKCCC GGR+ credits on the UKCCC approved Register commensurate with the claim being made.

2. APPROVAL TYPES

This section provides an overview of the types of UKCCC approval outcomes and should be read in conjunction with the *Claims Guidelines*, which provides further guidance as to the application and communication around UKCCC GGR+ credits approval.

2.1 UKCCC APPROVED PROJECT DESIGN

2.1.1 UKCCC *Approved* status is achieved by successfully undergoing project approval which means:

2.1.1.1 The project design document (PDD) has been completed in full and has met UKCCC standards for GGR+ credits, including *Protection and Preservation* sections, and has been validated by an approved VVB

2.1.1.2 *Interested Parties Consultation and Engagement* has been completed, and the project is set to deliver at least three UN Sustainable Development Goals (SDG) (one of which must be Climate action and the other two focus on biodiversity recovery) requirements and has developed an *Annual Monitoring and verification Plan*.

2.1.1.3 Due to the need for full project transparency and traceability of UKCCC GGR+ credit sales All project hosts shall give their permission for all project data and information to be made publicly available via the UKCCC approved registry. Any data that the project host wishes to expressly withhold from the public domain shall be approved by the UKCCC commissioner. All data shall be held by the UKCCC in line with International data protection principles.

2.1.2 The Project Developer, along with the project host, will ensure that the four pillars of UKCCC GGR+ Credit verification are met, namely:

2.1.2.1 **Assured additionality**, defined as the increase in carbon removal into soils, biomass and natural habitats through a managed change in land use activity, with the change in activity financed by the issuance of UKCCC GGR+ credits. Projects can start before credits are sold. All Barriers to meeting the goals shall be identified on the project additionality assessment document.

2.1.2.2 **Assured permanence**, defined as the length of time that the increase in carbon levels is held in soils, biomass and natural habitats. Permanence is defined as a minimum of 30 years, accepting that there will be a degree of natural flux, the long-term trend is to increase carbon stocks.

2.1.2.3 **Avoidance of leakage**, defined as ensuring no increase in emissions as a direct result of the project activities and managed by including the total carbon removal and total emissions of all activities within the project boundary. Care must be taken by the project developer to ensure that all direct activities are included in the project scope and therefore calculated

2.1.2.4 **Avoidance of negative outcomes**, defined as anything that might have a deleterious effect on any natural feature, population or other stakeholders within the project boundary.

2.1.3 The project design, Annual Monitoring Plan and impact assessment have been validated by the UKCCC COMMISSIONER or an approved VVB

2.1.4 It does not mean or imply that any impacts have been realised or will be realised or have been verified by a UKCCC COMMISSIONER or certified by UKCCC.

- 2.1.5 To certify that impacts have been realised, a project shall undergo annual monitoring and verification by the UKCCC and full verification every 5 years by an approved Validation and Verification Body (VVB); these shall be laid out in the Annual Monitoring Plan

2.2 UKCCC APPROVED PROJECT

- 2.2.1 UKCCC Approved Project status is achieved by successfully undergoing initial Verification and Annual monitoring and verification, which means:
- 2.2.1.1 The project has followed an Annual Monitoring and verification Plan approved at the time of Design Approval and has submitted a Project Development Document template and Annual Monitoring and verification Report for Validation.
- 2.2.1.2 The project and its Certified SDG Impacts have been validated and verified as required by the UKCCC COMMISSIONER and the submitted project documentation has been validated by the appointed external verifier (VBB).
- 2.2.1.3 Any *SDG Impacts* stated to have been achieved or set to achieve are measurable and realistic. The project adheres to The International Bill of Human Rights and all laws in the projects national jurisdiction.
- 2.2.1.4 A project may be issued Certified GGR+ credits. This is subject to successful approval, monitoring and verification of the project's conformity to applicable UKCCC MRV protocols and UKCCC GGR+ credit Requirements.
- 2.2.1.5 The project is also able to promote its claims in accordance with the UKCCC GGR+ credits Claims Guidelines.
- 2.2.2 All projects from Listed status and beyond, including UKCCC GGR+ credits are captured on the UKCCC approved Registry.
- 2.2.3 All approved projects are entered onto the UKCCC GGR+ credit single source of truth map. This map is publicly available online and shall show outline data from each project.

2.3 STACKING, GGR+ CREDITS DISCOUNT AND BUFFER

- 2.3.1 The Project developer and host may potentially pursue any number and combination of GGR+ project types, provided that:
- 2.3.1.1 All Requirements in this document and in the applicable UKCCC approved MRV protocols are fully met.
- 2.3.1.2 The MRV protocol and/or GGR+ Credit Requirements do not stipulate that the issuance of a given combination of GGR+ credits is ineligible under UKCCC. Such details are confirmed within the specific guidelines, MRV Protocols or Product Requirements.
- 2.3.1.3 All necessary legal terms and conditions are fully executed and complied with.
- 2.3.2 Project developers, hosts and funders/buyers of GGR+ credits shall adhere to the UKCCC GGR+ credit Claims Guidelines as appropriate to the status of the project. This defines and directs the use of claims made in relation to UKCCC Approval.
- 2.3.3 It is possible to change the project design after Design Approval to include more UKCCC approved land use activities as part of the project.
- 2.3.4 GGR+ credits can be issued for historic soil CO₂e sequestration where the project host has made a conscious move towards climate smart practices and has the necessary baseline data to prove additionality. This can include locally relevant data, although the UKCCC

reserves the right to apply an uncertainty discount factor as per the appropriate UKCCC methodology.

- 2.3.5 It is incumbent on the UKCCC Commissioner to establish the necessary uncertainty discount factor to be applied to all projects. The UKCCC Commissioner reserves the right to increase or decrease the factor where it feels appropriate.
- 2.3.6 The uncertainty discount factor shall be applied to all projects, but the factor may vary between Land Use Activities within a project, dependant on risk. The discounted GGR+ credits shall be held in the UKCCC approved registry in the projects hosts account and shall be released upon successful 5-year verification cycles.
- 2.3.7 In all events 3% of all approved, issued and verified GGR+ credits are held within the UKCCC National Reserve.
- 2.3.8 The permanently held buffer shall be used by the UKCCC in event of a removal or reduction reversal where a project has experienced an issue beyond its control and have made an application to the UKCCC. The UKCCC Commissioner shall decide at its sole discretion.
- 2.3.9 The UKCCC will act to ensure that all GGR+ credits issued continue to be regarded as the strongest in the marketplace and are eligible to be insured by a reputable provider.

3. GENERAL ELIGIBILITY CRITERIA

3.1 The following General Eligibility Criteria applies to all projects seeking UKCCC Approval:

- 3.1.1 **Types of Projects:** Eligible projects shall include physical action/implementation on the ground. Pre-identified eligible project types are identified in the Eligibility Product requirements section.
- 3.1.2 **The UKCCC will not approve any project that seeks to create carbon credits from the prevention of forest, wetland and other habitats destruction.** The UKCCC policy statement states that all forest, wetland and other habitats within a project boundary shall be protected for the life of the project. In line with 1.3.14 these habitats can be used to calculate the total carbon removal within the project boundary.
- 3.1.3 **Location of Project:** Projects may be located in any part of the UK and British Isles or beyond with approval from the UKCCC commissioner.
- 3.1.4 **Project Area, Project Boundary and Scale:** The Project Area and Project Boundary shall be defined. Projects may be developed at any scale, although certain rules, requirements and limitations may apply under specific Activity Requirements.

To avoid double-counting, the project shall not be included in any other voluntary or compliance standards programme unless approved by UKCCC (for example, through dual approval).

If the Project Area overlaps with that of another UKCCC or other voluntary or standard compliance programme of a similar nature, the project developer shall demonstrate that there is no double-counting of impacts at the project planning stage. This shall be shown on the UKCCC GGR+ boundary project map.

The UKCCC Commissioner reserves the right to ask for further project boundary detail should two or more projects share boundaries.

- 3.1.5 **Host Country Requirements:** Projects shall follow the applicable Host Country's legal, environmental, ecological and social regulations. It is noted that the UK is separated into

independent nations and self-governing regions that hold different devolved powers. No credits shall be issued on a project activity where there is a national, legal obligation to carry out that land use.

3.1.6 **Contact Details:** As part of the Project Documentation the project developer shall provide name and contact details of the Project Hosts, AND, in case of an organisation:

3.1.6.1 The legal registration details and

3.1.6.2 Documentation by the governing jurisdiction that proves that the entity is in good standing (defined as being a legal or other appropriate entity registered in or allowed to operate within the UK and with no evidence of insolvency or legal/criminal notices placed against it or any of its directors).

3.1.6.3 UKCCC retains the right (at its sole discretion) to refuse the use of the standard where reputational concerns are highlighted.

3.1.7 **Legal Ownership:** Full and uncontested legal ownership of any GGR+ credits that are generated under UKCCC Approval shall be demonstrated. UKCCC GGR+ credits shall only be lodged on and be sold through the UKCCC approved Registry and Marketplace.

Note that for certain Project types, there is a requirement for full and uncontested legal land title/tenure to be demonstrated. These are contained within specific Activity or GGR+ credits Requirements. All projects shall immediately report to UKCCC any land title/tenure changes or disputes arising.

Other Rights: As well as legal title and ownership, the Project developer shall also demonstrate where required uncontested legal rights and/or permissions concerning changes in the use of other resources required to service the project (*for example, access rights, water rights etc.*). Any known disputes or contested rights must be declared immediately to UKCCC by the Project developer and resolved before further project implementation.

4. ELIGIBILITY PROJECT REQUIREMENTS

To achieve UKCCC Approval all Projects shall contribute to the Vision and Mission of UKCCC and meet the four pillars of the code explicitly applied through the following eligibility Project requirements.

4.1 Principle 1: Contribution to Climate Security and Sustainable Development

4.1.1 Projects shall be of a type pre-identified as eligible and shall submit to the UKCCC Commissioner to approve eligibility.

4.1.2 Project Development Documents shall define their Project baseline and Project aims.

4.1.3 Projects shall contribute positively to Climate Change reversal and Sustainable Development. These positive impacts are considered against the *United Nations UKCCC Contextualised Sustainable Development Goals (SDGs)*.

4.1.4 By successfully following these requirements and procedures:

4.1.4.1 The project is demonstrated to be of an eligible type under UKCCC and has sought and obtained approval from UKCCC to proceed as a new project type.

4.1.4.2 The project demonstrates its proposed contribution to the Sustainable Development Goals, meaning **at least** an impact on SDG 13 plus two other SDGs one of which must have a positive impact on local biodiversity within the project boundary.

- 4.1.4.3 The project has reached net zero across all activities within the project boundary.
- 4.1.4.4 The project includes the above points (1.4.1-1.4.3) in its Project Development Document, including the Annual Monitoring & verification Plan.

ELIGIBLE PROJECT TYPES

- 4.1.5 A Project type is automatically eligible for UKCCC Approval if there are UKCCC approved Land Use Activity Requirements and/or MRV protocols associated with it, or it's referenced in these UKCCC Product Requirements. These are published to the UKCCC website and shall be followed where provided for a given Project type.
- 4.1.6 For Project types that are not automatically eligible, a Project Developer may submit to UKCCC for approval. This shall be done, at a minimum, as part of the project planning stage, though it is recommended to engage with The UKCCC Commissioner earlier to establish the criteria and requirements for approval.
- 4.1.7 Project types applying for UKCCC approval are referred to the UKCCC Vision and Mission. The Project developer shall demonstrate how the project would contribute to these and how the UKCCC Requirements would be met in their application for approval.
- 4.1.8 In reviewing a new Project type for approval, UKCCC may establish new Requirements to be met by the project to achieve Design Approval and ongoing Approved Project Status. Where required, UKCCC shall engage expert peer reviewers to establish these requirements at the Project Developer's expense.
- 4.1.9 UKCCC does not support Project types associated with geoengineering or energy generated from fossil fuel or nuclear, fossil fuel switch, or any project that supports enhances or prolongs such energy generation.

PROJECT BASELINE AND PROJECT AIMS

- 4.1.10 The Project shall define both the Baseline and Project Aims. These are defined as follows:
 - 4.1.10.1 **Baseline:** The Baseline is defined as the reasonable, conservative scenario that would exist in the absence of or before the project start date.
 - 4.1.10.2 **Project Aims:** The Project Aim/s is/are defined as the improvements that will exist once the project is implemented and operational.
- 4.1.11 The defined Baseline and Project Aims shall be included in the project documentation and used to inform the other Principles outlined in this section.
- 4.1.12 For Projects seeking GGR+ credits, UKCCC rules allow for the consideration of several potential design scenarios in the project documentation, if all aspects of each potential scenario are discussed in a satisfactory way. For example, additionality shall be demonstrated for each one of the potential scenarios and Interested party inputs must be gathered for each potential scenario. Other relevant aspects include the scale of the project, the validity/applicability of the applied MRV protocol, and the assessment of sustainable development criteria, including the Protection and Preservation Principles assessment. The UKCCC COMMISSIONER must validate all potential scenarios, and the actual scenario must be chosen before project approval is sought.

CONTRIBUTION TO CLIMATE SECURITY & SUSTAINABLE DEVELOPMENT

- 4.1.13 All Projects shall demonstrate a clear, direct and demonstrable contribution to sustainable development, defined as making positive impacts on **at least** three

Sustainable Development Goals (SDGs), one of which must be SDG 13 (defined herein as Emissions Reductions or Removals and/or Adaptation to climate change). These are referred to as SDG Impacts. For guidance, refer to the UKCCC Contextualised Sustainable Development Goals document.

- 4.1.14 SDG Impacts shall be a primary effect; an intentional, direct effect of the project, and shall not be 'one-off.'
- 4.1.15 The Project shall identify the potential SDG Impacts provided by the project by comparing the Project Aim to the baseline (note that multiple baseline scenarios may be relevant depending on the SDG impacts and/or methodologies followed). The SDG Impacts shall be demonstrated as making a positive effect beyond what would reasonably be expected to occur at the baseline.
- 4.1.16 The Project shall identify the relevant monitoring indicators and/or monitoring parameters and define the monitoring approach in the *Project Development Document* to inform future Annual Monitoring Reports. These indicators shall ensure the four pillars of the UKCCC are upheld, assured additionality, assured permanence, avoidance of leakage, avoidance of negative outcomes.
- 4.1.17 To demonstrate SDG impacts, the project may choose one of the following two options:
 - 4.1.17.1 **Option 1:** For identified SDG Impacts, the Project developer shall review the SDG targets and indicators from the UKCCC contextualised SDG Goals. The Project developer shall select the most relevant SDG targets and indicators to the chosen SDGs or propose indicators with justification and information that, when combined, demonstrate how the project positively impacts the chosen SDGs and corresponding targets.
 - 4.1.17.2 **Option 2:** Follow a UKCCC Approved MRV protocol, published or referenced via the UKCCC website. These are typically used by Project Developers to achieve the issuance of UKCCC GGR+ Credits.
- 4.1.18 For option 2, any one or more of the minimum three SDG Impacts chosen by the Project developer may be undertaken by following a UKCCC Approved MRV Protocol. Project Developers may submit a methodology for review and approval by UKCCC. Refer to the MRV Protocol approval procedure for details. Note that it is possible to develop a Project and a Methodology concurrently.
- 4.1.19 Projects shall seek Expert Interested party opinion and recommendations for certain SDG Impacts. Those SDGs requiring Expert Interested party opinion are pre-identified in specific Activity Requirements, though UKCCC reserves the right to require an Expert Interested party comment or an adjustment of the SDG Impact claimed to safeguard credibility. For new project types, these shall be decided upon by UKCCC prior to or during project planning. When Expert Interested party opinion and recommendation is required, the Project developer shall demonstrate that the Expert Interested party has confirmed that the impact is real and that any recommendations have been considered and incorporated into the project design.

4.2 Principle 2: Protection and Preservation Principles

Projects shall conduct a Protection and Preservation Principles Assessment and conform to *UKCCC Protection and Preservation Principles and Guidelines*.

- 4.2.1 By successfully following these Requirements and Procedures:

- 4.2.1.1 The project completes a Protection and Preservation Principles Assessment as per Protection and Preservation Principles and Guidelines to define the relevance of the different Requirements to the project (note, further guidance is also provided in specific Activity Requirements).
- 4.2.1.2 The project demonstrates how all relevant Requirements are met.
- 4.2.1.3 The project includes the above points (4.2.1.1 & 4.2.1.2) in the Project Development Document, including the Annual Monitoring & verification plan

PROTECTION AND PRESERVATION PRINCIPLES ASSESSMENT

- 4.2.2 Referring to the UKCCC Protection and Preservation Principles & Requirements document all Projects shall undertake an upfront assessment against the UKCCC Protection and Preservation Principles and implement their project in accordance with the stated requirements. The assessment shall apply to the Project Aim, although assessment questions and Requirements involve a comparison to the baseline and/or the implementation of decommissioning phases of a Project.
- 4.2.3 A number of Protection and Preservation Principles require the opinion and recommendations of an Expert Interested party. These are pre-identified in the Protection and Preservation Principles and Guidelines Procedure and in relevant Activity Requirements.
- 4.2.4 The Protection and Preservation Principles Assessment and evidence of conformity to the associated Requirements shall be included in the Project Development Document, including the proposed monitoring parameters in the Annual Monitoring & verification Plan. The Annual Monitoring & verification Plan shall capture any parameters that are required to be monitored and reported upon and/or reassessed in the future, in line with the Protection and Preservation Principles and Guidelines. This shall be used to inform the ongoing Monitoring Reports and annual monitoring, and five-yearly full verification.
- 4.2.5 The Annual and verification Report shall include reporting on Protection and Preservation Principles and the associated monitoring parameters, as applicable.

4.3 Principle 3: Interested Party Inclusivity

Projects shall identify and engage Relevant Interested parties and seek Expert Interested parties' input where necessary in the design, planning and implementation of the project. Project design shall reflect the views and inputs of interested parties, and ongoing feedback shall be sought, captured and acted upon throughout the life of the project.

- 4.3.1 By successfully following these Requirements and Procedures:
 - 4.3.1.1 The project demonstrates how it has identified, engaged and consulted with relevant interested parties. Where required, expert interested parties are engaged in the process.
 - 4.3.1.2 The project demonstrates the records of the consultation and how the outcomes of the consultation have positively influenced the project design and implementation.
 - 4.3.1.3 The project demonstrates that Interested party concerns have been addressed, and any disputes have been resolved.
 - 4.3.1.4 The project demonstrates that an appropriate system for the ongoing capture, recording and responding to Interested party concerns is developed.
 - 4.3.1.5 The project includes the above points (4.3.1.1 to 4.3.1.4) in the Project Development Document, including the Annual Monitoring & verification report .

INTERESTED PARTY CONSULTATION & ENGAGEMENT

- 4.3.2 All Projects shall conduct an *Interested Party Consultation* and an ongoing engagement process. The Interested Party Consultation shall be conducted in accordance with the requirements outlined in this section and UKCCC Interested Party Consultation & Engagement Requirements.
- 4.3.3 The Interested Party Consultation shall ensure that all laws, byelaws and rights over the project area have been adhered to. When projects include habitat creation as part of a Biodiversity Net Gain (BNG) scheme then relevant local NGOs shall be consulted
- 4.3.4 The Project developer shall identify and inform all relevant (local, affected and interested) interested parties, including relevant local and national authorities, the UKCCC Commission and all UKCCC NGO Supporters who may be relevant or have a vested interest in the design of the project.
- 4.3.5 The Interested Party Consultation shall be conducted prior to the start date of the project. If the consultation is conducted after the start date, the Project developer shall provide further explanation of how comments received during the consultation are taken into account.
- 4.3.6 The Project developer shall share the information on the project's objective, scale and duration, contribution to sustainable development and compliance with safeguards to ensure that interested parties are actively involved in the project from the beginning, thus enabling interested parties to influence the project design and implementation.
- 4.3.7 Expert Interested parties, where their input is required are not necessarily required to attend face-to-face consultation meetings but must be provided with sufficient information to form opinions and recommendations concerning the project. Unedited written feedback from Expert Interested party(s) and evidence as to how the feedback has been addressed and incorporated into the Project design shall be provided for approval.
- 4.3.8 Where the UKCCC COMMISSIONER deem it necessary, further queries shall be raised with the Expert Interested party, who shall be retained by the Project developer accordingly.
- 4.3.9 The Project shall have a formal input, feedback and grievance mechanism in place, and the grievance mechanism shall be discussed during the Interested party Consultations as per Interested party Consultation and Engagement Requirements.
- 4.3.10 The project shall prepare the Interested party consultation report of the consultation process, including consultation feedback and how this was incorporated into the design of the project. The Interested party consultation report shall be submitted to UKCCC within three months of the event (though this date may be after the Project Start Date).
- 4.3.11 The Annual Monitoring and verification Report shall include an update on Interested Party feedback received during the period and any actions taken in response. It shall also review the relative successes and failures of the ongoing Interested Party feedback mechanism and any proposals for improvement.
- 4.4 Principle 4: Demonstration of real outcomes:**
- 4.4.1 Projects shall:
- 4.4.1.1 Design and develop an upfront Project Development Document incorporating an Annual Monitoring verification & Reporting Plan.

- 4.4.1.2 Ensure the four pillars of a certified UKCCC GGR+ credits are upheld: assured additionality, assured permanence, avoidance of leakage, and avoidance of negative outcomes. The Project Development Document shall lay out management plans to ensure that these are met, and the risk of failure is mitigated.
- 4.4.1.3 Undergo Design Approval with the project developer.
- 4.4.1.4 Undertake monitoring in accordance with the Annual Monitoring verification and Reporting Plan.
- 4.4.1.5 Undergo approval (comprising initial approval, annual monitoring verification and 5-year full Verification) to achieve UKCCC Approved Project status and issue UKCCC GGR+ credits where sought.
- 4.4.2 By successfully following the Procedures and applicable Requirements included the Project Cycle Section, the project demonstrates real and verified outcomes and can issue the relevant Certified SDG Impact Statements and/or GGR+ credits.

PROJECT START DATE

- 4.4.3 The Project start date is the earliest date on which the Project developer has committed to expenditures related to the implementation of the project, or at the point of the first baseline information if it is compliant with the UKCCC.
- 4.4.4 Examples of the start date may include (but not exclusive to) the date on which contracts have been signed between the project developer and the project host, the date of the initial baseline test results being available, the day that a specialist crop or tree species has been planted.
- 4.4.5 Note that the Project start date definition and requirements may differ under certain Activity or Product Requirements.
- 4.4.6 The project start date and the Interested party consultation date determines the project as:
 - 4.4.6.1 Regular Projects, for which the Interested party Consultation has been conducted before the Project Start Date.
 - 4.4.6.2 Retroactive Projects, for which the Interested party Consultation is conducted after the Project Start Date.

DEVELOPMENT OF ANNUAL MONITORING, VERIFICATION AND REPORTING PLAN

- 4.4.7 Projects shall produce an *Annual Monitoring, verification & Reporting Plan* as part of the *Project Development Document* that includes a detailed approach on the following:
 - 4.4.7.1 Monitoring and reporting of parameters identified for positive SDG Impacts and associated targets.
 - 4.4.7.2 Monitoring and reporting of parameters associated with any Requirements and re-assessments highlighted by the Protection and Preservation Principles Assessment.
 - 4.4.7.3 Monitoring and reporting of Interested Party Engagement, feedback, grievances and any action taken, including as recommended by any Expert Interested party.
 - 4.4.7.4 Any monitoring requirements and parameters in any UKCCC Approved MRV protocol, Tool and/or Product Requirements selected.
- 4.4.8 For each monitored parameter from (4.4.7.1 to 4.4.7.4) above the following information shall be provided in the Monitoring Plan:

- 4.4.8.1 Metric or variable that shall be monitored and reported.
 - 4.4.8.2 Frequency of monitoring and reporting against each parameter.
 - 4.4.8.3 Method of collection of information and identification and details of the organisation or individuals involved in the collection.
 - 4.4.8.4 Any quality control approaches for the proposed data collection and reporting.
- 4.4.9 The Project Monitoring, verification & Reporting Plan shall be presented as part of the Project Documentation for Validation and shall form the basis of ongoing Annual Monitoring Reports that shall be presented for verification.

LAND USE ACTIVITIES

- 4.4.10 The *UKCCC Approval cycle* is suitable for multi-phased programmes with multiple interventions with an extended implementation period within a sector or multiple sectors, as is typically the case in, for example, additional agroforestry or hedge planting within a regenerative agriculture-based project.
- 4.4.11 Interventions shall follow *land use activity requirements*. The Requirements in this document are applicable for a Programme where multiple individual activities are spread over space and time.

5. PROJECT CYCLE

- 5.1 UKCCC Project Approval is based on a five-year renewable Approval and full verification cycle, with key features as follows:
 - 5.1.1 All Projects must LIST with the UKCCC by undertaking annual monitoring with the project developer and uploading Key Project Information, draft Project Design Document and completed Interested party Consultation Report.
 - 5.1.2 Projects may then seek UKCCC Approved status by completing the full process and being successfully approved by the UKCCC Commissioner.
 - 5.1.3 New projects attaining UKCCC approved status then enter a five-year renewable Approval cycle wherein for each five-year period they must undergo a full *Verification and Performance Review* by the UKCCC Commissioner and VVB to achieve and maintain UKCCC Approved Project status and where sought Issuance of UKCCC Approved GGR+ credits.
 - 5.1.4 The project developer shall undertake annual monitoring visits, where there will be an opportunity to discuss best practice and implement new management techniques that may improve the overall status of the project. This visit shall form the basis of the annual monitoring report.
 - 5.1.5 To retain Approved Project status at the fifth year, all projects must undergo Design Approval Renewal by updating information and the baseline, unless otherwise stated in relevant Activity or Product requirements.
 - 5.1.6 The number of Annual monitoring visits in a five-year Approval cycle is not limited although it must take place at least once, every year before the anniversary of the project start date after Project implementation or Project Approval, whichever is later.

- 5.1.7 The Activity Requirements and/or Product Requirements governs the maximum number of verification Approval Renewals allowed for specific project types. In the absence of any such stated Requirement, a Project is limited to five Renewals, i.e., maximum 30 years of approval.
- 5.1.8 **Specific requirements apply in areas such as conflict and emergency zones as per Annex B of this document.**
- 5.2 The following process flow shows the Project Cycle for a typical Project Approval:
- PRELIMINARY REVIEW**
- 5.3 The Preliminary Review (time of the first submission) is conducted once at the outset (i.e., at an early stage of project design and before Listing on the UKCCC approved Registry, see below). During the Preliminary Review, UKCCC conducts a desk review of the Key Project Information and Draft Project Design Document. This review considers whether the project can conform to the UKCCC Requirements and may therefore progress to Listed status.
- 5.4 The Preliminary Review includes a desk review of the Project Eligibility Principles as well as the applicability of the methodology amongst other matters, based on the Key Project Information, draft Project Plan and Interested party Consultation Report. It involves one of the routes below, dependent on the type of activity. UKCCC Commissioner shall decide which pathway a Project is required to undertake, though guidelines are provided as follows:
- 5.4.1 *Route 1 – Gap Analysis Check Pathway*, conducted by the UKCCC Commissioner. This pathway is for the regular and retroactive cycle eligible project types unless otherwise stated in the Activity Requirements. Note that certain project types require certain details to be checked and resolved more thoroughly during the Gap Analysis Check. These are stated in the Activity Requirements. The Gap Analysis Check Pathway consists of a Preliminary Review period of 2 weeks, conducted by UKCCC Commissioner .
- 5.4.2 *Route 2 – Detailed Preliminary Review* – In this pathway, UKCCC conducts a more thorough check of the project documentation. The application of a *Detailed Preliminary Assessment* is at the discretion of UKCCC, though typically is required for early users of a new Project Type MRV Protocol. The Detailed Preliminary Review route consists of a Preliminary Review period of 4 weeks, conducted by UKCCC Commissioner.
- 5.5 Non-conformances may be raised during this review that must be addressed during the final approval process. However, matters pertaining to Eligibility Principles shall be addressed prior to listing.
- 5.6 During the Preliminary Review step, UKCCC may identify any further matters that require Expert Interested party opinion and recommendations not already pre-identified.
- 5.7 The Preliminary Assessment starts when the Project developer has:
- 5.7.1 Signed and submitted the Terms and Conditions AND
- 5.7.2 Submitted the Project Development Documentation AND
- 5.7.3 Paid the fee for the Preliminary Review, where required.
- 5.8 The minimum requirements for submission of Project Documentation include Key Project Information, and
- 5.8.1 A completed Interested party Consultation Report

- 5.8.2 A substantially completed Project Design Document submission that captures:
 - 5.8.2.1 Fully completed details required under Section – General Eligibility Criteria.
 - 5.8.2.2 A substantially completed Protection and Preservation Principles Assessment (meaning the majority completed, including any key matters that relate to the project type or context) including any Expert Interested party opinions and recommendations.
 - 5.8.2.3 Defined SDG Impacts, including any Expert Interested party opinions and recommendations sought.
 - 5.8.2.4 Confirmation of Approval pathway and any UKCCC Approved MRV protocols and Product Requirements.
 - 5.8.2.5 A draft Annual Monitoring and verification Plan.
- 5.9 The Preliminary Review is intended as a guide to the project Developer and does not represent an Approval review or result in Approval. It does not guarantee that a Project shall be successful in Approval or ongoing Verification and Performance Review. Neither does it guarantee that further issues or alternative interpretations will arise later. The Non-Conformances are indicative only; further matters may be raised or interpreted differently by the UKCCC COMMISSIONER and/or UKCCC during the Project Cycle.
- 5.10 The outcome of the Preliminary Review may be:
 - 5.10.1 A successful Review without any likely or potential non-conformances identified, OR
 - 5.10.2 A successful Review with likely or potential non-conformances identified but which are not required to be resolved prior to listing, OR
 - 5.10.3 An unsuccessful review with at least one potential Non-Conformance identified. With either outcome (5.10.1 or 5.10.2), the project may progress to listing, as per the section below.
- 5.11 With a successful Preliminary Review, the project will obtain ‘Listed’ status in the UKCCC approved Registry. This means that:
 - 5.11.1 The Key Project Information, draft Project Design Document and supporting documentation are made publicly available on the UKCCC approved registry, AND
 - 5.11.2 The Project developer may promote the project according to the Claims Guidelines as appropriate for Listed status Projects.
 - 5.11.3 The project may proceed to approval.
- 5.12 Listed status does not constitute or convey approval and does not provide any guarantee that the project will ultimately achieve approval.

APPROVAL PROCESS

- 5.13 The Approval Process may start after:
 - 5.13.1 A project has achieved Listed status, AND
 - 5.13.2 The Project developer has contracted the UKCCC COMMISSIONER, AND
 - 5.13.3 The Project developer has submitted full Project Documentation and Supporting Documents to the UKCCC COMMISSIONER, AND
 - 5.13.4 The UKCCC has notified The Project Developer of the commencement of the approval process and the indicative date for completion and submission.

- 5.14 The Approval process includes a site visit by a UKCCC COMMISSIONER who assesses the up-front design and monitoring plan for a Project against applicable Requirements. This includes approval of:
 - 5.14.1 The Project Documentation including the Project Plan and Annual Monitoring, verification & Reporting Plan, including any updates to the Key Project Information after Listed Status has achieved.
 - 5.14.2 Any supporting document and evidence to demonstrate conformity to all applicable UKCCC Requirements.
- 5.15 The UKCCC COMMISSIONER is appointed directly by the Project Developer. A UKCCC COMMISSIONER shall be selected from the list of UKCCC COMMISSIONER'S, eligible for the Project type and route proposed. The UKCCC COMMISSIONER appointment shall include responding to any clarifications, queries, non-conformances raised by UKCCC during Design Approval and validation Review.
- 5.16 The Project shall complete approval (defined as the date of submission of Validation Report by the UKCCC COMMISSIONER) within 20 working days of the successful listing of the project.
- 5.17 The Approval process ends when The UKCCC COMMISSIONER has submitted a final Approval Report with no open non-conformances, in the opinion of the UKCCC COMMISSIONER.

VERIFICATION AND PERFORMANCE REVIEW (PERFORMANCE APPROVAL)

- 5.18 Verification may start after:
 - 5.18.1 The project has achieved UKCCC Approved Project status AND
 - 5.18.2 The Project developer has contracted the UKCCC COMMISSIONER, AND
 - 5.18.3 The Project developer has submitted the Annual Monitoring and verification Report to the UKCCC COMMISSIONER, AND
 - 5.18.4 The Project developer has notified UKCCC of the commencement of verification.
- 5.19 Verification will include a site visit by a UKCCC COMMISSIONER who assesses the following against all UKCCC Requirements including applicable Activity Requirements, UKCCC Methodology and Product Requirements:
 - 5.19.1 The Annual Monitoring and verification Report (including any updates in Annual Reports).
 - 5.19.2 All supporting evidence and documents included by the Project developer to demonstrate conformity.
- 5.20 For full verification a different UKCCC COMMISSIONER is directly appointed by the Project Developer. A UKCCC COMMISSIONER shall be selected from the list of approved UKCCC COMMISSIONER s, eligible for the project type and route proposed. The UKCCC COMMISSIONER shall be retained by the Project developer to review and respond to queries raised during the verification process.
- 5.21 Unless otherwise stated (for example, in an applied MRV protocol or Product Requirements), the same UKCCC COMMISSIONER may undertake Validation and Verification of a given Project.
- 5.22 Full Verification must occur at least once during the five-year Approval cycle with the first project developer led annual verification completed within one year of project

Implementation Date or Design Approval, whichever is later. The Project implementation date is defined as the date at which physical activity first occurred; this can include baseline testing or the implementation of management changes.

- 5.23 Verification ends when the UKCCC COMMISSIONER has submitted a positive Verification Report to UKCCC. A positive Verification Report shall have no pending or open non-conformances in the opinion of the UKCCC COMMISSIONER.
- 5.24 The project may take into account the retroactive period for performance Approval of Certified GGR+ credits. The maximum period for Retroactive Approval is three years prior to the date of Project Design Approval unless otherwise stated in a specific MRV protocol or Product Requirements. It can often be up to 4 years when relying on historic soil test results, accompanied by proof that a distinct change in management has taken place and the additionality test proven.
- 5.25 The project making changes to the registered project design (*Annex A*) may request Retroactive Approval for the design change component for a maximum of two years prior to the date of Design Change Approval.

ANNUAL REPORTING

- 5.26 Transparent, annual monitoring reports need to be provided for Projects that have achieved the Project Design Approval stage or have successfully transitioned to UKCCC Approval. An annual monitoring and verification report shall be submitted for each monitoring year. If verification is in progress but not completed, then an Annual Monitoring Report is still required by the end of the calendar year.
- 5.27 Failure to provide Annual Monitoring Reports as required shall result in the delisting of the project.
- 5.28 The Annual Monitoring and verification Report shall be submitted to UKCCC, which will be made publicly available on the UKCCC approved registry.
- 5.29 The Annual Monitoring and verification Report shall focus on information since the last Annual Monitoring Report or Verification Report as appropriate and provide the following information:
 - 5.29.1 A summary of the recent activities, events and actions related to the project,
 - 5.29.2 A clear statement on how interested parties may provide inputs/grievances,
 - 5.29.3 A list of all inputs/grievances that have been received since the last Annual Report, together with their respective answers/actions,
 - 5.29.4 Any incidents or events that may impact the Outcomes/Impacts delivered to date (in terms of loss) or the ongoing Performance of the Project,
 - 5.29.5 Any legal contest or dispute that has arisen,
 - 5.29.6 Any updates to the Key Project Information, Project Design Document, Monitoring & Reporting Plan and any other supporting documentation,
 - 5.29.7 A brief descriptive summary of all monitoring information collected during the year,
 - 5.29.8 Any update of the '*Project Participants & Secured Titles*' (in case of changes)
- 5.30 The Project developer shall attest to the accuracy of the information provided by its signature on the Annual Monitoring and verification Report. The signatory shall be an individual with legal signing authority within the Project developer's organisation.

- 5.31 Annual Monitoring Reporting does not represent approval nor any decision making or agreement to any design change by UKCCC. Annual Monitoring Reporting is intended as an opportunity to share progress and track key updates and confirms to UKCCC that the project remains active and compliant with the UKCCC. With a formal review of conformity to Requirements, any changes in approach shall be undertaken during the five-year verification process.

DESIGN APPROVAL RENEWAL

- 5.32 To maintain UKCCC Approved Project status beyond five years, a Project must undergo a project verification process. This process shall begin (defined by the submission of a Renewal opinion by a UKCCC COMMISSIONER for project verification to UKCCC) no later than the last date of the current Approval cycle. Note that review of the project Approval Renewal may complete after the last date of the current crediting period. In this case, the renewal date shall be the first day after the end date of the current Approval cycle.
- 5.33 Failure to undergo a five-year approval process will lead to the project being delisted from UKCCC approved status.
- 5.34 Project verification follows the same process as Project design approval though the scope of the assessment is limited to:
- 5.34.1 Changes in the project as related to the General Eligibility Criteria.
 - 5.34.2 Incorporation of any relevant updates to the UKCCC Requirements.
 - 5.34.3 Re-definition of Baseline Scenario and any impact of change on the Eligibility Principles, Criteria and Requirements.
 - 5.34.4 Any UKCCC activity, product and methodology-specific Requirements.

6. PROJECT DOCUMENTATION AND TECHNICAL REQUIREMENTS

- 6.1 Projects shall provide evidence of conformity to the Requirements using approved UKCCC Project templates except for supporting evidence and documents.
- 6.2 The following project documentation and associated evidence and information are required at different stages of the project cycle.

6.2.1 Preliminary Review

- 6.2.1.1 Key Project Information (see Project Development Document Template)
- 6.2.1.2 Draft Project Development Document including Protection and Preservation Principles Assessment, SDG Impacts identified and draft Annual Monitoring & Reporting Plan
- 6.2.1.3 Interested party Consultation Report
- 6.2.1.4 Supporting evidence and documents such as maps, survey results or calculations
- 6.2.1.5 Signed Cover Letter and Terms and Conditions

6.2.2 Approval

- 6.2.2.1 Completed Project Development Document Plan including Annual Monitoring verification & Reporting Plan
- 6.2.2.2 Fully completed Interested party Consultation Report
- 6.2.2.3 Any Activity, Context, Methodology or Product Requirement specific documentation
- 6.2.2.4 Supporting evidence and documents

6.2.3 Annual Reporting

- 6.2.3.1 Completed Annual Report
- 6.2.3.2 Supporting evidence and documents

6.2.4 Five – year verification

- 6.2.4.1 Any updates to the Key Project Information Project Plan and
- 6.2.4.2 Annual Monitoring & Reporting Plan
- 6.2.4.3 Any Context, Activity, Methodology and Product Requirement specific documentation
- 6.2.4.4 Verification Report
- 6.2.4.5 Supporting evidence and documents such as maps, survey results and/or calculations

6.3 The Project host shall open an account on the UKCCC approved Registry and make available the following information:

- 6.3.1 Project Documentation, inc. Project Development Document, Monitoring & Reporting Plan, Reports, supporting documentation and the UKCCC COMMISSIONER 's Approval and Verification Reports.
- 6.3.2 Figures above one thousand shall be formatted with a comma (for example 1,000,000), and decimals will be separated by a point (for example 1.35).
- 6.3.3 Pictures, graphs, tables and supporting documents within Project Documentation shall be clearly marked with the unique project number.
- 6.3.4 Dates shall be included in the following format: DD/MM/YYYY
- 6.3.5 Maps, where required shall include:
 - 6.3.5.1 Name of the project
 - 6.3.5.2 ID of the project
 - 6.3.5.3 Legend
 - 6.3.5.4 Printing date
 - 6.3.5.5 Scale
 - 6.3.5.6 Direction of North
 - 6.3.5.7 GPS coordinate system, e.g., WGS 84
 - 6.3.5.8 GPS grid
 - 6.3.5.9 Infrastructure, e.g., roads, houses, etc.
 - 6.3.5.10 Information on the satellite or aerial picture (date, resolutions, data source)

7. NON-CONFORMITY

- 7.1 The Project developer shall report any potential or actual Non-Conformances against the Requirements and any associated Guidelines, Tools or Methodologies immediately upon discovery. Potential or actual non-conformances may also be submitted to UKCCC by any party at any time for review.
- 7.2 UKCCC shall undertake a review of the Non-Conformances, including potentially commissioning an independent investigation and an expert peer review of any recommended action taken. During the investigation UKCCC reserves the right to suspend

activities related to Approval and/or Registry, including the assignment, transfer or retirement of UKCCC GGR+ Credits.

- 7.3 UKCCC shall decide upon the action taken in response to a confirmed Non-Conformance. This may include a requirement for immediate rectification or change, a suspension of a Project until rectification has been Verified or removal of UKCCC Approved Design status from the project. Factors that influence UKCCC's consideration of the severity of the issue shall include, but are not limited to:
- 7.3.1 If the issue is repeated/systematic, or fundamental to the project.
 - 7.3.2 If the issue has resulted in an inappropriate Approval decision or over-issuance of UKCCC Certified GGR+ Credits.
 - 7.3.3 If the issue has continued over a long period of time or affects a significant area.
 - 7.3.4 If the issue has caused the endangerment of life, livelihoods, ecology or the environment.
 - 7.3.5 If the Project developer failed to notify UKCCC, take appropriate steps to limit any damage or disruption caused or has attempted to cover up the issue.

ANNEX A – PROJECT DESIGN CHANGE APPROVAL PROCEDURE

1. APPLICABILITY AND SCOPE

- 1.1 These procedures relate to material and permanent design changes, where at least one of the following aspects of a project is affected: additionality, permanence of impact, increased risk of leakage or negative outcomes, risk of scale of the project, validity/applicability of the applied MRV protocol, Interested Party consultation, and sustainable development criteria, monitoring plan change caused by material and permanent design changes.
- 1.2 These procedures do not apply to changes that are temporary deviations from the registered monitoring plan, applied methodologies and may be suitable for approval along with issuance review.

2. DESIGN CHANGES TYPES

- 2.1 Design changes occurring before Design Approval.
 - 2.1.1 Any request for approval of a design change that occurs prior to full approval shall be reviewed and validated by the UKCCC COMMISSIONER. The project documentation and the Approval Report shall be revised accordingly before submission (or re-submission) for Design Review.
- 2.2 Design changes occurring after Design Approval
 - 2.2.1 The guidelines apply in the case when a design change that occurs or has occurred after the project has achieved Project Approval status, or in case the UKCCC COMMISSIONER contracted to perform the verification identifies that the project has not been implemented according to the Certified Project Plan.
 - 2.2.2 The procedures are also applicable if the permanent changes have occurred after the implementation of the project as per the Certified Project Plan and issuance of Impact Statements or GGR+ Credits have also taken place.

3. REQUEST FOR APPROVAL OF DESIGN CHANGES

- 3.1 Project Developers shall submit a request for approval for material and permanent changes to a project with payment of the required design change fee.
- 3.2 The Project developer shall submit the request to the UKCCC prior to making the changes or, at the very latest, prior to the request for issuance.
- 3.3 The following information/documents should be submitted as a part of the request for approval:
 - 3.3.1 Revised Project Development Document highlighting the changes in track-change mode,
 - 3.3.2 A memo highlights the design changes and discusses the impact(s) of the changes on the relevant aspects of the project.

4. PREPARATION OF REVISED DOCUMENTATION

- 4.1 Any other additional supporting documentation (for example, Environmental Impact Assessment conducted in relation to the changes in the project, etc.).
- 4.2 The revised documentation should include an assessment of the impact of the design changes with respect to all the aspects below (4.3 to 4.9). The design change memo submitted at the time of request for approval shall discuss these in a concise way.

ADDITIONALITY

- 4.3 The Project developer must discuss the effect of design changes on the validity of the demonstration of additionality and provide all required justifications.

PROJECT SCALE

- 4.4 Project developers shall discuss to what extent the design changes affect the scale of the project as per UKCCC Requirements. Suppose the upper threshold for the project scale, defined as per applicable Activity or Product requirement, is exceeded. In that case, related rules are no longer applicable to the Project and Project developer shall revise the project documentation accordingly.

APPLICABILITY OF MRV PROTOCOL

- 4.5 The Project developer shall discuss whether the original MRV protocol is still applicable or whether an updated MRV protocol shall be used. The same analysis shall also be conducted with respect to the selected baseline.
- 4.6 When a Project has not been implemented as described in the registered project documentation, the applicability and application of the baseline methodology with which the project has been registered shall be reassessed.

INTERESTED PARTY FEEDBACK ON DESIGN CHANGE

- 4.7 The Project developer shall discuss if there is a need to conduct an Interested party consultation on changes that are to occur or have occurred in the Project design.
- 4.8 Whenever design changes include the extension of the Project boundaries to new sites or the selection of different sites from those that had been envisioned at the time of previous Interested Party Consultations, relevant interested parties from these locations shall be invited for comments as per the Interested party Consultation and Engagement requirement.
- 4.9 The Project developer can choose to invite comments electronically or through a physical meeting and shall justify the selected method. To the extent possible, the Project developer shall conduct the complementary Interested party consultation on the design change component prior to the start of implementation of change in the project design.

SUSTAINABLE DEVELOPMENT ASSESSMENT

- 4.10 The Project developer shall discuss any necessary revision in the SDG Impact and Protection and Preservation Principles assessment following the design changes.
- 4.11 Changes in the project location or the extension of the project boundaries call for a re-assessment of the SDG Impacts and Protection and Preservation Principles, as does a significant change of scale of the project, even if located on the same site. If a new Environmental Impact Assessment (EIA) is required as per the local legislation, the SDG Impact and Protection and Preservation Principles assessment shall take into account the new elements provided, including potential new mitigation and/or compensation measures to put in place.

ANNUAL MONITORING VERIFICATION AND REPORTING PLAN

- 4.12 The Project developer shall discuss whether there is a need to make any change in the registered Annual Monitoring and verification Plan to accommodate any changes due to local interested parties' feedback, applicability of MRV protocol, SDG Impact, Safeguarding assessments and any other applicable requirements.
- 4.13 The Project developer shall revise the monitoring plan to include new mitigation measures as per a revised EIA or new comments by interested parties.

LEGISLATION

- 4.14 The Project developer shall also discuss the need for any new approvals/licenses from the environmental and/or regulatory agencies.

5. DESIGN CHANGE REQUEST REVIEW

- 5.1 Upon receipt of the request for design change approval, the UKCCC conducts a Gap Analysis to confirm whether all the necessary information and documentation has been submitted.
- 5.2 Upon payment of the required design change fee, a review of the design change request is conducted to assess whether:
 - 5.2.1 An opinion on the impacts of the design changes with respect to the points above shall be performed by either the approval UKCCC COMMISSIONER or Verification UKCCC COMMISSIONER. In this case, the Project developer shall contract the Approval UKCCC COMMISSIONER or Verification UKCCC COMMISSIONER to perform a review of the design change memo and the revised project documentation submitted to UKCCC. The UKCCC

COMMISSIONER shall provide an opinion on each one of the points above discussed and validate the data/information and underlying assumptions are correct. The revised Project Documentation, the design change memo, and the UKCCC COMMISSIONER opinion shall be submitted to UKCCC for review, OR

- 5.2.2 UKCCC conducts the assessment of the design changes on its own. In this case, UKCCC conducts the review of the submitted design change memo and the project documentation document without the involvement of a UKCCC COMMISSIONER. The revised documentation and the design change memo, once approved, will be uploaded to the *UKCCC approved Registry* as an amendment of the Project Documentation.

In all cases above, approval or rejection may occur directly after submission of the necessary documentation or after rounds of review necessary to close all requests for clarification or corrective action, if any.

- 5.3 In either case above, approval or rejection may occur directly after submitting the necessary documentation or after rounds of review.
- 5.4 Rejection of the request prevents any issuance unless the previous design is recovered or an alternative, the acceptable design change, is submitted.
- 5.5 Approval of the request allows the revised Project Documentation to be applicable for all future issuances. The revised Project Documentation and the design change memo are uploaded to the UKCCC approved Registry accordingly.

End of document