

REPORT OF THE JI ACCREDITATION PANEL (JI-AP)

Twenty-sixth meeting of the JI-AP

4-5 August 2011

CONTENTS

| | <i>Page</i> |
|--|-------------|
| I. INTRODUCTION | 2 |
| II. STATUS OF APPLICATIONS FOR ACCREDITATION | 2 |
| III. RECOMMENDATION FROM THE JI-AP..... | 3 |
| IV. REPORT ON THE PROGRESS OF WORK ON THE JISC REQUEST ON STREAMLINING OF THE JI ACCREDITATION PROCESS..... | 3 |
| V. STATUS OF ROSTER OF EXPERTS..... | 4 |
| VI. OTHER ISSUES UNDER CONSIDERATION..... | 4 |
| VII. NEXT MEETING OF THE JI-AP..... | 4 |
| ANNEX 1: STATUS OF APPLICATIONS FOR ACCREDITATION | 5 |
| ANNEX 2: DRAFT PROCEDURE FOR ACCREDITING INDEPENDENT ENTITIES BY THE JOINT IMPLEMENTATION SUPERVISORY COMMITTEE | 7 |

I. INTRODUCTION

1. This progress report covers the period from 28 May 2011 to 5 August 2011. During this period the Joint Implementation Accreditation Panel (JI-AP) held one meeting (JI-AP 26), on 4-5 August 2011.

II. STATUS OF APPLICATIONS FOR ACCREDITATION

2. Since the end of the previous reporting period, there were no new applications from independent entities (IEs) for the joint implementation (JI) accreditation process. Consequently, the number of applications under consideration by the JI-AP since the opening of the process of receiving submissions of applications on 6 October 2006 by the end of the present reporting period is 14 applications in total.

3. Of the 14 applications under consideration, the JI-AP had already selected members of joint implementation assessment teams (JI-ATs) and agreed on the workplans for all applications in previous reporting periods. Of these, the JI-AP had previously decided to put on hold the start of the JI-AT's assessment work for one application until the applicant IE submits additional documents relating to its application for additional sectoral scopes as reported in the sixth progress report. This applicant IE had not submitted the additional documents by the end of the present reporting period. Consequently, the assessment work has started for 13 applications under consideration by respective JI-ATs.

4. Desk reviews and on-site assessments have been successfully completed for the 13 applications under consideration during former reporting periods. As a result, a letter indicating successful completion of desk review and on-site assessment (indicative letter) has been issued by the JI-AP to the 13 IEs under consideration in accordance with paragraph 68 of the "Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee" (version 06) (hereinafter referred to as JI accreditation procedure). For the present reporting period, no desk review or on-site assessment has been conducted by the JI-AT for the remaining one applicant IEs due to the reason described in paragraph 3 above.

5. By the end of the present reporting period, 23 witnessing opportunities submitted from nine IEs under consideration and one accredited independent entity (AIE) that withdrew its accreditation have been accepted by respective JI-AT leaders, in accordance with paragraph 75 of the JI accreditation procedure. Of these, six witnessing opportunities were withdrawn by the IEs under consideration and one AIE that withdrew its accreditation, all of them in former reporting periods, hence 17 witnessing activities were in the pipeline, underway or completed. Corresponding PDDs or monitoring reports have been published on the UNFCCC website subsequently.

6. Of these 17 witnessing activities, six have been completed in previous reporting periods, which subsequently led to the accreditation by the Joint Implementation Supervisory Committee (JISC) of five IEs, including one AIE that subsequently withdrew its accreditation as referred to in paragraph 5 above, by the end of the present reporting period. One witnessing activity was cancelled and one was completed in the period, in accordance with the decision of the JISC at its twenty-fifth meeting. Therefore, there is one recommendation from the JI-AP to the JISC on accreditation of an IE.

7. In accordance with the decision of the JISC at its twenty-fifth meeting, seven applicant IEs that have been issued an indicative letter but had not initiated an initial witnessing activity as of 22 June 2011 were granted accreditation by the JISC for all sectoral scopes applied for as of 1 August 2011. In addition, in accordance with the decision of the JISC at its twenty-fifth meeting, of the two applicant IEs that had been issued an indicative letter and had initiated an initial witnessing activity as of 22 June 2011, one decided to terminate the initial witnessing activity and be accredited as of 1 August 2011, while the other decided to continue the on-going initial witnessing activity.

8. The JI-AP agreed on the modalities, appointed JI-ATs and launched eight focused assessments of the AIEs accredited as of 1 August 2011 referred to in paragraph 7 above, in accordance with the decision of the JISC at its twenty-fifth meeting.

9. The details of the applications and the status of processing them are presented in annex 1.

III. RECOMMENDATION FROM THE JI-AP

10. During the present reporting period, the JI-AP considered the result of one initial witnessing activity referred to in paragraph 7 above. The recommendation of the JI-AP on this case has been submitted for the consideration of the JISC under confidentiality in accordance with paragraph 98 of the JI accreditation procedure.

11. The JI-AP prepared a draft revised JI accreditation procedure and included as annex 2 to this report as a recommendation to the JISC for its adoption.

IV. REPORT ON THE PROGRESS OF WORK ON THE JISC REQUEST ON STREAMLINING OF THE JI ACCREDITATION PROCESS

12. Following the request by the JISC, at its twenty-fourth meeting, “to implement Option 2 of the streamlining with additional elements of Option 3 that are easily implementable”, the JI-AP continued its work on revising relevant regulatory documents to streamline the JI accreditation process.

13. The JI-AP completed its work on the preparing a draft revision of the JI accreditation procedure, as referred in paragraph 11 above.

14. The JI-AP recommends that version 6 of the JI accreditation procedure continues to be used for the focused assessments, in order to maintain consistency with the transitional measures as approved by the JISC.

15. The JI-AP agreed to recommend the JISC that the projects under the Track 1 procedure may not be subject to performance assessments introduced by the revised procedure, raising the concern that these projects might be used as a potential loophole by AIEs to avoid performance assessments.

16. The JI-AP agreed to use qualification of the experts on the CDM Accreditation Roster of Experts, as a part of qualification for experts for JI-ATs, as “additional elements of Option 3 that are easily implementable”.

17. The JI-AP considered possible revision of the JI accreditation standard to further align it with the CDM accreditation requirements, as possible “additional elements of Option 3 that are easily implementable”. The JI-AP agreed to recommend to the JISC not to undertake such a revision before the end of 2012, due to, inter alia:

- (a) The time-constraints to implementing the revised standard before the end of 2012;
- (b) The appropriateness of revising the standard as eight focused assessments are being conducted;
- (c) The difficulties associated with alignment with the CDM accreditation standard when it is in the process of evolving.

18. The JI-AP also agreed to recommend to the JISC to implement “Option 4” of the streamlining in the longer term, i.e. a full integration of the CDM and JI accreditation processes, including establishment of a common accreditation panel. In this regard, the JI-AP requested the JISC to provide guidance on its role going into the future and expressed its support to collaborate with the CDM Accreditation Panel (CDM-AP) by setting up a coordination group to develop the modalities of implementation.

V. STATUS OF ROSTER OF EXPERTS

19. During the present reporting period, one expert was removed from the roster due a conflict of interest. Consequently, the number of experts on the roster is 37 in total, with two of these experts being placed on standby due to their appointments as JI-AP members.

20. The JI-AP discussed the status of development of the JI online training course for the assessment experts. The JI-AP agreed to request the JISC to allocate resources to update Module 2 due to the modifications resulting from the revision of the JI accreditation procedure. The JI-AP also agreed to request the JISC to allocate resources to develop and implement Module 5, subject to approval of the proposal contained in paragraph 17 above.

VI. OTHER ISSUES UNDER CONSIDERATION

21. The JI-AP reviewed the assessments planned for the remainder of the year.

VII. NEXT MEETING OF THE JI-AP

22. The next JI-AP meeting (JI-AP 27) will be held on 18-19 October 2011.

ANNEX 1

STATUS OF APPLICATIONS FOR ACCREDITATION

| UNFCCC Ref. No. | Entity name | Sectoral scopes applied | Accreditation steps | | | | | | | | |
|-----------------|--|-------------------------|---------------------|---------------------------|----------|---------------------|-------------|--------------------|-------------------|---|----------------------------|
| | | | Completeness check | Preliminary consideration | Workplan | JI-AT establishment | Desk review | On-site assessment | Indicative letter | Witnessing activity | Accreditation ¹ |
| JI-E-0001 | DNV Climate Change Services AS (DNV) | 1-15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 2 opportunities accepted 1 activity completed | ✓ (III) |
| JI-E-0002 | Japan Quality Assurance Organization (JQA) | 1-15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 1 opportunity accepted (1 withdrawn) | ✓ ⁷ |
| JI-E-0003 | Deloitte Tohmatsu Evaluation and Certification Organization (Deloitte-TECO) ² | 1-10, 12-13, 15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ ⁷ |
| JI-E-0004 | Lloyd's Register Quality Assurance Ltd. (LRQA) | 1-13 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 1 opportunity accepted | ✓ ⁷ |
| JI-E-0005 | JACO CDM., LTD (JACO) | 1-14 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 1 opportunity accepted | ✓ ⁷ |
| JI-E-0006 | Japan Consulting Institute (JCI) | 1-5, 8-11, 13 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ ⁷ |
| JI-E-0007 | Bureau Veritas Certification Holding SAS (BVC Holding SAS) ³ | 1-15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 5 opportunities accepted (2 withdrawn) 1 activity completed | ✓ (II) |
| JI-E-0008 | TÜV SÜD Industrie Service GmbH (TÜV-SÜD) | 1-15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 4 opportunities accepted (2 withdrawn) 1 activity completed | ✓ (III, VI) |

| UNFCCC Ref. No. | Entity name | Sectoral scopes applied | Accreditation steps | | | | | | | | |
|-----------------|---|-------------------------|---------------------|---------------------------|----------------|---------------------|-------------|--------------------|-------------------|---|---|
| | | | Completeness check | Preliminary consideration | Workplan | JI-AT establishment | Desk review | On-site assessment | Indicative letter | Witnessing activity | Accreditation ¹ |
| JI-E-0009 | Spanish Association for Standardisation and Certification (AENOR) | 1-15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 1 opportunity accepted 1 activity completed | ✓ |
| JI-E-0010 | SGS United Kingdom Ltd. (SGS) | 1-15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 4 opportunities accepted (1 withdrawn) 2 activities completed | ✓ (II, III) Accreditation withdrawn upon request of the entity |
| JI-E-0011 | TÜV NORD CERT GmbH (TÜV NORD) | 1-15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 1 opportunity accepted (1 withdrawn) | ✓ ⁷ |
| JI-E-0012 | TÜV Rheinland Japan Ltd. (TÜV Rheinland) ⁴ | 1-15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 2 opportunities accepted 1 activity completed | |
| JI-E-0013 | Swiss Association for Quality and Management Systems (SQS) | 1-15 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ ⁷ |
| JI-E-0014 | KPMG Advisory N.V. (KPMG) | 1-4, 13 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ ⁷ |
| JI-E-0015 | Germanischer Lloyd Certification GmbH (GLC) | 1-3, 7, 10, 13 | ✓ | ✓ | ✓ ⁵ | ✓ | | | | | |

Legend:

✓ = stage completed

1) Accreditation is granted for all sectoral scopes applied for. Roman numbers in brackets indicate the sectoral groups for which witnessing activities have been successful to date. For more details on how accreditation is granted, confirmed or suspended with regard to sectoral groups, see section B.3 and annex 2 of the JI accreditation procedure (version 05).

2) Formerly named as “Tohatsu Evaluation and Certification Organization Co., Ltd”.

3) Formerly named as “Bureau Veritas Certification Holding S.A.”.

4) Formerly applied from “TÜV Industrie Service GmbH, TÜV Rheinland Group”.

5) The JI-AP decided to re-visit the workplan once the applicant IE has submitted documents relating to its application for additional sectoral scopes.

6) Formerly named as “KPMG Sustainability B.V.”.

7) Accredited due to the transitional measures as approved at JISC 25.

ANNEX 2

**DRAFT PROCEDURE FOR ACCREDITING INDEPENDENT ENTITIES BY THE JOINT
IMPLEMENTATION SUPERVISORY COMMITTEE**



PROCEDURE FOR ACCREDITING INDEPENDENT ENTITIES BY THE JOINT IMPLEMENTATION SUPERVISORY COMMITTEE

(Version 07)

Main changes in this Procedure (version 07) are:

- *Granting accreditation after a successful on-site assessment and replacing initial and ex-post witnessing activities with performance assessments, to be conducted after accreditation is granted;*
- *Modifying the scope of the desk-review and on-site assessment (for new applications) in order to fully assess applicant independent entities' (applicant IEs) compliance with the JI accreditation standard within these two assessments;*
- *Removing the JI-AP's clearance of proposed corrective actions (accepted by the JI-AT) before their implementation by the applicant IE in on-site assessment (paragraphs 58-60 in version 06), regular on-site surveillance (paragraphs 122-124 in version 06) and in on-going witnessing activities (paragraphs 88-90 in version 06);*
- *Adding sections on accreditation's suspension and withdrawal, and annexes on handling of complaints against an AIE and from an applicant IE/AIE;*
- *Abolishing the concept of sectoral groups as well as removal of annex 2 and the procedure for proposing new sectoral scopes;*
- *Aligning other aspects of the JI accreditation process with the CDM accreditation process.*



Contents

| | <i>Page</i> |
|--|-------------|
| A. Introduction | 3 |
| B. Conditions of accreditation | 6 |
| B.1. Scope of accreditation..... | 6 |
| B.3. Acting provisionally as an accredited independent entity..... | 6 |
| C. Initial accreditation..... | 7 |
| C.1. Application for accreditation..... | 7 |
| C.2. Completeness check and publication of applicant independent entity's name | 7 |
| C.3. Preliminary consideration and establishment of assessment team..... | 8 |
| C.4. Desk review..... | 8 |
| C.5. On-site assessment | 10 |
| D. Performance assessment | 14 |
| E. Regular on-site surveillance | 18 |
| F. Spot-check..... | 22 |
| G. Re-accreditation | 25 |
| H. Accreditation for additional sectoral scope(s) | 27 |
| I. Notification of change of status of applicant/accredited independent entity | 28 |
| J. Appeals by applicant/accredited independent entity | 29 |
| K. Suspension of accreditation..... | 31 |
| L. Expiration and withdrawal of accreditation..... | 33 |
| M. Voluntary withdrawal of application for accreditation or accreditation status..... | 34 |
| Annex 1. List of sectoral scopes | 35 |
| Annex 2. Assessment documentation | 36 |
| Annex 3. Criteria and principles for performance assessments | 40 |
| Annex 4. Handling of complaints against an AIE..... | 41 |
| Annex 5. Handling of complaints and disputes from an applicant IE/AIE..... | 42 |
| Annex 6. Forms used in the JI accreditation process | 44 |
| Annex 7. Fees and costs..... | 46 |



A. Introduction

1. The annex to decision 9/CMP.1¹ (hereinafter referred to as JI guidelines) states that the Joint Implementation Supervisory Committee (JISC) is responsible for the accreditation of independent entities (IEs), which make determinations regarding project design documents (PDDs) (from the next paragraph referred to as “determinations”) and determinations of reported greenhouse gas (GHG) emission reductions or enhancements of removals (from the next paragraph referred to as “verifications”) regarding joint implementation (JI) projects that are processed in accordance with the verification procedure under the JISC.

2. This document (hereinafter referred to as “JI accreditation procedure”) contains the procedure for the accreditation of IEs by the JISC. It has been elaborated in accordance with paragraph 2 (b) of decision 10/CMP.1,² and taking into consideration paragraphs 13 and 42-45 of the JI guidelines. The JISC may revise the JI accreditation procedure in the future. The JISC shall inform any applicant IE and any accredited IE (AIE) of any such revision and make it publicly available on the UNFCCC JI website.³ A revised version of the JI accreditation procedure shall supersede any previous versions as of the date on the document. The revision to a step in the JI accreditation procedure shall not apply retroactively to an applicant IE or AIE that has started that step before the effective date of the relevant revision.

3. The five actors in the accreditation process and their responsibilities and actions are summarized as follows:

- (a) **IEs** apply for accreditation. They shall submit all required documentation as specified in Annex 2 through the official communication channel established for that purpose;
- (b) The **JISC** is responsible for ensuring the overall implementation of the JI accreditation procedure and accrediting IEs;
- (c) The Joint Implementation Accreditation Panel (**JI-AP**) serves as the technical panel of the JISC and is responsible for supervising the assessment work of joint implementation assessment teams (JI-ATs) and making recommendations to the JISC regarding the accreditation of IEs, including initial accreditation, re-accreditation, suspension and withdrawal of accreditation. For each IE’s assessment, the JI-AP establishes a JI-AT by drawing team members from a roster of experts established for this purpose;⁴
- (d) **JI-ATs** carry out assessment of IEs, verify whether the IEs comply with the JI accreditation requirements and report to the JI-AP;
- (e) The UNFCCC secretariat (hereinafter referred to as **secretariat**) supports the implementation of the JI accreditation procedure.

4. The assessment of an IE is to evaluate whether or not the IE meets all accreditation requirements for an AIE contained in the JI guidelines, the JI accreditation standard and other relevant decisions

¹ The annex to decision 9/CMP.1 is available at <<http://unfccc.int/resource/docs/2005/cmp1/eng/08a02.pdf>>.

² The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), through paragraph 2 (b) of decision 10/CMP.1, requested the JISC “to further elaborate, as a priority, standards and procedures for the accreditation of independent entities, consistent with appendix A to the guidelines for the implementation of Article 6 of the Kyoto Protocol, taking into consideration, as appropriate, the procedures for accrediting operational entities developed by the Executive Board of the clean development mechanism”.

³ <<http://ji.unfccc.int>>.

⁴ The JISC, at its fifth meeting, delegated its function of establishing and maintaining the rosters of experts to the JI-AP.



adopted by the CMP, the JISC or the JI-AP (hereinafter referred to as “JI accreditation requirements”), including the competence and resources to perform the functions of determination and verification within the sectoral scope(s) for which the IE applied for accreditation or is accredited.

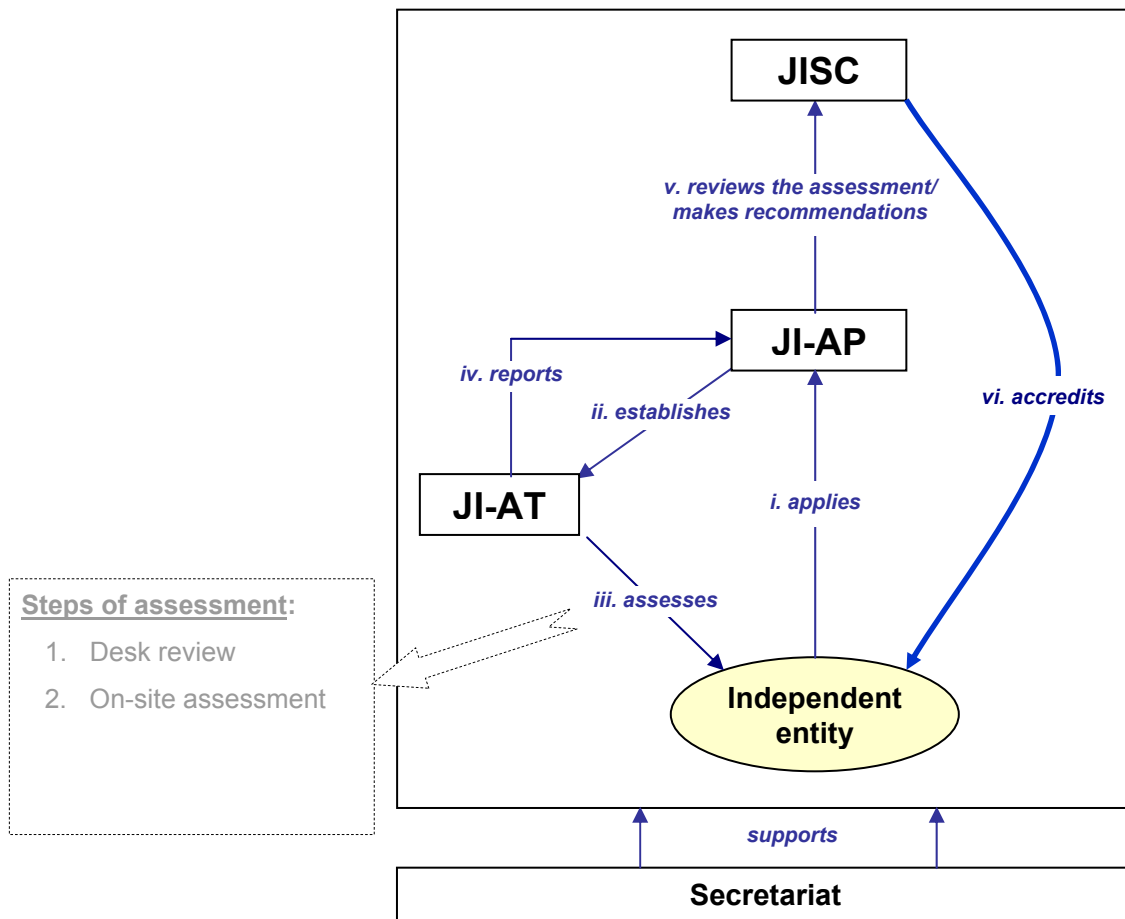
5. The procedure for assessing an applicant IE against the JI accreditation requirements in the course of initial accreditation is described in detail in section C. The assessment of an applicant IE for initial accreditation consists of two steps:

- (a) **Desk review** of the application documentation to mainly assess whether the applicant IE’s organization and documented systems to perform JI determination and verification functions meet the JI accreditation requirements;
- (b) **On-site assessment**, at the office(s) of the applicant IE, to mainly assess the operational capability of the applicant IE against the JI accreditation requirements. The assessment shall provide confidence that the applicant IE has sufficient resources and required competence, including in assessing baseline and monitoring methodologies, and will effectively implement its documented systems while performing determinations and/or verifications in all sectoral scope(s) applied for.

6. After successful completion of the desk review and on-site assessment, accreditation is granted by the JISC to the applicant IE.

7. Figure 1 below illustrates the main steps of the process for initial accreditation and the sequence of actions.

Figure 1: Main steps of the process for initial accreditation





8. After accreditation is granted, an AIE's compliance with the JI accreditation requirements is monitored by the following three means:

- (a) **Performance assessments**, which are mandatory assessments to assess the AIE's competence, including in assessing baseline and monitoring methodologies, and effectiveness of its systems through actual determination or verification work and reports submitted in the JI project cycle. The number of performance assessments to be conducted during the accreditation term, the criteria for selecting determinations and verifications as well as the procedure for such assessments are contained in section D below;
- (b) **Regular on-site surveillance**, which is a mandatory assessment of the AIE to check whether it continues to meet the JI accreditation requirements, and is carried out once during each accreditation term. The procedure for regular on-site surveillance is described in detail in section E below;
- (c) **Spot-check**, which is an unscheduled assessment determined by the JISC and triggered by well-founded information that raises concerns over the AIE's compliance with the JI accreditation requirements. The JISC may decide to conduct a spot-check at any time during the accreditation term. The procedure for spot-check is described in detail in section F below.

9. The fees and costs associated with the processing of application, all assessments and appeals are to be borne by the applicant IE or AIE concerned in accordance with annex 7 "Fees and costs".



B. Conditions of accreditation

B.1. Scope of accreditation

10. The accreditation of an IE is based on sectoral scope(s)⁵ and is applicable to both determination and verification functions, as a set.
11. Sectoral scopes are areas of activities with similar types of technical processes or sources of GHG emissions or removals. The list of sectoral scopes is contained in annex 1 “List of sectoral scopes”.
12. The desk review and on-site assessment of an applicant IE shall cover determination and verification functions in all sectoral scope for which the applicant IE has applied for accreditation.
13. Accreditation is granted for sectoral scopes in which the IE has competence and resources for both determination and verification functions.
14. An AIE may carry out determination and verification functions in sectoral scopes for which it has been accredited.
15. The JISC shall grant accreditation to the IE as a legal entity regardless of whether the entire legal entity or a part of it performs determination or verification work.

B.3. Acting provisionally as an accredited independent entity

16. In accordance with paragraph 3 of decision 10/CMP.1⁶, designated operational entities (DOEs) under the clean development mechanism (CDM) may act provisionally as AIEs within the corresponding sectoral scope(s) and function(s) for which they had been designated under the CDM (including provisional designation by the Executive Board of the CDM) before 15 November 2006 if they have applied for JI accreditation in those sectoral scopes.
17. DOEs that did not apply for JI accreditation before 15 November 2006 may assume their status as provisional AIEs from the date they apply for JI accreditation.

⁵ While, in accordance with section VI of the JI accreditation standard, AIEs shall have competence in “technical areas” within the sectoral scopes in which they operate, accreditation remains being based on sectoral scope(s).

⁶ Decision 10/CMP.1 is available at <<http://unfccc.int/resource/docs/2005/cmp1/eng/08a02.pdf#page=14>>.



C. Initial accreditation

18. The procedure for initial accreditation comprises the following main steps:
- (a) Submission of application documentation by an applicant IE and payment of a non-reimbursable application fee;
 - (b) Completeness check of the application documentation and publication of the applicant IE's name by the secretariat;
 - (c) Preliminary consideration of the application documentation and establishment of a JI-AT by the JI-AP;
 - (d) Desk review by the JI-AT of the applicant IE's application documentation;
 - (e) On-site assessment by the JI-AT at (an) office(s) of the applicant IE, indicated in the application form;
 - (f) Review by the JI-AP of the assessment report prepared by the JI-AT and recommendation by the JI-AP on accreditation or rejection of application to the JISC;
 - (g) Decision by the JISC on accreditation or rejection of application by the IE.

C.1. Application for accreditation

19. An IE may apply for initial accreditation in any number of sectoral scopes.
20. To apply for initial accreditation, an IE shall submit to the secretariat a set of application documentation containing all the documents specified in annex 2 "Assessment documentation". The application form (F-JI-A)⁷ shall be signed by an authorized signatory of the IE. Unless otherwise stated in the JI accreditation procedure, the JISC, the JI-AP, the JI-AT and the secretariat shall keep all the documentation, information and communications received from the IE confidential.
21. An IE's application for accreditation shall be considered as submitted when the secretariat has received the application documentation and the application fee referred to in annex 7 "Fees and costs".

C.2. Completeness check and publication of applicant independent entity's name

22. The secretariat shall start processing the application upon receipt of the application fee referred to in annex 7 "Fees and costs" in the order in which application fee is received.
23. The secretariat shall undertake a completeness check of the submitted documentation against the required documentation specified in annex 2 "Assessment documentation". If the documentation is incomplete and/or inadequate, the secretariat shall inform the applicant IE of the missing/inadequate documentation within 10 days⁸ of receiving the application and the fee. The following procedure shall resume once all documentation is received.
24. The secretariat shall publish the name of the applicant IE and the sectoral scope(s) for which it has applied for accreditation on the UNFCCC JI website, thereby providing Parties, NGOs accredited

⁷ The forms used in the JI accreditation process are listed in annex 6.

⁸ In this document, number of days means calendar days.



with the UNFCCC and stakeholders⁹ the opportunity to submit comments or information on the applicant IE within 15 days of publication. The secretariat shall make the comments/information publicly available immediately after the end of the 15-day period.

25. If the application documentation is complete, the secretariat shall prepare an application file containing all application documentation with comments/information received from stakeholders, if any, and send it to the JI-AP.

C.3. Preliminary consideration and establishment of assessment team

26. The JI-AP shall preliminarily review, electronically, the application documentation and the comments and information received from stakeholders. The JI-AP shall identify particular issues for the assessment by preparing a work plan.

27. The JI-AP Chair shall appoint a JI-AT in consultation with the JI-AP and with the secretariat's support. The JI-AT shall consist of at least two members, including a team leader. The size of the JI-AT may vary depending on the size and JI operations of the applicant IE, the documentation submitted and the sectoral scope(s) for which the applicant IE has applied for accreditation. The JI-AT members shall be selected from the roster of experts referred to in paragraph 3 (c) above.

28. The JI-AP may also decide to change duration of the on-site assessment from the default duration of 2 days.

29. The secretariat shall inform the applicant IE of the composition of the JI-AT, providing current CVs of the JI-AT members. The applicant IE may object to the composition of the JI-AT, in writing to the JI-AP Chair within six days, identifying and justifying any actual or potential conflict of interest of any of the JI-AT members. If the applicant IE expresses such objection and the JI-AP Chair finds it valid, the JI-AP Chair shall, in consultation with the JI-AP and support of the secretariat, identify (a) replacement(s) for the JI-AT member(s) in question.

30. Each JI-AT member shall sign a confidentiality and non-disclosure agreement (form F-JI-CA) and impartiality statement.

31. The secretariat shall introduce the JI-AT by establishing a communication facility in order to undertake the assessment work.

C.4. Desk review

32. The secretariat shall provide the JI-AT:

- (a) All application documentation;
- (b) Any issues raised by the JI-AP, contained in the work plan, referred to in paragraph 26 above.

33. The JI-AT shall undertake a desk review of the application documentation and prepare a draft desk review report (form F-JI-DR) within 20 days after receiving the application documentation from the secretariat. The draft desk review report shall be sent to the applicant IE through the secretariat.

⁹ In accordance with paragraph 1 (e) of the JI guidelines, stakeholders means the public, including individuals, groups or communities affected, or likely to be affected, by the project.



34. If all documentation is found complete and adequate and the compliance of the applicant IE's organization and documented systems to perform JI determination and verification functions is confirmed, the JI-AT shall consider the desk review report as final, make it available to the applicant IE and proceed with the on-site assessment.

35. If the JI-AT has identified issues against the JI accreditation requirements, the applicant IE shall provide additional and/or amended documentation to address the identified issues within 90 days of the receipt of the draft desk review report¹⁰.

36. The JI-AT shall review the additional and/or amended documentation received within 10 days of the receipt and conclude whether the applicant IE's organization and documented systems are in compliance with the JI accreditation requirements.

37. If compliance of the applicant IE's organization and documented systems to perform JI determination and verification functions is confirmed, the JI-AT shall finalize the desk review report, make it available to the applicant IE and proceed with the on-site assessment.

38. If some of the identified issues have not been fully addressed, the JI-AT leader shall decide whether these can be assessed during the on-site assessment or they should be addressed prior to the on-site assessment.

39. If the remaining issues can be assessed during the on-site assessment, the JI-AT shall finalize the desk review report, request in the report the applicant IE to address the remaining issues, and proceed with the on-site assessment.

40. If the remaining issues should be addressed prior to the on-site assessment, or if no documentation has been received from the applicant IE within 90 days of the receipt of the draft desk review report, the JI-AT shall revise the draft desk review report, indicating the missing elements and/or the issues, and make it available to the applicant IE for comments.

41. The applicant IE shall consider the draft desk review report and, if any, provide comments to the JI-AT within six days of receiving the report.

42. The JI-AT shall finalize the desk review report within six days, considering the comments submitted by the applicant IE, including its conclusion and recommendation to the JI-AP, and submit it to the JI-AP.

43. The JI-AP shall, at or before its next meeting, consider the final desk review report prepared by the JI-AT and decide on one of the following options:

- (a) Request the JI-AT to proceed with the on-site assessment;
- (b) Request the applicant IE to provide additional and/or amended documentation, indicating submission and assessment deadline(s), and request the JI-AT to conduct an additional desk review in relation to the documentation;
- (c) Recommend the JISC to reject the applicant IE's application for accreditation.

¹⁰ If the changes in documents are considered significant by the JI-AT, it will request approval from the JI-AP for additional time for conducting the desk review. Any additional cost for such additional time will be borne by the applicant IE.



44. The JI-AP shall inform the applicant IE of its decision. If the JI-AP recommends the JISC to reject the applicant IE's application for accreditation, the applicant IE may submit an appeal to the JISC against the JI-AP's recommendation, in accordance with section J below.

45. The information submitted by the JI-AP to the JISC in accordance with paragraph 43 (c) above shall be considered confidential.

46. The JISC shall consider the JI-AP's recommendation in a closed session at its next meeting together with, if applicable, the report of the appeal panel, and decide on one of the following options:

- (a) Request the JI-AP to proceed with the on-site assessment;
- (b) Refer the application to the JI-AP for further work/reconsideration;
- (c) Reject the applicant IE's application for accreditation.

47. The JISC shall inform the applicant IE of its decision and provide the corresponding reasons. In case of rejection of the applicant IE's application, the JISC shall make the decision publicly available in accordance with the rules of procedure of the JISC.

C.5. On-site assessment

48. The JI-AT shall begin an on-site assessment by conducting an assessment at (an) applicant IE's office(s) indicated in the application form (F-JI-A) within 60 days from the date of the JI-AT's submission of the desk review report to the applicant IE or the date of receipt of decision of the JI-AP or the JISC to proceed with the on-site assessment. For this purpose, the JI-AT leader shall coordinate the date for the assessment at the applicant IE's office(s), taking into consideration the availability of the team member(s) and the applicant IE. The applicant IE shall cooperate with the JI-AT leader in scheduling the assessment.

49. If the applicant IE is not available for the on-site assessment within 60 days, the secretariat shall reconfirm the entity's interest in proceeding with their application and seek justification in writing for the delays. The secretariat shall present the case to the JI-AP at its next meeting for its decision.

50. The JI-AT leader shall develop and send the assessment plan to the applicant IE at least 10 days prior to the on-site assessment.

51. The JI-AT shall conduct the assessment at the applicant IE's office in accordance with the assessment plan.

52. If the JI-AT identifies non-conformities and/or observations¹¹, it shall prepare during the assessment at the applicant IE's office(s) a non-conformity report (form F-JI-NC) for each non-conformity and/or an observation report (form F-JI-OBS) listing all observations.

¹¹ For the purposes of this document, the terms and definitions given in ISO 17000 and ISO 9000 apply, unless defined otherwise.



53. At the end of the assessment at the applicant IE's office(s), the JI-AT shall provide the applicant IE with the details of its assessment of the applicant IE's compliance with the JI accreditation requirements, the basis/rationale for the non-conformities and/or observations, if any, as described in the non-conformity report(s) and/or observation report and any additional comments. The applicant IE shall have an opportunity to seek clarification and ask questions on the assessment.

54. After the assessment at the applicant IE's office(s), the JI-AT shall prepare a draft on-site assessment report (form F-JI-OR) and make it available to the applicant IE for comments, with any non-conformity reports and/or observation report, as applicable, within 12 days.

55. The applicant IE shall consider the draft on-site assessment report and provide comments to the JI-AT, if any, within six days of receiving the report.

56. The JI-AT shall consider the applicant IE's comments, finalize the on-site assessment report and make it available to the applicant IE within eight days of receiving the applicant IE's comments.

57. If the JI-AT has not identified any non-conformity, it shall prepare the draft final assessment report and make it available to the applicant IE for comments within six days after finalization of the on-site assessment report.

58. If the JI-AT has identified non-conformities, the applicant IE shall, within 30 days of receiving the finalized on-site assessment report, conduct root-cause analysis and propose corrective actions¹² to address the non-conformities, including a timeframe for implementing each action, and submit them to the JI-AT by completing the relevant part of the non-conformity report(s).

59. The JI-AT shall consider the root-cause analysis and the proposed corrective actions and inform the applicant IE of its acceptance or rejection of all or part of the proposal within six days of receiving them. If the JI-AT finds the root-cause analysis or the proposed corrective action(s) unsatisfactory, or no corrective actions are proposed within the deadline, the applicant IE shall conduct root-cause analysis and propose (other) corrective action(s) to the JI-AT within 15 additional days. The JI-AT shall consider the root-cause analysis and the revised proposed corrective action(s) within six days of receiving them.

60. If the JI-AT still finds the root-cause analysis or the revised proposed corrective action(s) unsatisfactory, or no revised corrective actions are proposed within the extended deadline, the JI-AT shall prepare the draft final assessment report (form F-JI-FR) and make it available to the applicant IE for comments.

61. The applicant IE shall consider the draft final assessment report and provide comments to the JI-AT, if any, within six days of receipt.

62. The JI-AT shall complete the final assessment report within six days, taking into consideration the comments provided by the applicant IE, and submit it, with non-conformity report(s) and/or observation report, if any, to the JI-AP for its decision at its next meeting in accordance with paragraph 70 below.

63. If the JI-AT accepts the proposed corrective actions to all non-conformities, the applicant IE shall complete the implementation of all accepted corrective actions and submit to the JI-AT documentary evidence of their implementation and the non-conformity report(s) with the relevant part completed within 90 days of the acceptance of the proposed corrective actions.

¹² For the purpose of this document the term "corrective actions" implies corrections and corrective actions, as appropriate.



64. The JI-AT shall verify the implementation of the accepted corrective actions and complete the relevant part of the non-conformity report(s) within 12 days of receiving documentation demonstrating the implementation.

65. If the JI-AT finds the implementation of the accepted corrective actions satisfactory for all non-conformities, it shall prepare a draft final assessment report and make it available to the applicant IE for comments, with the non-conformity report(s), within 12 days of receiving documentation demonstrating the implementation.

66. If the JI-AT finds the implementation of any of the accepted corrective actions unsatisfactory, or the applicant IE fails to provide evidence of it within 90 days, the applicant IE shall further implement the corrective actions and submit further documentation within 30 additional days. The JI-AT shall verify the further implementation of the corrective actions within 12 days.

67. If, for at least one non-conformity, the JI-AT still finds the further implementation of the corrective actions unsatisfactory, or the applicant IE does not further implement the corrective actions or does not provide evidence of their implementation within the extended deadline, the JI-AT shall prepare a draft final assessment report and make it available to the applicant IE for comments with the non-conformity report(s), within six days of the extended deadline.

68. The applicant IE shall provide comments on the draft final assessment report within six days of receipt.

69. The JI-AT shall, taking into consideration the applicant IE's comments, complete the final assessment report within six days of receiving the applicant IE's comments, and submit it to the JI-AP with the non-conformity report(s) and observation report if any.

70. The JI-AP shall, at or before its next meeting, consider the final reports prepared by the JI-AT and decide on one of the following options:

- (a) Seek additional corrective actions from the applicant IE, indicating timeline for their identification and implementation and requesting the JI-AT to conduct assessment activities in relation to these actions and report back to the JI-AP for its consideration;
- (b) Recommend the JISC to:
 - (i) Accredite the applicant IE for all sectoral scopes applied for;
 - (ii) Accredite the applicant IE only for some of the sectoral scopes applied for;
 - (iii) Reject the application for accreditation.

71. In addition to the recommendation made in paragraph 70 above, the JI-AP may also undertake any other appropriate action based on the assessment reports.

72. The JI-AP shall inform the applicant IE of its recommendation to the JISC. The applicant IE may submit an appeal to the JISC against the JI-AP's recommendation in accordance with section J below.

73. The information submitted by the JI-AP to the JISC in accordance with paragraph 70 above shall be considered confidential.



74. The JISC shall consider the JI-AP's recommendation in a closed session at its next meeting together with, if applicable, the report of the appeal panel, and decide on one of the following options:

- (a) Accredite the applicant IE as an AIE for all sectoral scope(s) applied for;
- (b) Accredite the applicant IE as an AIE only for some of the sectoral scope(s) applied for;
- (c) Reject the application for accreditation.

75. The JISC shall inform the applicant IE of its decision and provide the corresponding reasons. The JISC shall make the decision publicly available in accordance with the rules of procedure of the JISC.

76. If the JISC rejects the application for accreditation, the applicant IE may re-apply for accreditation.

77. The AIE's accreditation is valid for five years from the date of accreditation by the JISC.

78. The secretariat shall maintain a public list of IEs accredited within specified sectoral scope(s).



D. Performance assessment

79. The JI-AP shall decide on the number of performance assessments to be conducted for each AIE based on the number of sectoral scopes for which the AIE is accredited for and the number of determinations and verifications the AIE has performed, as described in annex 3 “Criteria and principles for performance assessments”. The JI-AP may decide to vary the number of performance assessments as necessary.

80. The secretariat shall select determinations and verifications for performance assessments following the principles described in annex 3 “Criteria and principles for performance assessments” from:

- (a) The determinations submitted by the AIE under the JI Track 2 project cycle; and
- (b) The monitoring reports made publicly available by the AIE and for which the verification work has not started.

81. A performance assessment of the determination function shall be based on documentary evidence listed in annex 2 “Assessment documentation”.

82. A performance assessment of the verification function shall be based on the observation of the verification work carried out by the AIE’s team at the project site and the documentary evidence listed in annex 2 “Assessment documentation”.

83. Once the AIE is informed on selection of a verification activity for a performance assessment, it shall accommodate the assessment team visit by not performing the project site inspection until at least 4 week later.

84. The secretariat shall inform the AIE of the determination or verification selected for a performance assessment. The AIE shall send to the secretariat, within three days of the notification from the secretariat, the documents required for the performance assessment, as listed in annex 2 “Assessment documentation”, except for those stated otherwise in the annex. If the secretariat has not received the documentation within this deadline, it shall send a reminder to the AIE allowing two additional days to submit the documentation. If the secretariat does not receive the documentation upon the second iteration, it shall report the case to the JI-AP for its consideration in accordance with paragraph 106 below.

85. The JI-AP Chair shall appoint a JI-AT in consultation with the JI-AP and with the secretariat’s support. The JI-AT shall consist of a JI-AT leader and at minimum one methodology expert qualified in the sectoral scope(s) of the project under performance assessment. The JI-AT members shall be selected from the roster of experts referred to in paragraph 3 (c) above.

86. The secretariat shall inform the AIE of the composition of the JI-AT (leader and methodology expert(s)). The AIE may object to the composition of the JI-AT, in writing to the JI-AP Chair within six days, identifying and justifying any actual or potential conflict of interest of the JI-AT member(s). If the AIE expresses such objection and the JI-AP Chair finds it valid, the JI-AP Chair shall, in consultation with the JI-AP and support of the secretariat, identify (a) replacement(s) for the JI-AT member(s) in question.

87. For the performance assessment of a verification, the AIE shall inform the secretariat of the proposed dates of the verification site visit and provide relevant information. The AIE and the JI-AT leader shall co-ordinate the visit of the JI-AT to the project site with the support of the secretariat.



88. The JI-AT may request additional documents based on its initial review of documents sent by the AIE within five days of the receipt of the first set of documents. The AIE shall send the requested additional documents within three days.

89. For the performance assessment of a verification, the AIE shall send to the JI-AT, within 30 days after the site visit, the draft verification report duly reviewed internally for its completeness and adequacy, including the Corrective Action Requests (CARs), Clarification Requests (CLRs) and/or Forward Action Requests (FARs).

90. After reviewing the documentary evidence and information obtained from the site visit, if applicable, the JI-AT shall prepare a draft performance assessment report (form F-JI-PAdet or F-JI-PAver) and, if any, non-conformity report(s) (form F-JI-NC) and/or observation report (form F-JI-OBS), and make them available to the AIE for comments within 14 days of receiving the complete documentary evidence.

91. The AIE shall consider the draft performance assessment report, non-conformity report(s) and/or observation report, as applicable, and provide comments to the JI-AT, if any, within six days of receiving the reports.

92. The JI-AT shall consider the AIE's comments, finalize the performance assessment report, non-conformity report(s) and/or observation report and make them available to the AIE within six days of receiving the AIE's comments.

93. If the JI-AT has not identified any non-conformity, it shall prepare a final assessment report (form F-JI-FR) and submit it, with the performance assessment report and observation report, if any, to the JI-AP within six days.

94. If the JI-AT has identified non-conformities, the AIE shall, within 20 days of receiving the performance assessment report and non-conformity report(s), conduct root-cause analysis and propose corrective actions to address the non-conformities, including a timeframe for each action, and submit them to the JI-AT by completing the relevant part of the non-conformity report(s).

95. The JI-AT shall consider the root-cause analysis and the proposed corrective actions and inform the AIE of its acceptance or rejection of all or part of the proposal within six days of receiving them. If the JI-AT finds the root-cause analysis or the proposed corrective action(s) unsatisfactory, or no corrective actions are proposed within the deadline, the AIE shall conduct root-cause analysis and propose (other) corrective action(s) to the JI-AT within 10 additional days. The JI-AT shall consider the root-cause analysis and the revised proposed corrective action(s) within six days of receiving them.

96. If the JI-AT still finds the root-cause analysis or the revised proposed corrective action(s) unsatisfactory, or no revised corrective actions are proposed within the extended deadline, the JI-AT shall prepare the draft final assessment report (form F-JI-FR) and make it available to the AIE for comments.

97. The applicant IE shall consider the draft final assessment report and provide comments to the JI-AT, if any, within six days of receipt.

98. The JI-AT shall complete the final assessment report within six days, taking into consideration the comments provided by the AIE, and submit it, with non-conformity report(s) and/or observation report, if any, to the JI-AP for its decision at its next meeting in accordance with paragraph 106 below.



99. If the JI-AT accepts the proposed corrective actions to all non-conformities, the AIE shall complete the implementation of all accepted corrective actions and submit to the JI-AT the documentary evidence of their implementation and the non-conformity report(s) with the relevant part completed within 30 days of the acceptance of the proposed corrective actions.

100. The JI-AT shall evaluate the implementation of the accepted corrective actions and complete the relevant part of the non-conformity report(s) within six days of receiving documentation demonstrating the implementation.

101. If the JI-AT finds the implementation of the accepted corrective actions satisfactory for all non-conformities, it shall prepare a draft final assessment report and make it available to the AIE for comments, with the non-conformity report(s), within six days of receiving documentation demonstrating the implementation.

102. If the JI-AT finds the implementation of any of the accepted corrective actions unsatisfactory, or the AIE fails to provide evidence of it within 30 days, the AIE shall further implement the corrective actions and submit further documentation within 15 additional days. The JI-AT shall verify the further implementation of the corrective actions within six days.

103. If, for at least one non-conformity, the JI-AT still finds the further implementation of the corrective actions unsatisfactory, or the AIE does not further implement the corrective actions or does not provide evidence of their implementation within the extended deadline, the JI-AT shall prepare a draft final assessment report and make it available to the AIE for comments, with the non-conformity report(s), within six days of the extended deadline.

104. The AIE shall provide comments on the draft final assessment report within six days of receipt.

105. The JI-AT shall, taking into consideration the AIE's comments, complete the final assessment report within six days of receiving the AIE's comments, and submit it to the JI-AP with the non-conformity report(s) and observation report if any.

106. The JI-AP shall, at or before its next meeting, consider the final reports prepared by the JI-AT and decide on one of the following options:

- (a) Seek additional corrective actions from the AIE, providing deadlines for their proposal and implementation and requesting the JI-AT to conduct an assessment of these actions, and report back to the JI-AP for its consideration;
- (b) Inform the JISC of the positive outcome of the performance assessment;
- (c) Inform the JISC of the negative outcome of the performance assessment and:
 - (i) Undertake additional performance assessment(s) of the AIE;
 - (ii) Recommend the JISC to conduct a spot-check of the AIE;
 - (iii) Recommend the JISC to suspend the AIE's accreditation for some of the sectoral scopes and determination and/or verification function(s) under performance assessment; or
 - (iv) Recommend the JISC to suspend the AIE's accreditation for all sectoral scopes and both determination and verification functions.



107. In addition to the actions undertaken and/or recommended in paragraph 106 above, the JI-AP may also undertake any other appropriate action based on the assessment reports, such as an early regular on-site surveillance.

108. The JI-AP shall inform the AIE of its decision. The AIE may submit an appeal to the JISC against a JI-AP's recommendation to the JISC in accordance with section J below.

109. The information submitted by the JI-AP to the JISC in accordance with paragraph 106 above shall be considered confidential.

110. The JISC shall consider the JI-AP's recommendation in a closed session at its next meeting together with, if applicable, the report of the appeal panel and/or the hearing of the AIE, and decide on one of the following options:

- (a) Maintain the AIE's accreditation;
- (b) Conduct a spot-check of the AIE;
- (c) Suspend the AIE's accreditation for some of the sectoral scopes and determination and/or verification function(s) under performance assessment; or
- (d) Suspend the AIE's accreditation for all sectoral scopes and both determination and verification functions.

111. The JISC shall inform the AIE of its decision and provide the corresponding reasons. The JISC shall make the decision publicly available in accordance with the rules of procedure of the JISC.

112. The modalities for lifting partial or total suspension of an AIE's accreditation are contained in section K below.



E. Regular on-site surveillance

113. The regular on-site surveillance shall include an assessment at the AIE's office(s) and, if deemed necessary by the JI-AP, at any other site(s) where the JI determination and verification functions are carried out.

114. The regular on-site surveillance shall take place in the third year of the AIE's accreditation term.

115. The secretariat shall inform the AIE at least three months in advance of the tentative dates of the site visit at the AIE's office(s) and other site(s) if applicable. The AIE may request a deviation from the tentative scheduled date of the site visit by not more than one month.

116. The JI-AP Chair shall appoint a JI-AT in consultation with the JI-AP and with the secretariat's support. The JI-AT shall consist of two members, including the team leader and a team member with technical and methodological expertise. To the extent possible, the JI-AT shall comprise a member who has participated in the initial accreditation or re-accreditation assessment. JI-AT members shall be selected from the roster of experts referred to in paragraph 3 (c) above.

117. The secretariat shall inform the AIE of the composition of the JI-AT (leader and methodology expert(s)). The AIE may object to the composition of the JI-AT, in writing to the JI-AP Chair within six days, identifying and justifying any actual or potential conflict of interest of the JI-AT member(s). If the AIE expresses such objection and the JI-AP Chair finds it valid, the JI-AP Chair, in consultation with the JI-AP and support of the secretariat, shall identify (a) replacement(s) for the JI-AT member(s) in question.

118. The AIE shall submit an electronic copy of the documentation specified in annex 2 "Assessment documentation" at least 1 month prior to the planned assessment date.

119. The secretariat, following the JI-AP's guidance, shall prepare a work plan for the regular on-site surveillance (form F-JI-W) that identifies the areas/focus of the assessment, taking into account the results and the scopes of past assessments of the AIE (e.g. on-site assessment, witnessing activities, performance assessments and spot-checks, if applicable) and information on the AIE's past determinations and/or verifications submitted to the review process under the JISC. The JI-AT shall conduct the regular on-site surveillance in accordance with the work plan.

120. The JI-AT leader shall coordinate the date for the assessment at the AIE's office(s) and/or at any other site(s), taking into consideration the availability of the other team member and the AIE. The AIE shall cooperate with the JI-AT leader in scheduling the assessment. The JI-AT leader shall send the assessment plan to the AIE at least 10 days prior to the assessment.

121. The JI-AT should prepare for the assessment by conducting a review of the documentation submitted by the AIE.

122. The JI-AT shall conduct the assessment at the applicant IE's office in accordance with the assessment plan.

123. If the JI-AT identifies non-conformities and/or observations, it shall prepare during the assessment at the AIE's office(s) and/or at any other site(s) a non-conformity report (form F-JI-NC) for each non-conformity and/or an observation report (form F-JI-OBS) listing all observations.



124. At the end of the assessment at the AIE's office(s) and/or at any other site(s), the JI-AT shall provide the AIE with the details of its assessment of the AIE's compliance with the JI accreditation requirements, the basis/rationale for the non-conformities and/or observations, if any, as described in non-conformity report(s) and/or observation report and any additional comments. The AIE shall have an opportunity to seek clarification and ask questions on the assessment.

125. After the assessment at the AIE's office(s) and/or at any other site(s), the JI-AT shall prepare a draft regular on-site surveillance report (form F-JI-OR) and make it available to the AIE, with any non-conformity report(s) and/or observation report, as applicable, within 10 days.

126. If the JI-AT raised non-conformities that contain issues that undermine the AIE's systems, the draft regular on-site assessment report shall reflect this finding. In this case, the AIE shall provide comments on the report to the JI-AT within six days of receiving the report. The JI-AT shall subsequently finalize the report within six days of receiving the comments and submit it to the JI-AP for its consideration at its next meeting. In such instance, the JI-AP may take a decision as per paragraphs 140-141 below. The AIE is notified of the JI-AP's recommendation in accordance with paragraph 142 below.

127. If the JI-AT has not identified any non-conformity, it shall prepare the draft final assessment report (F-JI-FR) and make it available to the AIE for comments within six days after finalization of the regular on-site surveillance report.

128. If the JI-AT has identified non-conformities, the AIE shall, within 15 days of receiving the draft regular on-site surveillance report, conduct root-cause analysis and propose corrective actions to address the non-conformities, including a timeframe for implementing each action, and submit them to the JI-AT by completing the relevant part of the non-conformity report(s).

129. The JI-AT shall consider the root-cause analysis and the proposed corrective actions and inform the AIE of its acceptance or rejection of all or part of the proposal within six days of receiving them. If the JI-AT finds the root-cause analysis or the proposed corrective action(s) unsatisfactory, or no corrective actions are proposed within the deadline, the AIE shall conduct root-cause analysis and propose (other) corrective action(s) to the JI-AT within 15 additional days. The JI-AT shall consider the root-cause analysis and the revised proposed corrective action(s) within six days of receiving them.

130. If the JI-AT still finds the root-cause analysis or the revised proposed corrective action(s) unsatisfactory, or no revised corrective actions are proposed within the extended deadline, the JI-AT shall prepare the draft final assessment report and make it available to the AIE for comments.

131. The AIE shall consider the draft final assessment report and provide comments to the JI-AT, if any, within six days of receipt.

132. The JI-AT shall complete the final assessment report within six days, taking into consideration the comments provided by the AIE, and submit it, with non-conformity report(s) and/or observation report, if any, to the JI-AP for its decision at its next meeting in accordance with paragraph 140 below.

133. If the JI-AT accepts the proposed corrective actions to all non-conformities, the AIE shall complete the implementation of all accepted corrective actions and submit to the JI-AT the documentary evidence of their implementation and the non-conformity report(s) with the relevant part completed within 30 days of the acceptance of the proposed corrective actions.



134. The JI-AT shall verify the implementation of the accepted corrective actions and complete the relevant part of the non-conformity report(s) within 10 days of receiving documentation demonstrating the implementation.

135. If the JI-AT finds the implementation of the accepted corrective actions satisfactory for all non-conformities, it shall prepare a draft final assessment report and make it available to the AIE for comments, with the non-conformity report(s), within 10 days of receiving documentation demonstrating the implementation.

136. If the JI-AT finds the implementation of any of the accepted corrective actions unsatisfactory, or the AIE fails to provide evidence of it within 30 days, the AIE shall further implement the corrective actions and submit further documentation within 15 additional days. The JI-AT shall verify the further implementation of the corrective actions within six days of receiving the further documentation.

137. If, for at least one non-conformity, the JI-AT still finds the further implementation of the corrective actions unsatisfactory, or the AIE does not further implement the corrective actions or does not provide evidence of their implementation within the extended deadline, the JI-AT shall prepare a draft final assessment report and make it available to the AIE for comments, with the non-conformity report(s), within six days of the extended deadline.

138. The AIE shall consider the draft final assessment report and provide comments to the JI-AT, if any, within six days of receipt.

139. The JI-AT shall, taking into consideration the AIE's comments, complete the final assessment report within six days of receiving the AIE's comments and submit it to the JI-AP with the non-conformity report(s) and observation report, if any.

140. The JI-AP shall, at or before its next meeting, consider the final reports prepared by the JI-AT and decide on one of the following options:

- (a) Seek additional corrective actions from the AIE, providing deadlines for their proposal and implementation and requesting the JI-AT to conduct an assessment of these actions, and report back to the JI-AP for its consideration;
- (b) Inform the JISC of the positive outcome of the regular on-site surveillance;
- (c) Inform the JISC of the negative outcome of the regular on-site surveillance and:
 - (i) Recommend the JISC to suspend the AIE's accreditation for some of the sectoral scopes and determination and/or verification function(s); or
 - (ii) Recommend the JISC to suspend the AIE's accreditation for all sectoral scopes and both determination and verification functions.

141. In addition to the actions undertaken and/or recommended in paragraph 140 above, the JI-AP may also undertake any other appropriate action based on the assessment reports, such as an additional performance assessment.

142. The JI-AP shall inform the AIE of its decision. The AIE may submit an appeal to the JISC against the JI-AP's recommendation to the JISC, in accordance with section J below.



143. The information submitted by the JI-AP to the JISC in accordance with paragraph 140 above shall be considered confidential.

144. The JISC shall consider the JI-AP's recommendation in a closed session at its next meeting, together with, if applicable, the report of the appeal panel and/or the hearing of the AIE and decide on the following options:

- (a) Maintain the AIE's accreditation;
- (b) Suspend the AIE's accreditation for some of the sectoral scopes and determination and/or verification function(s); or
- (c) Suspend the AIE's accreditation for all sectoral scope(s) and both determination and verification functions.

145. The JISC shall inform the AIE of its decision and provide the corresponding reasons. The JISC shall make the decision publicly available in accordance with the rules of procedure of the JISC.

146. The modalities for lifting partial or total suspension of an AIE's accreditation are contained in section K below.



F. Spot-check

147. The JISC may decide to conduct a spot-check of an AIE at any time. Triggers of a spot-check may be:

- (a) A request for review of the AIE's determination or verification in accordance with relevant provisions in the JI guidelines;
- (b) Information received by the JISC on changes that may significantly affect the quality of the operations and performance of the AIE (e.g. its ownership, organizational structure, internal policies and procedures, technical expertise of personnel), implemented but not notified in accordance with section I;
- (c) A JI-AP's recommendation based on:
 - (i) A complaint to the JI-AP alleging the AIE's failure to comply with the accredited system and/or JI accreditation requirements, justified in accordance with annex 4 "Handling of complaints against an AIE";
 - (ii) The result of an AIE's performance assessment;
 - (iii) Any other relevant issues identified by the JI-AP.

148. The reasons that triggered an AIE's spot-check shall remain confidential.

149. The JISC, at its next meeting after receiving the information referred to in paragraph 147 above, shall consider the case in a closed session and decide whether to conduct a spot-check of the AIE. The JISC may also consider whether to immediately suspend the AIE's accreditation under spot-check, provided that the AIE had an opportunity for a hearing.

150. If the JISC decides to conduct a spot-check, it shall agree on the scope of the spot-check and inform the JI-AP. The scope of the spot-check shall include:

- (a) The assessment modality (i.e. assessment based on documentation and/or involving site visit) and location(s) (AIE's office(s) or JI project site);
- (b) Specific focus of the assessment, such as:
 - (i) Quality and operational management of the AIE in relation to its performing determination and verification functions;
 - (ii) Institutional and organisational structure of the AIE, in particular, for performing determination and verification functions in an independent and impartial manner;
 - (iii) Competencies of the AIE to perform determination and verification functions;
 - (iv) Any other areas relevant to assessing the AIE's compliance with the JI accreditation requirements.

151. The name of the AIE under spot-check shall be made public as part of the JISC meeting report.

152. The JI-AP shall consider the case and:

- (a) Establish a JI-AT;



- (b) Prepare a work plan (form F-JI-W) for the JI-AT, which shall include:
 - (i) The reasons that have triggered the spot-check;
 - (ii) The elaboration of the scope of the assessment as referred to in paragraph 150 above;
 - (iii) The timeframe for the assessment.

153. The secretariat shall inform the AIE of the composition of the JI-AT. The AIE may object to the composition of the JI-AT, in writing to the JI-AP Chair within six days, identifying and justifying any actual or potential conflict of interest of the JI-AT member(s). If the AIE expresses such objection and the JI-AP Chair finds it valid, the JI-AP Chair, in consultation with the JI-AP and support of the secretariat, shall identify (a) replacement(s) for the JI-AT member(s) in question.

154. If the spot-check involves a visit to the JI project site, the JI-AP shall send a notification to the AIE before the site visit and request the AIE to coordinate necessary arrangements with the project participant(s).

155. The secretariat shall provide the JI-AT with all documentation relevant to conduct the assessment.

156. The JI-AT shall review the documentation provided by the secretariat, prepare an assessment plan and conduct the assessment according to the work plan.

157. The JI-AT, after completion of the assessment, shall prepare the draft reports of the spot-check within five days and make them available to the AIE for comments. The reports shall contain, as a minimum:

- (a) Relevant assessment reports (forms F-JI-OR, F-JI-PA_{det} or F-JI-PA_{ver});
- (b) Non-conformity report(s), as applicable (form F-JI-NC);
- (c) Final assessment report, including conclusions regarding accreditation or suspension for consideration by the JI-AP.

158. The AIE shall consider the reports of the spot-check and provide comments to the JI-AT, if any, within 6 days of receipt. The JI-AT shall finalize the reports within five days of receiving the AIE's comments.

159. The JI-AP, at its next meeting, shall consider the reports of the spot-check and the AIE's comments and recommend the JISC to:

- (a) Confirm the AIE's accreditation;
- (b) Request the AIE to identify and implement corrective actions to address the identified non-conformities within specified timeframe. The implemented corrective actions shall be verified by the JI-AT through a site visit or a document review as appropriate;
- (c) Partially suspend the AIE's accreditation, specifying the sectoral scope(s) and determination and/or verification function(s) for suspension (partial suspension);
- (d) Fully suspend the AIE's accreditation for all sectoral scopes and both determination and verification functions (full suspension);



- (e) Withdraw the AIE's accreditation for all sectoral scopes and both determination and verification functions.

160. The JI-AP shall inform the AIE of its recommendation. The AIE shall have an opportunity of a hearing in a closed session at the next meeting of the JISC. The AIE may request the JISC to postpone the hearing to a subsequent meeting.

161. The JISC shall consider the JI-AP's recommendation and the information presented by the AIE at the hearing, as applicable, and decide whether to:

- (a) Confirm the AIE's accreditation;
- (b) Request the AIE to address identified non-conformities, specifying timeframe for implementation and modalities of assessment;
- (c) Partially suspend the AIE's accreditation specifying the sectoral scope(s) and determination and/or verification function(s) for suspension (partial suspension), indicating that appropriate corrective actions need to be implemented by the AIE. In accordance with paragraph 42 of the JI guidelines, the suspension is with immediate effect;
- (d) Fully suspend the AIE's accreditation for all sectoral scopes and both determination and verification functions (full suspension), indicating that appropriate corrective actions need to be implemented by the AIE. In accordance with paragraph 42 of the JI guidelines, the suspension is with immediate effect;
- (e) Withdraw the AIE's accreditation for all sectoral scopes and both determination and verification functions. In accordance with paragraph 42 of the JI guidelines, the withdrawal is with immediate effect.

162. The modalities for lifting partial or total suspension of an AIE's accreditation are contained in section K below.



G. Re-accreditation

163. AIEs shall inform the secretariat, at least nine months before the expiry date of their accreditation, whether they wish to apply for re-accreditation.
164. An AIE may request re-accreditation at an earlier time in order to enable the JI-AT to conduct a single accreditation assessment for the purpose of both re-accreditation and initial accreditation for additional sectoral scopes.
165. An AIE that wishes to apply for re-accreditation shall submit to the secretariat the documentation specified in annex 2 “Assessment documentation”. The AIE shall pay a non-reimbursable application fee in accordance with annex 7 “Fees and costs”.
166. The activities to be carried out in the re-accreditation process shall include a desk review of documentation, including an assessment of the AIE’s work performed during the last accreditation term, and an on-site assessment of the AIE’s office indicated in the application form (F-JI-A).
167. The provisions for initial accreditation described in section C above shall apply as applicable for re-accreditation except for the process of call for public comments on the entity (paragraph 24 above) and those stated otherwise below.
168. In application of provisions in paragraph 43 above, the JI-AP may also decide to recommend suspension of the AIE’s accreditation.
169. In application of provisions in paragraph 46 above, the JISC may also decide to suspend the AIE’s accreditation.
170. In application of provisions in paragraph 48 above, the on-site assessment shall be conducted within 30 days.
171. During the on-site assessment of re-accreditation, if the JI-AT has identified non-conformities that contain issues that undermine the AIE’s systems, the draft on-site assessment report shall reflect this finding and be submitted to the JI-AP for its consideration at its next meeting. In such instance, the JI-AP may make a decision as per paragraphs 70 above. The AIE is notified of the JI-AP’s recommendation in accordance with paragraph 72 above.
172. In application of provisions in paragraph 58 above, the AIE shall conduct root-cause analysis and propose corrective actions within 15 days.
173. In application of provisions in paragraph 59 above, the AIE shall conduct root-cause analysis and propose corrective actions within 7 additional days.
174. In application of provisions in paragraph 63 above, the AIE shall complete the implementation of all accepted corrective actions and submit to the JI-AT documentary evidence of their implementation and the non-conformity report(s) with the relevant part completed within 30 days.
175. In application of provisions in paragraph 66 above, the AIE shall further implement the corrective actions and submit further documentation within 15 additional days. The JI-AT shall have six days to verify implementation of the corrective actions.



176. In application of provisions in paragraph 70 above, the JI-AP may also decide to recommend suspension of the AIE's accreditation.

177. In application of provisions in paragraph 74 above, the JISC may also decide to suspend the AIE's accreditation.

178. A performance assessment initiated before the AIE applies for re-accreditation shall continue. The JI-AP may also initiate a new performance assessment after the AIE applies for re-accreditation.

179. In case of a delay in the re-accreditation process, the JI-AP may recommend the JISC to extend accreditation of an AIE for up to six months. The extension shall be granted only if the AIE has applied for re-accreditation within the specified timeline and is not responsible for the delays in the process of re-accreditation.

180. Re-accreditation shall be valid for five years from the date of expiry of the previous accreditation.



H. Accreditation for additional sectoral scope(s)

181. An AIE may submit an application to be accredited for additional sectoral scope(s) at any time.

182. Annex 2 “Assessment documentation” specifies the documentation to be submitted by an AIE applying for accreditation for additional sectoral scope(s).

183. The AIE applying to be accredited for additional sectoral scope(s) shall have the opportunity to request, at the same time, the re-accreditation for the other sectoral scope(s) for which it is already accredited. Provisions of section G shall apply in this case.

184. The AIE may request the JI-AP to combine the on-site assessment related to accreditation for additional sectoral scopes with an upcoming regular surveillance assessment to reduce the associated costs.

185. The JI-AP shall consider the application and decide on the scope of the assessment, taking into account existing sectoral scope(s) accredited for, additional sectoral scopes applied for and previous assessments of the AIE, in order not to impose unnecessary costs on the AIE.

186. The provisions and timelines described in sections C, D and E above shall apply as applicable and in accordance with the scope of the assessment defined by the JI-AP.

187. Accreditation for additional sectoral scopes shall be valid only until the expiry of an AIE’s existing accreditation.



I. Notification of change of status of applicant/accredited independent entity

188. An applicant IE/AIE shall inform the secretariat in writing, at least three months before its implementation, of any planned change that may affect its compliance with the JI accreditation requirements, including significant changes to its:

- (a) Legal, commercial or organizational status, e.g. ownership, partnerships, location of registered office(s);
- (b) Professional staff;
- (c) Management system;
- (d) Allocation of functions internally and/or externally.

189. In case of an unexpected change, the applicant IE/AIE shall notify the secretariat no later than 10 days after the change took place.

190. The JI-AP shall consider the changes notified by the applicant IE/AIE on a case by case basis. The consideration may require additional work to be done by the JI-AP and the JI-AT with possible cost implications to the applicant IE/AIE (for information on costs see annex 7 “Fees and costs”).

191. If an applicant IE/AIE does not notify the secretariat of changes within the deadline, the JI-AP may recommend the JISC to initiate a spot-check or decide to undertake any other appropriate actions.



J. Appeals by applicant/accredited independent entity

192. After being informed of an adverse recommendation by the JI-AP to the JISC, an applicant IE or AIE (appellant) shall have the opportunity to appeal against the recommendation of the JI-AP within six days. Submissions after the six-day deadline shall not be considered.

193. An adverse recommendation by the JI-AP is a recommendation that:

- (a) Affect the accreditation status of an AIE (e.g. withdrawal, partial or full suspension of accreditation);
- (b) Constitute an obstacle for obtaining, maintaining or extending accreditation (e.g. rejection of application for accreditation, rejection of application for extension).

194. The appeal may only be based on the qualification of the JI-AT, non-compliance with the JI accreditation procedure and/or misinterpretation of the JI requirements.

195. The appeal shall be submitted in writing to the secretariat clearly indicating the scope of the appeal.

196. The secretariat shall immediately inform the JI-AP and the JISC of the appeal.

197. The secretariat shall submit to the JISC, for consideration at its next meeting, taking into consideration deadlines for the submission of documents provided for in the rules of procedure of the JISC, a file containing:

- (a) The appeal submitted by the appellant;
- (b) The recommendation of the JI-AP challenged by the appellant;
- (c) A list of five candidates for an appeal panel.

198. The JISC shall consider the file, establish an appeal panel of three members and define the number of working days required for the assessment of appeal and timelines for the submission of the appeal panel report.

199. The appeal panel shall assess whether the appellant's appeal relates to the qualifications of the JI-AT, non-compliance with the JI accreditation procedure and/or misinterpretation of the JI requirements. If the appeal panel concludes that the appellant has not raised an issue related to these elements, the appeal panel shall make a report describing so to the JISC without undertaking a review of the conduct of the assessment activity.

200. If the appeal panel concludes that the appellant has raised an issue related to the qualification of the JI-AT, non-compliance with the JI accreditation procedure and/or misinterpretation of the JI requirements, the appeal panel shall review the conduct of the assessment activity for the purpose of the appeal.

201. The appeal panel shall prepare a report for consideration by the JISC at its next meeting.

202. The JISC shall consider the report from the appeal panel at its next meeting and shall proceed in accordance with the applicable steps of the JI accreditation procedure. The JISC's decision shall be deemed final.



203. Following the JISC's decision, the secretariat shall make available a copy of the report of the appeal panel to the appellant and the JI-AP.



K. Suspension of accreditation

204. The JISC may decide to suspend fully or partially the accreditation of an AIE based on the recommendation of the JI-AP as a result of a performance assessment, regular-on-site surveillance, re-accreditation assessment or spot-check of the AIE as referred in sections D-G above.

205. Prior to any decision on suspension of accreditation is taken, the AIE shall be provided with an opportunity for a hearing. To facilitate the hearing, the secretariat shall provide the AIE with all relevant information that has led the JISC/JI-AP to consider the suspension of accreditation.

206. In case the JISC decides to suspend fully or partially the accreditation of an AIE, it shall indicate to the AIE the modalities for lifting the suspension, including:

- (a) Non-conformities with JI accreditation requirements that need to be addressed;
- (b) Deadline for implementation of corrective actions to resolve the non-conformities, which shall not exceed 12 months;
- (c) Type and time frame of the assessment to verify the implementation of the corrective actions, e.g. through a site visit to the AIE's office and/or to JI project site(s), and/or document review;
- (d) Treatment of the JI Track 2 projects under determination/verification by the AIE and determinations and verifications that the AIE has submitted in the JI Track 2 project cycle.

207. The AIE shall implement corrective actions within the indicated deadline. If the JI-AP does not receive a confirmation of completion of implementation of corrective actions from the AIE within the deadline, it shall either recommend to the JISC that the accreditation status of the AIE be withdrawn or its sectoral scopes and the determination and/or verification functions of accreditation be reduced.

208. The AIE may request the JI-AT to assess the adequacy of proposed corrective actions before their implementation. The AIE may do so twice. In such cases, the JI-AT shall assess the proposed corrective actions and respond to the AIE within three days of the request.

209. After receiving a confirmation and evidence from the AIE that it has implemented all corrective actions, the JI-AT shall verify their implementation in accordance with the time frame indicated by the JISC.

210. The JI-AT, after verifying the implementation of the corrective actions, shall prepare a draft final assessment report and submit it to the AIE for comments within three days of the verification.

211. The AIE shall provide comments on the draft final assessment report within six days of its receipt. The JI-AT shall complete the final assessment report and submit it to the JI-AP within three days of receiving the comments.

212. The JI-AP shall consider the final assessment report and submit to the JISC its recommendation from one of the following options:

- (a) Lift the suspension of accreditation of the AIE;
- (b) Lift the suspension of accreditation of the AIE and request additional performance assessments or follow-up assessments to be performed;



- (c) Maintain the suspension of accreditation of the AIE and allow the AIE to implement further corrective actions within a specified timeframe;
- (d) Withdraw the accreditation of the AIE.

213. The JI-AP shall forward the recommendation and the final assessment report to the AIE. If the recommendation is to withdraw the accreditation, the AIE shall have an opportunity for a hearing at a JISC meeting before any decision is made by the JISC.

214. The JISC shall decide, based on the recommendation of the JI-AP and, if applicable, the information provided by the AIE at the hearing, to:

- (a) Lift the suspension of accreditation of the AIE;
- (b) Lift the suspension of accreditation of the AIE and request the JI-AP to perform additional assessment activities (follow-up visit, performance assessments or early regular on-site surveillance);
- (c) Maintain the suspension of accreditation of the AIE and allow the AIE to implement further corrective actions within a specified timeframe;
- (d) Withdraw the accreditation of the AIE.

215. The secretariat shall inform the AIE of the JISC's decision. The secretariat shall update relevant records and public listings of AIEs, as appropriate.



L. Expiration and withdrawal of accreditation

216. Upon withdrawal or expiration of accreditation, the IE shall not continue performing determinations and verifications.
217. The AIE shall inform, if applicable, any affected clients of the withdrawal or expiration of its accreditation status.
218. Expiration or withdrawal of accreditation of an AIE shall not free the AIE from its contractual arrangement with its client or with the secretariat including costs related to assessment conducted before expiration or withdrawal of accreditation of the AIE.
219. If the JISC withdraws the AIE's accreditation, the IE may re-apply for accreditation.



M. Voluntary withdrawal of application for accreditation or accreditation status

220. An applicant IE/AIE may withdraw its application for accreditation or its accreditation status by submitting a request to the JI-AP through the secretariat.

221. The JI-AP shall consider such requests at its next meeting and will notify the JISC accordingly.

222. The applicant IE/AIE shall inform, if applicable, any affected clients of the withdrawal of its application for accreditation or its accreditation status.

223. Voluntary withdrawal of accreditation by an AIE shall not free the AIE from its contractual arrangement with its clients or with the secretariat, including costs related to assessment conducted before the withdrawal of accreditation of the AIE.



Annex 1. List of sectoral scopes

1. The following list contains the sectoral scopes on which the accreditation is based:
 - (1) Energy industries (renewable/non-renewable sources)
 - (2) Energy distribution
 - (3) Energy demand
 - (4) Manufacturing industries
 - (5) Chemical industry
 - (6) Construction
 - (7) Transport
 - (8) Mining/mineral production
 - (9) Metal production
 - (10) Fugitive emissions from fuels (solid, oil and gas)
 - (11) Fugitive emissions from production and consumption of halocarbons and sulphur hexafluoride
 - (12) Solvents use
 - (13) Waste handling and disposal
 - (14) Land-use, land-use change and forestry
 - (15) Agriculture

2. The listing of sectoral scopes is based on the list of sectors and sources contained in Annex A of the Kyoto Protocol. Scopes from 1 to 9 are industrial sectors and 10 to 13 are sectors based on sources of GHG emissions.

3. The listing of sectoral scope is the same as the one for the accreditation under the CDM except for the scope 14, reflecting paragraph 13 of decision 16/CMP.1.



Annex 2. Assessment documentation

1. For initial accreditation, regular on-site surveillance and re-accreditation assessment, the applicant IE or AIE shall provide the documentation indicated respectively in the following table¹³ to the secretariat:

| Document | Initial accreditation | Regular on-site surveillance | Re-accreditation |
|--|-----------------------|------------------------------|------------------|
| (a) Completed application form (F-JI-A) | X | | X |
| (b) Documentation on its legal entity status (e.g. cooperate registration certificate) | X | | X |
| (c) Analysis of financial resources needed for determination and/or verification work | X | | X |
| (d) Documentary evidence of financial resources (e.g. assets, savings and/or line of credit) | X | | X |
| (e) Externally audited financial statements (e.g. balance sheets, financial results, profit and loss statements) for the last three years. For newly established entities, other relevant documentary evidence (e.g. shareholders commitment) | X | | X |
| (f) Documentary evidence of arrangements to cover the legal and financial risks arising from determination and verification work, including liability insurance documents | X | | X |
| (g) Documentation of the organizational and management structure including definition of responsibilities and allocation of functions of top management, operational management, determination and verification personnel, quality manager and other personnel involved in determination and verification work, including any operational or supervisory committee | X | X | X |
| (h) Names, qualifications, experience and terms of reference of the top management and operational management | X | X | X |
| (i) An organizational chart showing the top management, operational management and lines of authority; | X | X | X |
| (j) Procedure for the allocation of responsibilities within the entity | X | X | X |
| (k) Statement that the IE's operations are in compliance with applicable national laws | X | | X |
| (l) Impartiality policy and procedure | X | X | X |
| (m) Documentation and declaration of all types of actual and potential JI activities that the IE and its related bodies carry out or will carry out, other than determination and verification work, including, at a | X | X | X |

¹³ Except for (a), (hh), (ii), (jj) and (kk), the documents listed in this paragraph are defined in the "Joint implementation accreditation standard" (version 01).



| Document | Initial accreditation | Regular on-site surveillance | Re-accreditation |
|---|-----------------------|------------------------------|------------------|
| minimum, identification, development, financing, marketing and promotion of, and consultancy on JI projects | | | |
| (n) Analysis and declaration of all potential conflict of interest situations that may threaten its impartiality in carrying out determination or verification work; | X | X | X |
| (o) If the IE is a part of a larger organization and where parts of that organization including the IE are, or may become, involved in the identification, development or financing of any JI project: | | | |
| (i) A clear definition of links and relationships between the IE, other parts of that organization and related bodies, demonstrating that no conflict of interest exists; | X | X | X |
| (ii) A demonstration that no actual or potential conflict of interest exists between its functions as an AIE, any other functions that it may have and activities carried out by other parts of that organization and their related bodies, and how business is managed (appropriate measures put in place) to preserve the IE's ability to make impartial judgements and to form impartial opinions in its determination or verification work; | X | X | X |
| (p) Expertise policy | X | X | X |
| (q) Competence criteria for each function of its personnel performing determination and verification work | X | X | X |
| (r) Procedures for qualification, recruitment and monitoring performance of its personnel performing determination or verification work | X | X | X |
| (s) List of personnel qualified for performing determination or verification work, indicating the qualified sectoral scope(s) and technical area(s) | X | X | X |
| (t) Training plan for its personnel performing determination or verification work | X | X | X |
| (u) Procedures for utilizing external personnel and subcontracting, if any, including actual functions delegated | X | X | X |
| (v) Procedure for proposal and contract reviews | X | X | X |
| (w) Procedure for the selection of determination and verification team members and technical experts | X | X | X |
| (x) Procedure for determination and verification work | X | X | X |
| (y) Procedure for internal reviews | X | X | X |
| (z) Procedure for approving final determination and verification opinions and reports | X | X | X |
| (aa) Demonstration of the top management's commitment to the development and implementation of the quality management system | X | X | X |



| Document | Initial accreditation | Regular on-site surveillance | Re-accreditation |
|---|-----------------------|------------------------------|------------------|
| (bb) Quality policy and manual | X | X | X |
| (cc) Procedures for documents control and determination and verification records control | X | X | X |
| (dd) Procedures for internal audits, handling non-conformities, preventive actions and management reviews | X | X | X |
| (ee) Confidentiality procedure | X | X | X |
| (ff) Procedures for handling complaints, disputes and appeals | X | X | X |
| (gg) A declaration that the applicant IE does not have any pending judicial process for malpractice, fraud or other activity incompatible with its determination or verification work | X | | X |
| (hh) Completed self completeness check form (F-JI-SCC) | X | X | X |
| (ii) Schedule of internal audits/management review meetings and impartiality committee meetings (indicating planned and completed meetings) | X | X | X |
| (jj) List of determinations and verifications completed and in process (with the indication of status) | | X | X |
| (kk) Summary of changes since the previous assessment that took place at the IE's office | | X | X |

2. In the case of an application for accreditation for additional sectoral scope(s), the AIE shall submit, as applicable, particular documentation relating to the additional sectoral scope(s) and any documentation listed in paragraph 1 above that have been revised since the submission of the application for initial accreditation or re-accreditation.

3. For a performance assessment of the determination or verification function, the AIE shall provide the documentation indicated respectively in the following table to the secretariat:

| Description | Determination function | Verification function |
|---|------------------------|-----------------------|
| Project Design Document (PDD) | X ¹⁴ | X |
| Date of making PDD publicly available | X | |
| Date of making monitoring report publicly available | | X |
| Proposal and contract review documents | X | X |
| Conflict of interest analysis | X | X |
| Evidence of the impartiality and competence of the AIE's team and internal reviewer | X | X |

¹⁴ All versions of the PDD



| | | |
|--|---|-----------------|
| Monitoring report with working spreadsheet | | X |
| Working spreadsheet (in Excel format) | | X |
| Assessment plan | | X |
| Report of the AIE's team that visited the project site, if applicable | X | |
| Draft determination/verification report to be used for internal review | X | X ¹⁵ |
| Corrective Action Requests (CARs) Clarification Requests (CLRs) and Forward Action Requests (FARs) | X | X ¹⁴ |
| Comments of the internal reviewer on the draft determination report | X | |
| Final determination report | X | |
| Any other documents requested by the JI-AT | X | X |

4. All documentation submitted to the secretariat shall be in English, the working language of the JISC.

¹⁵ Documents to be submitted after the site visit. The draft verification report shall be dully reviewed internally by the AIE.



Annex 3. Criteria and principles for performance assessments

1. The number of performance assessments to be assigned to an AIE shall be determined with the following criteria:
 - (a) At least one performance assessment each year;
 - (b) One performance assessment for each 20 submissions of determinations and verifications under the JI Track 2 project cycle;
 - (c) One performance assessment for two reviews by the JISC of determinations or verifications.

2. The selection of determinations and verifications for performance assessments shall be based on the following general principles:
 - (a) Balance of sectoral scopes for which the AIE is accredited;
 - (b) Balance of project scales;
 - (c) Balance of host Parties and regions;
 - (d) Balance of projects using a JI-specific approach and approved CDM methodology approach regarding the methodology used;
 - (e) Balance of determination and verification functions.



Annex 4. Handling of complaints against an AIE

1. In this annex, a complaint is defined as an expression of dissatisfaction on the performance of an AIE in relation to its JI function(s) from its client's organization or any entity that has submitted comments during the global stakeholder consultation process which were not taken into consideration by the AIE.
2. A complainant shall submit a complaint to the JI-AP, through the secretariat, using the complaint form (JI-F-CD) and supporting documentation. Such complaint shall be submitted only if the complainant has exhausted all possibilities of complaints/disputes/appeal within the AIE's system. The complainant shall present the evidence of that effort among the supporting documentation of the complaint.
3. The secretariat shall acknowledge the receipt of the complaint and establish a complaint committee constituted of secretariat staff.
4. The committee shall have seven days from the receipt of the complaint to request, if necessary, the complainant to submit any relevant information for the initial assessment. The complainant shall submit the requested information within seven days of receiving the request.
5. The committee shall carry out an initial assessment of the complaint and submit its report to the JI-AP for its consideration within fifteen days of receiving the complaint or the additional information, if applicable.
6. If the JI-AP finds that the complaint is not substantiated with appropriate evidence, it shall close the case. The secretariat shall inform this finding to the complainant.
7. If the JI-AP finds based on the initial assessment that the complaint is substantiated, the secretariat shall inform the AIE of the complaint unless it is about a fraud or an unethical behaviour. The secretariat shall provide the AIE with the complaint and the supporting documentation received from the complainant. In situations where the complaint relates to fraud or unethical behaviour, the secretariat may conduct an investigation of the complaint without immediately informing the AIE of the complaint.
8. The AIE shall have seven days from the receipt of the notification of complaint to provide a response to the complaint, including information justifying its opinion/decision and/or behaviour.
9. Based on the information received from all parties, the committee shall have seven days to prepare an assessment report for the consideration by the JI-AP. The committee shall prepare the report even in the absence of a response from the AIE.
10. The assessment report shall comprise a summary of the case with allegations of both parties, an investigation of the alleged facts and a recommendation on whether the complaint is justified or not.
11. A complaint may be considered justified if the assessment reveals that the AIE has not complied with its own accredited system and/or the JI requirements.
12. The secretariat shall inform both parties to the complaint of the outcome of the assessment and the dates when the complaint will be considered by the JI-AP.
13. The JI-AP at or before its next meeting shall consider all relevant information to the complaint including the assessment report prepared by the committee and decide on the case.
14. The JI-AP may decide to conduct an additional assessment, recommend to the JISC on the conduct of a spot-check or suspension of the AIE, or any other relevant action.
15. The JI-AP, through the secretariat, shall inform both parties of the complaints of its decision.



Annex 5. Handling of complaints and disputes from an applicant IE/AIE

1. In this annex, a complaint is defined as an expression of dissatisfaction on the operation of the JI-AP, the secretariat and/or the JI-AT.
2. In this annex, a dispute is defined as a disagreement regarding any decision and/or opinion excluding those within the scope of the appeal as defined in section J “Appeals by applicant/accredited independent entity”.
3. An applicant IE/AIE shall submit a complaint or dispute using the complaint/dispute form (JI-F-CD). The applicant IE/AIE shall provide all necessary documentation supporting its complaint/dispute.
4. The secretariat shall acknowledge the receipt of the complaint/dispute and establish a complaint/dispute committee constituted of secretariat staff. If the complaint/dispute is against the secretariat, members of the committee shall not have been involved in any activity that is subject to the complaint/dispute.
5. The committee shall have seven days from the receipt of the complaint/dispute to request, if necessary, the applicant IE/AIE to submit any relevant information for the initial assessment. The applicant IE/AIE shall submit the requested information within seven days of receiving the request.
6. The committee shall carry out an initial assessment of the complaint/dispute within seven days of receiving the complaint/dispute or the additional information, if applicable.
7. If the committee finds in the initial assessment that the complaint/dispute is not substantiated with appropriate evidence, the committee shall close the case. The secretariat shall inform of this finding to the applicant IE/AIE and the JI-AP accordingly.
8. If the committee finds in the initial assessment that the complaint/dispute is substantiated, the secretariat shall inform, unless a complaint is about an unethical behaviour, the party against which the complaint/dispute is raised. The secretariat shall provide the party with the complaint and its supporting documentation received from the applicant IE/AIE. In situations where the complaint relates to an unethical behaviour, the committee may conduct an investigation of the complaint without immediately informing the party.
9. The party against which the complaint/dispute is raised shall have seven days from the receipt of the notification of complaint/dispute from the secretariat to provide a response to the complaint/dispute, including information justifying its opinion/decision and/or behaviour.
10. Based on the information received from all parties, the committee shall have seven days to prepare an assessment report for the consideration of a complaint/dispute body referred to in paragraph 14 below. The committee shall prepare the report even in the absence of a response from the party against which the complaint/dispute is raised.
11. The assessment report shall comprise a summary of the case with views of both parties, an investigation of the alleged facts and a recommendation on whether the complaint/dispute is justified or not.



12. A complaint/dispute may be considered justified if the assessment reveals, *inter alia*, that:
 - (a) The JI-AP or the secretariat has not complied with the JI accreditation procedure;
 - (b) The JI-AT engaged in an inappropriate behaviour;
 - (c) The applicant IE/AIE disagrees about a non-conformity raised or the validity of a non-closure of a non-conformity.
13. The secretariat shall inform both parties to the complaint of the outcome of the assessment and on when the complaint/dispute will be considered by the complaint/dispute body.
14. The complaint/dispute body shall be:
 - (a) The JI-AP, if the complaint/dispute is against the secretariat or a JI-AT;
 - (b) The JISC, if the complaint/dispute is against the JI-AP.
15. The complaint/dispute body at its next meeting shall consider all relevant information to the complaint/dispute including the assessment report prepared by the committee and shall decide on the case.
16. The complaint/dispute body may decide to re-consider the accreditation assessment report and the non-conformity reports related to the process that triggered the complaint/dispute and /or the qualification of the JI-AT members.
17. The complaint/dispute body, through the secretariat, shall inform both parties to the complaints/dispute of its decision.



Annex 6. Forms used in the JI accreditation process

1. The list below indicates the forms to be filled out by applicant IEs, AIEs, the JI-AP or JI-ATs, step-by-step in the accreditation process. Some forms can be used at several steps. The forms are available on the UNFCCC JI website and may also be requested from the secretariat. Requirements implicit in the questions contained in the forms shall be considered as prescriptive.

Application for accreditation

- F-JI-A = Application for accreditation
- F-JI-SCC = Self completeness check

Desk review

- F-JI-DR = Desk review report
- F-JI-Addoc = List of additional documents/information to be submitted/prepared by applicant IE

On-site assessment

- F-JI-OR = On-site assessment report
- F-JI-NC = Non-conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening, intermediate and closing meetings
- F-JI-MAR = Attendance register for opening and closing meetings
- F-JI-FR = Final assessment report

Performance assessment

- F-JI-MA = Standard agenda for opening and closing meeting (if applicable)
- F-JI-MAR = Attendance register for opening and closing meetings (if applicable)
- F-JI-NC = Non-conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-PA_{det} = Performance assessment report – determination
- F-JI-PA_{ver} = Performance assessment report – verification
- F-JI-PA_{det-a&r} = Performance assessment report – determination for afforestation and reforestation
- F-JI-FR = Final assessment report

Regular on-site surveillance

- F-JI-DOR = Desk review and on-site assessment report
- F-JI-Addoc = List of additional documents/information to be submitted/prepared by applicant IE
- F-JI-NC = Non conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening and closing meeting
- F-JI-MAR = Attendance register for opening and closing meetings
- F-JI-FR = Final assessment report

Spot-check

- F-JI-DR = Desk review report
- F-JI-OR = On-site assessment report
- F-JI-PA_{det} = Performance assessment report - determination
- F-JI-PA_{ver} = Performance assessment report - verification
- F-JI-PA_{det-a&r} = Performance assessment report – determination for afforestation and reforestation



- F-JI-NC = Non conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening and closing meeting (if applicable)
- F-JI-MAR = Attendance register for opening and closing meetings (if applicable)
- F-JI-FR = Final assessment report

Other

- F-JI-W = Work plan for JI-AT
- F-JI-CA = Confidentiality and non-disclosure agreement (for JI-AT members)
- F-JI-FAat = Fee agreement for JI-AT members
- F-JI-EVatl = JI-AT leader/member evaluation input
- F-JI-EVatm = JI-AT member evaluation report
- F-JI-IL = Indicative letter
- F-JI-CD = Complaint/dispute form



Annex 7. Fees and costs

1. This annex provides the structure for fees relating to the accreditation of IEs and the costs for various steps of assessment. This annex explains the cost structure as well as the applicable amount of fees/cost.

Non-reimbursable application fee

2. An applicant IE shall pay a non-reimbursable application fee of USD 15,000.¹⁶ The non-reimbursable application fee is calculated on the basis of the estimated average cost per application. The costs arise from the need to carry out tasks such as organizing and servicing JI-AP meetings, the desk review of the application by the JI-AT (estimated as two work days on average for each member) and related administrative processing. When the desk review requires more than two work days, the secretariat will include the cost in its quotation, payable at the on-site assessment.

3. An applicant IE from a Party not included in Annex I or a Party with economy in transition included in Annex I to the Convention may pay 50 per cent of the non-reimbursable fee when the entity applies for accreditation, provided that the entity states its inability to pay the full fee at application, bearing in mind that the need to meet the standards as contained in paragraphs 1 (c) and (d) of appendix A to the JI guidelines. The remaining 50 per cent of the fee shall be paid once and if the entity is accredited and has started its operation.

4. The non-reimbursable application fee is to be paid at the time the application is submitted. Processing of an application begins when the secretariat has received the fee.

Reimbursement conditions in case of withdrawal of an application

5. If the applicant IE decides to withdraw its application, any cost incurred up to that point will not be reimbursed.

Costs associated with the on-site assessment

6. The applicant IE shall pay directly and individually to the JI-AT members for the following cost items (the dates, schedules and accommodation arrangements are to be coordinated through the secretariat):

- (a) Airfare for each team member on the assessment mission (business class fare in case of flight time being more than four hours);
- (b) United Nations daily subsistence allowance to each team member on the assessment mission (the rate and number of days to be guided by the secretariat).

7. In addition, the applicant IE shall pay directly to the JI-AT members a fee to cover the cost of the work provided by the team members in accordance with the table below in this annex. The secretariat shall provide the applicant IE with the payment instructions and pre-filled receipts indicating the number of JI-AT members and the days of intervention.

Costs associated with performance assessments

¹⁶ In accordance with the "Provisions for the charging of fees to cover administrative costs relating to the activities of the Joint Implementation Supervisory Committee", which is available on the UNFCCC JI website at <<http://ji.unfccc.int>>.



8. The AIE shall pay, directly and individually to the JI-AT members, a fee for the work provided by the JI-AT members in accordance with the table below in this annex. The secretariat shall provide the AIE with the payment instructions and pre-filled receipts indicating the number of JI-AT members and of the work days relating to the intervention.

9. If a performance assessment includes a site visit, the AIE shall also pay directly and individually to the JI-AT members for the following cost items (the dates, schedules and accommodation arrangements are to be coordinated through the secretariat), as applicable:

- (a) Airfare for each member (business class fare in case of flight time being more than four hours);
- (b) United Nations daily subsistence allowance applicable to each member on the assessment mission (the rate and number of days to be guided by the secretariat).

Costs associated with the regular on-site surveillance of an AIE

10. The AIE shall pay directly and individually to the JI-AT members for the following cost items (the dates, schedules and accommodation arrangements are to be coordinated through the secretariat):

- (a) Airfare for each team member on the assessment mission (business class fare in case of flight time being more than four hours);
- (b) United Nations daily subsistence allowance to each team member on the assessment mission (the rate and number of days to be guided by the secretariat).

11. In addition, the AIE shall pay directly to the JI-AT members a fee to cover the cost of the work provided by the team members in accordance with the table below in this annex. The secretariat shall provide the AIE with the payment instructions and pre-filled receipts indicating the number of JI-AT members and the days of intervention.

Costs associated with changes notified by an applicant IE or AIE

12. Notification of changes, which an applicant IE may make during the accreditation process or an AIE may make after being accredited in accordance with section I above, may have cost implications. The JI-AP shall assess on a case-by-case basis whether the notification requires additional assessment by the JI-AT, and if so found, specify work days for each JI-AT member to be involved in the additional assessment.

13. An applicant IE shall not be charged any additional fee for these changes if the applicant IE notifies the secretariat of the change(s) before the JI-AT members have signed the confidentiality and non-disclosure agreements (form F-JI-CA). If the applicant IE notifies the secretariat of the change(s) after the JI-AT started a desk review, the JI-AP may decide to charge additional fees to the applicant IE. The additional fee is to cover additional work by the JI-AT members and additional operational costs.

Costs of spot-checks

14. The costs of a spot-check shall be covered by the AIE concerned. The secretariat will provide the AIE with an itemized quotation. The AIE shall pay in advance. If the payment is not received within 30 days of receiving the quotation, the secretariat shall inform the JI-AP and the accreditation of the entity is automatically and immediately suspended.



Costs of an appeal

15. The costs of an appeal shall be covered by the applicant IE or AIE (appellant) concerned. The secretariat will provide the appellant with an itemized quote for an “appeals fee”. The appellant shall pay in advance. The appeal panel will not consider the appeal until the payment is received. If the fee is not received within 30 days after the quote was provided, the appeal will be deemed withdrawn.

16. If the JISC finds that the appeal has merit, the entire “appeals fee” payment shall be refunded to the appellant.



Indicative level of fees to be paid by applicant IE or AIE to JI-AT members¹⁷

| Task | Number of days | | Total cost (No. of days × daily fee ¹⁸) (USD) |
|---|----------------|------------------------------|---|
| | Team leader | Team member | |
| <i>Desk review¹⁹</i> | | | |
| Preparation of desk review report (F-JI-DR) | 2 | 2 (1 day × 2 members) | Included in application fee |
| <i>On-site assessment¹⁹</i> | | | |
| Assessment at entity's office | 2 | 4 (2 days × 2 members) | 2,400 |
| Preparation of on-site assessment report (F-JI-DR) | 1 | 1 (0.5 day × 2 members) | 800 |
| Verification of implementation of CAs to address NCs ²⁰ | 1 | 1 (0.5 day × 2 members) | 800 |
| Preparation of final assessment report (F-JI-FR) | 1 | 1 (0.5 day × 2 members) | 800 |
| <i>Performance assessment</i> | | | |
| Preparation of performance assessment report (F-JI-PAdet or F-JI-Paver) <u>if no site visit</u> | 2.5 | 2.5 (2.5 days × 1 member) | 2,000 |
| Preparation of performance assessment report (F-JI-PAdet or F-JI-Paver) <u>including a site visit</u> | 3.0 | 3.0 (3.0 days × 1 member) | 2,400 |
| Verification of implementation of CAs to address NCs ²⁰ | 1 | 0.5 (0.5 day × 1 member) | 600 |
| Preparation of final assessment report (F-JI-FR) | 1 | 0.5 (0.5 day × 1 member) | 600 |
| <i>Regular on-site surveillance²¹</i> | | | |
| Preparation of desk review report (F-JI-DR) | 2 | 1 (1 day × 1 member) | 1,200 |
| Assessment at entity's office | 2 | 2 (2 days × 1 member) | 1,600 |
| Preparation of regular on-site surveillance report | 1 | 0.5 (0.5 day × 1 member) | 600 |
| Verification of implementation of CAs to address NCs ²⁰ | 1 | 0.5 (0.5 day × 1 member) | 600 |
| Preparation of final assessment report | 1 | 0.5 | 600 |

¹⁷ The number of work days indicated in this table shall apply unless a team leader makes a motivated request to the JI-AP that more time is required and the JI-AP agrees to such request. In such a case the applicant IE or AIE would be informed and will have the opportunity to decide whether or not to proceed with the application.

¹⁸ The daily fee rate is determined by the JISC and is presently set to be USD 400 per day.

¹⁹ Desk review and on-site assessment are typically undertaken by (the same) three JI-AT members including the team leader.

²⁰ Applies only when (a) non-conformity(ies) are identified.

²¹ The scope of the regular on-site surveillance may vary depending on the AIE and is to be determined by the JI-AP through the work plan for the JI-AT. The items listed here are merely indicative.



| | | | |
|--|---------------------------------|---------------------------------|---------------------------------|
| (F-JI-FR) | | (0.5 day × 1 member) | |
| <i>Other</i> | | | |
| Additional assessment activity ²² | To be specified by the JI-AP | To be specified by the JI-AP | To be specified by the JI-AP |

History of the document

| Version | Date | Nature of revision |
|---|--|---|
| 07 | JISC 26, annex xx XX September 2011 | Granting accreditation after a successful on-site assessment and replacing witnessing activities with performance assessments; Modifying the scope of the desk-review and on-site assessment. |
| 01 | JISC 04, annex 1 15 September 2006 | Initial adoption (effective as of 15 November 2006) |
| Decision Class: Regulatory Document Type: Procedure Business Function: Accreditation | | |

²² Applies to any additional assessment activities by JI-ATs after the completion and payment of fees for desk review and on-site assessment. Such additional assessment activities include e.g. assessments prompted by notifications of changes, spot-checks and appeals in accordance with relevant provisions of the JI accreditation procedure.