



# PROCEDURE FOR ACCREDITING INDEPENDENT ENTITIES BY THE JOINT IMPLEMENTATION SUPERVISORY COMMITTEE

(Version 01)

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## A. Introduction

1. In accordance with the guidelines for the implementation of Article 6 of the Kyoto Protocol (JI guidelines),<sup>1</sup> the Joint Implementation Supervisory Committee (JISC) shall accredit independent entities (IEs) responsible for making determinations regarding project design documents (PDDs) and greenhouse gas emission reductions or enhancements of removals by sinks of joint implementation (JI) projects.
2. This document (hereinafter referred to as JI accreditation procedure) contains the procedure to operationalize the accreditation of IEs by the JISC. It has been elaborated in accordance with paragraph 2 (b) of decision 10/CMP.1<sup>2</sup> as well as paragraphs 3 (b) and appendix A, and taking into consideration paragraphs 13, 30 and 42-45, of the JI guidelines. The JISC may revise this JI accreditation procedure. The JISC shall inform any accredited IE (AIE), any applicant IE and any IE of any such revision. Any revision shall be immediately made public on the UNFCCC JI website.<sup>3</sup> A revised JI accreditation procedure supersedes any previous version of this document as of the date indicated on the document. A revision to a step in the procedure shall not be applied retroactively if an applicant IE started to undergo the step of the procedure before the relevant revision took effect.
3. Figure 1 illustrates the scheme for the JI accreditation procedure. The responsibility of each actor in this scheme, as elaborated in section C below, is as follows:
  - 3.1 The **JISC** accredits IEs in accordance with the standards and procedures contained in Appendix A of the JI guidelines;<sup>4</sup>
  - 3.2 The **JI Accreditation Panel (JI-AP)** is responsible for preparing a recommendation to the JISC regarding the accreditation of an applicant IE based on the assessment work conducted by a JI assessment team (JI-AT). The JI-AP is also responsible for preparing recommendations regarding unscheduled surveillance, suspension and withdrawal of accreditation, re-accreditation and accreditation for additional sectoral scope(s). The JI-AP provides guidance to and approves the workplan of each JI-AT;
  - 3.3 A **JI-AT**, under the guidance of the JI-AP, undertakes the detailed assessment of an applicant IE and/or AIE, identifies non-conformities and reports to the JI-AP. A JI-AT shall be established by the JI-AP, which will draw team members from a roster of experts established by the JISC for this purpose. For witnessing purposes, the team shall include a methodological expert selected from a separate roster of methodological experts;
  - 3.4 The **secretariat** supports the implementation of the JI accreditation procedure.
4. The assessment of an applicant IE consists of three main elements:
  - 4.1 **Desk review** by a JI-AT of the documentation submitted by an applicant IE against the JI accreditation requirements;

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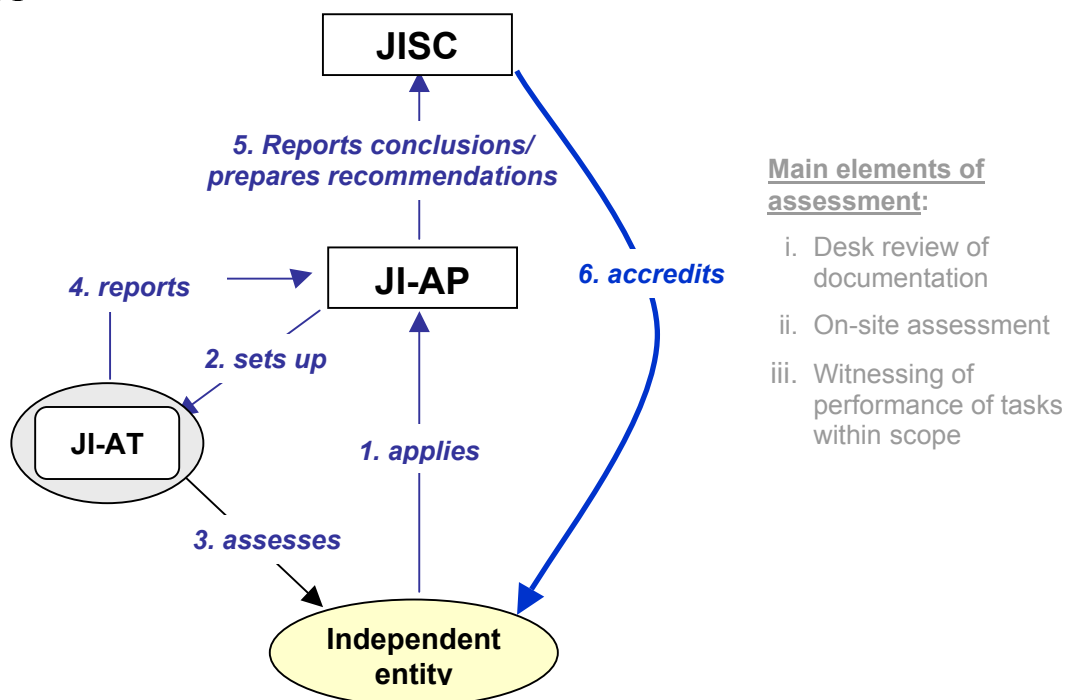
<sup>1</sup> Annex to decision 9/CMP.1, contained in FCCC/KP/CMP/2005/8/Add.2 available on the UNFCCC website <<http://unfccc.int/documentation/items/2643.php>> or <<http://ji.unfccc.int>>.

<sup>2</sup> The COP/MOP, 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 of 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”.

<sup>3</sup> <<http://ji.unfccc.int>>.

<sup>4</sup> Applicant independent entity (applicant IE) = application has been duly submitted/subject to a procedure contained in this document; Accredited independent entity (AIE) = after accreditation by the JISC.

- 4.2 **On-site assessment** on the premises of the applicant IE by the JI-AT. The purpose of this assessment is to confirm whether the operational capability of the applicant IE meets the requirements provided in the documentation provided by the applicant IE. The assessment is to provide the assurance that the applicant IE has the capacity to perform the tasks relating to the sectoral scope(s) of accreditation for which it has applied. The accreditation shall apply only to those premises where the on-site assessment took place. Any other part of that IE is not accredited.
- 4.3 **Witnessing** by the JI-AT of the performance of tasks by an applicant IE<sup>5</sup> that relate to the scope of accreditation applied for (for more information on scope of accreditation see section B). The purpose of a witnessing activity is to assess whether an applicant IE is implementing its tasks in line with its documented policy and procedures, including its procedures for performing the determination regarding PDDs and the determination of emission reductions or enhancements of removals by sinks of JI projects within the scope applied for. The scope of witnessing shall include assessment of substantive decision-making capacity of the IE. Witnessing activities at the stage of the determination regarding PDDs, and, if appropriate, at the stage of the determination of emission reductions or enhancements of removals by sinks, may be undertaken by considering documentary evidence (e.g. a procedural report) provided by the applicant IE. The JI-AP shall try to schedule witnessing activities in a manner which minimizes costs for an applicant IE. Determination activities, witnessed during the accreditation procedure, are considered valid if the applicant IE is successfully accredited by the JISC.
5. The JISC shall conduct an unscheduled surveillance (“**spot-check**”) at any time with a view to assessing whether an AIE still meets the accreditation requirements. A “spot-check” is an unscheduled assessment activity of the JI-AP and JI-AT, on the basis of which the JI-AP shall prepare a recommendation to the JISC. The JISC shall take a final decision on the status of accreditation of an AIE that has undergone a “spot-check” (for more information see section C.2).

**Figure 1**

<sup>5</sup> The tasks witnessed shall be carried out on proposed and/or registered JI projects, as applicable.

## B. Scope of accreditation

### B.1. Definition of scope of accreditation

6. The scope of accreditation of an AIE refers to both its functions (determination regarding PDDs or determination of emission reductions or enhancements of removals by sinks) and its sectoral scope. The scope with regard to functions specifies whether an AIE may undertake either determinations regarding PDDs, or determinations of emission reductions or enhancements of removals by sinks, or both. The sectoral scopes document<sup>6</sup> specifies (a) the areas in which an AIE may perform the determination regarding PDDs and/or the determination of emission reductions or enhancements of removals by sinks, and (b) the requirements that the AIE shall meet in addition to those listed in appendix A to the JI guidelines.

#### B.1.1. Phasing of accreditation

7. In principle, an IE can only be accredited for both functions if a witnessing activity in a sectoral scope has been successfully undertaken in each of the two functions.
8. The accreditation of an IE may be undertaken in phases, both in functions and sectoral scope(s) and shall be recommended on the basis of sectoral groups<sup>7</sup>. The phasing of accreditation depends on the successful completion of a witnessing activity for a particular sectoral group of a specific function. The successful completion of a witnessing activity in one function (e.g. determination regarding PDD) for a sectoral group may allow the entity to be eligible for accreditation for the other function (e.g. determination of emission reductions or enhancements of removals by sinks) in the same sectoral group, once the IE is accredited for that other function in other sectoral group(s). Consequently this may lead to the accreditation of both functions for all the sectoral groups concerned. However, the accreditation of all the sectoral scopes applied for by an IE shall be completed only if witnessing activity of at least one large-scale project is included.
9. An IE may apply to be accredited for at least one sectoral scope.
10. An AIE may apply to be accredited for additional sectoral scope(s).

### B.2. Procedure to develop the list of sectoral scopes of accreditation

11. The JISC, on the basis of a recommendation by the JI-AP, shall establish a list of sectoral scopes of accreditation defining, for each sectoral scope, the requirements to be met in addition to those listed in Appendix A of the JI guidelines. The list will be available electronically on the UNFCCC JI website under the section “Accredited Independent Entities”.
12. The JI-AP may add (a) new sectoral scope(s) to the list of sectoral scopes.
13. In addition, an applicant IE may propose (a) new sectoral scope(s) for which it wishes to apply.
14. The IE that wishes to propose (a) new sectoral scope(s) shall submit, together with its application, a brief description of each of the proposed sectoral scope(s) including the proposed requirements that an IE shall meet in addition to those listed in Appendix A of the JI guidelines.

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<sup>6</sup> P-JI-ACCR-03

<sup>7</sup> The JI-AP may group the sectoral scopes into sectoral groups in order to facilitate the witnessing activities.



15. At the meeting at which the JI-AP considers the application file (see section C.1), it shall, prior to considering any other part of the application documentation:
  - 15.1 Consider any new sectoral scope(s) proposed by the applicant IE;
  - 15.2 Define, taking into account the possibility of revising existing scope(s), new sectoral scope(s), if applicable.
16. If the JI-AP defines a new sectoral scope without modifications to the proposal made by the applicant IE, it proceeds with the JI accreditation procedure (see section C.1) by considering the application file. The newly defined sectoral scope(s) shall be registered in the list of sectoral scopes.
17. If the JI-AP has modified a sectoral scope proposed by the applicant IE, the modified sectoral scope shall be registered as a new sectoral scope in the list of sectoral scopes and the JI accreditation procedure shall apply with the following modifications:
  - 17.1. The JI-AP shall preliminarily consider the application documentation in accordance with the JI accreditation procedure and provide a list of the additional requirements and/or documentation to be submitted with regard to functioning for the new sectoral scope(s).
  - 17.2. The applicant IE shall be informed of:
    - 17.2.a. The new sectoral scope(s);
    - 17.2.b. The additional requirements and/or documentation required, if applicable.
18. The secretariat shall make the revised list of sectoral scopes publicly available on the UNFCCC JI website and announce it through the UNFCCC JI News facility without delay. Any applicant IE or AIE shall be given an opportunity to apply for additional sectoral scope(s) within six months, without paying an additional application fee, after the date the revised list of sectoral scopes is made publicly available. (For information on costs see Annex 2 “Fees and costs”).
19. In accordance with the accreditation procedure, the applicant IE shall reply in writing within six working days after the date it received the information in accordance with paragraph 17.2 of the JI accreditation procedure whether it wishes to proceed with its application for the new sectoral scope(s) or withdraw its application.
20. The secretariat shall publish the name of the applicant IE and the sectoral scope(s) applied for by the applicant IE on the UNFCCC JI website. Parties, non-governmental organizations (NGOs) accredited with the UNFCCC, or stakeholders shall have 15 days to provide to the secretariat any comments or information on the applicant IE. The secretariat shall make the comments/information publicly available immediately after the end of the 15 day period.
21. The accreditation procedure (see section C.1) shall be implemented thereafter.

## C. Accreditation, unscheduled surveillance, re-accreditation and notification of changes

### C.1. Accreditation

22. The accreditation procedure comprises the following main steps:<sup>8</sup>
  - 22.1 The submission of application documents for accreditation by an applicant IE;
  - 22.2 The completeness check of the application documents by the secretariat
  - 22.3 The preliminary consideration of the application documents and setting-up of JI-AT by the JI-AP;
  - 22.4 The desk review by a JI-AT of the documentation provided by the applicant IE;
  - 22.5 On-site assessment by the JI-AT on the premises of the applicant IE;
  - 22.6 A number of witnessing activities by the JI-AT as requested by the JI-AP, to assess whether the applicant IE can perform tasks relating to the determination regarding PDDs and the determination of emission reductions or enhancements of removals by sinks as an AIE in the scope(s) of accreditation for which it has applied;
  - 22.7 The reporting of the JI-AT to the JI-AP;
  - 22.8 The recommendation on accreditation by the JI-AP to the JISC;
  - 22.9 The decision by the JISC on accreditation.
23. An IE shall submit to the JI-AP through the secretariat a completed application form (F-JI-A)<sup>9</sup> and all the documentation specified in Annex 1 “Application documents”.<sup>10</sup> Unless otherwise stipulated in the JI accreditation procedure, all information, communications and meetings shall be confidential.
24. The secretariat shall start processing an application upon receipt of the non-reimbursable application fee. As the costs of accreditation are to be borne by the applicant IE (see Annex 2 “Fees and costs”), the related step in the accreditation procedure shall only be implemented once payments are received. The processing of applications shall commence and proceed in the order in which the application fees are received.
25. The secretariat shall check the completeness and adequacy of documents and information submitted against requirements. If the documentation is not found complete and/or adequate, the secretariat shall inform the applicant IE of the missing elements it has identified. The accreditation procedure shall be continued once all documentation is received.
26. The secretariat shall publish the name of the applicant IE and the sectoral scope(s) applied for by the applicant IE on the UNFCCC JI website. Parties, NGOs accredited with the UNFCCC, or stakeholders shall have 15 days to provide to the secretariat any comments or information on the applicant IE. The secretariat shall make the comments/information publicly available immediately after the end of the 15-day period. If the applicant IE proposes new sectoral scope(s), this information shall be published in accordance with the procedure in section B.2.

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<sup>8</sup> The accreditation procedure shall be implemented using, to the extent possible, teleconferencing and electronic communication facilities.

<sup>9</sup> Requirements implicit in the questions contained in the forms shall be considered as prescriptive and as explicit provisions reflecting the intention of the generic provisions described in appendix A of the JI guidelines. The list of forms is available in the Annex 3 “Forms used in the JI accreditation process” of the present document. The application form is available on the UNFCCC JI website <<http://ji.unfccc.int>> in the section “Accredited independent entities” or can be requested from the secretariat.

<sup>10</sup> The JI-AP shall only accept the application from a legal entity but not from a section thereof. A person who is formally authorized to represent the legal entity shall submit the application.



27. The applicant IE shall inform the JI-AP through the secretariat in writing of any change pertaining to the information submitted and/or required for accreditation. Depending on the nature and timing of the changes, there may be an associated cost (see Annex 2 “Fees and costs”).
28. If the application documents are complete and adequate, the secretariat shall prepare an application file and send it to the JI-AP to be in time for consideration by the JI-AP at its next meeting. The file shall contain:
  - 28.1 All application documents;
  - 28.2 Suggestions with regard to:
    - 28.2.a. A list of possible candidates for the JI-AT (identifying those qualified as team leaders);
    - 28.2.b. A draft workplan for the JI-AT. The draft workplan shall include any particular issues for the JI-AP to consider.
29. The JI-AP shall:
  - 29.1 At its next meeting, review the application documentation preliminarily and, as appropriate, consider and review the particular issues identified for the assessment. The JI-AP may decide to review the application documentation electronically;
  - 29.2 Select the members of the JI-AT and identify the JI-AT team leader. A JI-AT shall consist of at least three members, including the team leader. The size of a JI-AT may vary depending on the size of the applicant IE, the documentation submitted and the sectoral scope(s) of accreditation applied for;
  - 29.3 Finalize the workplan for the accreditation.
30. The JI-AP shall inform the applicant IE, through the secretariat, of the composition of the JI-AT. The applicant IE may object to the composition of the JI-AT, in writing to the JI-AP through the secretariat within six working days, identifying any alleged conflict of interest of the JI-AT member(s). In a case where the JI-AP finds the objection substantiated, it shall identify replacement(s) for the JI-AT member(s) in question.
31. Each JI-AT member shall sign a confidentiality and non-disclosure agreement (form F-JI-CA).

#### ***Desk review***

32. The JI-AP shall provide the JI-AT with:
  - 32.1 All information relating to the application;
  - 32.2 The conclusions of its preliminary review of the application;
  - 32.3 The reviewed and, if necessary, revised draft workplan for the JI-AT.
33. The JI-AT shall undertake the desk review of the documentation provided by the applicant IE and prepare the desk review report (form F-JI-DOR).<sup>11</sup>
34. The team leader, in consultation with his/her team, shall identify inadequate documentation, if necessary, and request the applicant IE to provide additional documents and information in this regard (form F-JI-Addoc).

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<sup>11</sup> Requirements implicit in the questions contained in the forms shall be considered as prescriptive and as explicit provisions reflecting the intention of the generic provisions described in appendix A of the JI guidelines.



35. The applicant IE will be informed of the inadequate documentation through the secretariat. The applicant IE shall have 10 working days to send the requested additional documents and information prior to the on-site assessment. Even if the applicant IE does not provide such documents and information on time the on-site assessment shall still be planned and carried out in accordance with the procedure, but adequate time shall be allocated at the on-site assessment to study the requested additional documents and information on-site. All issues of inadequacy shall be resolved by the end of the on-site assessment.
36. The team leader, through the secretariat, shall make the final desk review report available to the applicant IE within 30 days from the receipt of documentation and information in accordance with paragraph 32 above. In case inadequate documentation is identified and the provision of additional documents and information is requested to the applicant IE in accordance with paragraph 34-35 above, the deadline may be extended accordingly.

### *On-site assessment*

37. The team leader, taking into consideration the availability of the team members and the applicant IE, shall coordinate the date for the on-site assessment. The secretariat shall facilitate the coordination of the on-site assessment.
38. The on-site assessment shall consist of the following steps:<sup>12</sup>
- 38.1 An opening meeting, chaired by the JI-AT team leader, attended by the JI-AT, the applicant IE's management, managers of the units to be involved in the assessment and the person identified by the applicant IE as the official contact person for the JI-AT. In this meeting, the JI-AT shall explain its assessment activities;
- 38.2 An assessment by the JI-AT of the operational capability of the applicant IE against the requirements:
- 38.2.a. Contained in the JI guidelines;<sup>13</sup>
- 38.2.b. Relating to the particular sectoral scope(s) for which the applicant IE applied;
- 38.2.c. Relevant decisions and clarifications issued by the JISC and the JI-AP;<sup>14</sup>
- 38.3 A closing meeting, at the end of the on-site assessment, attended by the JI-AT and the applicant IE's management to inform the applicant IE of the details of its assessment regarding conformity with the JI accreditation requirements, basis for non-conformities if any and any additional comments. The applicant IE shall have the opportunity to seek clarification and ask questions. The JI-AT leader shall remind the representatives of the applicant IE that, in accordance with the JI accreditation procedure:
- 38.3.a. The applicant IE shall have opportunities to provide comments at later steps as described in the JI accreditation procedure;
- 38.3.b. The final recommendation to the JISC will be made by the JI-AP;
- 38.3.c. The applicant IE may appeal to the JISC against the recommendation of the JI-AP.
39. After completion of the on-site assessment, the JI-AT shall have 30 days to prepare the draft on-site assessment report (form F-JI-DOR).

<sup>12</sup> Forms to be used for the on-site assessment are listed in Annex 3 "Forms used in the JI accreditation process".

<sup>13</sup> Contained in Appendix A of the JI guidelines.

<sup>14</sup> For relevant decisions and clarifications please refer to the UNFCCC JI website <<http://ji.unfccc.int>>.





40. The applicant IE, after the receipt of the draft on-site assessment report, shall have 30 days to identify corrective actions to resolve non-conformities (form F-JI-NC), including timeframes for each action, and submit it to the JI-AT through the secretariat, or to withdraw its application. All actions identified shall be completed within six months from the identification of corrective actions. If actions are not completed within six months, the application for accreditation is automatically rejected. The applicant IE may submit a new application for accreditation.
41. Once the applicant IE has submitted documentation affirming that it has completed the corrective actions identified, the JI-AT shall have 30 days to verify the implementation of all the actions to address non-conformities and finalize the on-site assessment report, and prepare, with the assistance of the secretariat, a preliminary assessment report (form F-JI-PR). The preliminary assessment report shall contain as a minimum:
  - 41.1. The date(s) of the assessment(s);
  - 41.2. The name(s) of the JI-AT members, identifying those responsible for the report;
  - 41.3. The name(s) and address(es) of all the relevant applicant IE sites assessed during the on-site assessment;
  - 41.4. An assessment of the competence, experience and substantive decision-making capacity of the applicant IE in the sectoral scope(s) assessed (include a list of the names of key staff involved, their qualifications, experience and authority);
  - 41.5. An assessment of the adequacy of the internal organization and procedures adopted by the applicant IE ensuring confidence in the quality of its services;
  - 41.6. An assessment of the conformity of the applicant IE with the accreditation requirements, in particular with regard to key issues identified by the JI-AP and, where applicable, any useful comparisons with the results of previous assessments of the applicant IE;
  - 41.7. A description of non-conformities and corrective actions implemented by the applicant IE.
42. The JI-AT shall, upon completion, make the preliminary assessment report available to the applicant IE through the secretariat. The applicant IE shall have six working days to provide comments on the on-site assessment report and preliminary assessment report.
43. The JI-AT shall prepare its final assessment report (form F-JI-FR) and submit it to the JI-AP through the secretariat within 10 days after the deadline for commenting by the applicant IE referred to in paragraph 42 above.
44. The final assessment report shall contain, as a minimum:
  - 44.1. The preliminary assessment report;
  - 44.2. A description of the actions taken by the applicant IE to correct non-conformities identified in the preliminary assessment report;
  - 44.3. Comments of the applicant IE on the preliminary assessment report and a description of how they have been addressed by the JI-AT.
45. JI-AP shall decide whether to issue a letter to the applicant IE indicating the successful completion of the desk review and the on-site assessment in accordance with the provisions contained in section C.5.

### ***Witnessing activities***

46. The applicant IE shall identify witnessing opportunities by filling in the form for identification of witnessing opportunities (form F-JI-WOI). The JI-AT team leader shall approve the witnessing activities and prepare the workplan.
47. A JI-AT shall only accept witnessing opportunities, identified by the applicant IE, for which the applicant IE has not yet started performing functions.

48. Each witnessing activity<sup>15</sup> identified in the workplan shall be carried out by a minimum of two suitably qualified members of the JI-AT. One member of the team shall be a methodology expert. The methodology expert shall be responsible for the assessment of the aspects relating to substantive decision-making capabilities of the applicant IE.
49. The witnessing activities shall be based on documentary evidence of an applicant IE performing the functions of determination regarding PDDs and/or determination of emission reductions or enhancements of removals by sinks relevant to the sectoral scope(s) of accreditation. A team leader may, on an exceptional basis, request the inclusion of an on-site visit to the applicant IE premises or to the project site in the witnessing activity. Such a request shall require approval from the JI-AP.
50. Each JI-AT member shall prepare a separate witnessing activity report and submit it to the team leader through the secretariat within 10 days from the receipt of the documentary evidence. The team leader shall consolidate separate witnessing activity reports received into one report. The witnessing activity reports shall include an evaluation of the performance of tasks by the applicant IE with regard to:
  - 50.1. The sectoral scope(s) sought;
  - 50.2. Its knowledge of JI specific requirements and the relevant steps in the JI project cycle according to the JI guidelines;
  - 50.3. Substantive decision-making capabilities of the applicant IE.
51. The JI-AT may determine the need for additional witnessing activities for a particular sectoral scope not foreseen in its workplan. In this case, it shall prepare a draft revision of its approved workplan and submit it to the JI-AP for approval. After the approval of the draft revised workplan by the JI-AP, the provisions of the accreditation procedure for identifying witnessing opportunities shall apply.
52. The JI-AT shall, within 21 days after each witnessing activity is completed, prepare a draft preliminary assessment report (form F-JI-PR) based on the witnessing activity report. Within this period, the JI-AT may request for additional information/clarification from the applicant IE. The preliminary assessment report shall contain as a minimum:
  - 52.1. The date(s) of the assessment(s);
  - 52.2. The name(s) of the JI-AT members, identifying those responsible for the report;
  - 52.3. The name(s) and address(es) of all the relevant applicant IE sites assessed (on-site assessment);
  - 52.4. The sectoral scope(s) assessed;
  - 52.5. An assessment of the competence, experience, and substantive decision-making capacity of the applicant IE in the sectoral scope(s) assessed, including the names of key staff involved and their qualifications, experience and authority;
  - 52.6. An assessment of the adequacy of the internal organization and procedures adopted by the applicant IE ensuring confidence in the quality of its services;
  - 52.7. A description of the determinations regarding PDDs and the determinations of emission reductions or enhancements of removals by sinks witnessed;
  - 52.8. A description of the conformity of the applicant IE with the accreditation requirements, in particular with regard to key issues identified by the JI-AP and, where applicable, any useful comparisons with the results of previous assessments of the applicant IE;
  - 52.9. Identification and description of non-conformities with requirements relating to the sectoral scope(s) of accreditation.
53. The JI-AT shall, upon completion, make the witnessing activity report and the draft preliminary assessment report available to the applicant IE through the secretariat.

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<sup>15</sup> Forms used in a witnessing activity are listed in Annex 3 “Forms used in the JI accreditation process”.



54. The applicant IE shall:
  - 54.1. Consider the draft preliminary assessment report of the JI-AT;
  - 54.2. Have 30 days after the receipt of the draft preliminary assessment report to identify corrective actions to resolve non-conformities (form F-JI-NC), including timeframes for each action, and submit it to the JI-AT through the secretariat, or to withdraw its application. All actions identified shall be completed within six months from the identification of corrective actions. If actions are not completed within six months, the application for accreditation is automatically rejected. The applicant IE may submit a new application for accreditation.
55. The applicant IE may propose witnessing activities (form F-JI-WOI) in other sectoral scopes or function at any time.
56. The JI-AT shall have 30 days from the receipt of information on corrective actions completed to verify the implementation of all the actions to resolve non-conformities and finalize the preliminary assessment report and make it available to the applicant IE.
57. The applicant IE shall have the opportunity to comment within six working days on the updated preliminary assessment report.
58. The JI-AT shall prepare its final assessment report (form F-JI-FR) and submit it to the JI-AP through the secretariat within 10 days after the deadline for commenting by the applicant IE referred to in paragraph 57 above. The final assessment report shall contain, as a minimum, the following:
  - 58.1. The preliminary assessment report;
  - 58.2. A description of the actions taken by the applicant IE to correct non-conformities identified in the preliminary assessment report;
  - 58.3. Comments of the applicant IE on the preliminary assessment report and a description of how the comments have been addressed by the JI-AT;
  - 58.4. Conclusions regarding accreditation for consideration by the JI-AP.
59. The JI-AP shall consider the final assessment report by the JI-AT and submit to the JISC:
  - 59.1. The final assessment report by the JI-AT;
  - 59.2. Its considerations and conclusions regarding accreditation;
  - 59.3. Its recommendation as to whether to accredit the applicant IE.
60. The JI-AP shall inform the applicant IE of its recommendation. The applicant IE shall have six working days to appeal against the recommendation or to withdraw its application. An appeal shall be submitted to the JISC in accordance with the provisions contained in section C.7.
61. The information submitted by the JI-AP to the JISC regarding accreditation of an applicant IE shall be considered as confidential.
62. The JISC shall consider the submission by the JI-AP in a closed session at its next meeting. The rules of procedure of the JISC regarding the availability of documents prior to its meetings shall apply.
63. The JISC shall decide whether to:
  - 63.1. Accredit the applicant IE as an AIE specifying the sectoral scope(s) and function; or
  - 63.2. Reject the application and provide an explanation for the rejection.
64. The JISC shall inform the applicant IE of its decision and make the decision publicly available in accordance with the rules of procedure of the JISC.



65. The accreditation of the IE for any sectoral scope shall be valid for three years from the date of accreditation by the JISC. The accreditation shall be valid until the expiry date. No regular surveillance shall be undertaken within this three-year period. Unscheduled surveillance (“spot-check”) shall, however, be undertaken in accordance with the provisions contained in section C.2.
66. An AIE shall have the opportunity for re-accreditation in accordance with the provisions of section C.3.

### **C.2. Unscheduled surveillance (“spot-check”)**

67. The JISC may conduct “spot-check” activities (i.e. unscheduled surveillance) of AIEs at any time. The following provisions shall apply.
68. The consideration by the JISC to conduct a “spot-check” of an AIE may be triggered by, inter alia:
- 68.1. A request for review submitted in accordance with the relevant provisions contained in the JI guidelines with regard to the determination regarding a PDD or the determination of emission reductions or enhancements of removals by sinks;
  - 68.2. Information received in accordance with section C.6 on any changes which may significantly affect the quality of operations and performance of the AIE, such as ownership, organizational structure, internal policies and procedures, technical expertise of personnel;
  - 68.3. A written, substantiated complaint regarding the alleged failure of an AIE to comply with the requirements of its accreditation submitted to the JISC by:
    - 68.3.a. Another AIE;
    - 68.3.b. An NGO accredited with the UNFCCC;
    - 68.3.c. A stakeholder.<sup>16</sup>
69. Once the JISC has decided to conduct a “spot-check”, the secretariat shall inform the JI-AP. The JI-AP shall inform the AIE concerned. The AIE shall pay for the cost of the “spot-check” in accordance with Annex 2 “Fees and costs”.
70. The JI-AP shall consider the case and:
- 70.1. Establish a JI-AT;
  - 70.2. Conclude, depending on the gravity of the case, whether:
    - 70.2.a. To recommend to the JISC the immediate suspension of the accreditation of the AIE, pending the result of the “spot-check”, and/or;
    - 70.2.b. To agree to an exception to the procedure such as a limited on-site assessment and/or witnessing activity by the JI-AT or limited assessment of particular aspects of the sectoral scope(s) of accreditation in question.
71. “Spot-checks” shall be carried out in accordance with applicable steps of the accreditation procedure (see section C.1).
72. In accordance with the JI accreditation procedure, the JISC shall decide, based on the documents submitted by the JI-AP, whether to:
- 72.1. Confirm the accreditation of the AIE, or;
  - 72.2. Organize a hearing from the AIE, and as a result of the hearing whether to:

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<sup>16</sup> 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.



- 72.2.a. Confirm the accreditation of the AIE, or;
- 72.2.b. Confirm the suspension or the withdrawal of accreditation of the spot-checked AIE. In accordance with paragraph 42 of the JI guidelines, the suspension or the withdrawal is with immediate effect.

73. The secretariat shall inform the AIE of the decision by the JISC. The secretariat shall update relevant records and publicly available list of AIEs, as appropriate.

### **C.3. Re-accreditation**

74. The secretariat shall inform the AIE six months before the expiry date of the accreditation of a AIE and request to confirm whether it wishes to apply for re-accreditation.
75. The AIE shall submit to the secretariat the documentation specified in Annex 1 "Application documents". In addition, the AIE shall submit to the secretariat a compiled list of projects for which it has determined regarding PDD or of emission reductions or enhancements of removals by sinks in the last accredited period indicating the full status for such projects. The AIE shall pay a non-reimbursable application fee.
76. The activities to be undertaken by the JI-AT in the re-accreditation process shall include desk review of documentation, an assessment of work performed during the last accredited period, on-site assessment, and a witnessing of a large-scale project for each function. The witnessing activity may be combined with the on-site assessment if such opportunity exists. This re-accreditation process shall be undertaken with a view to the JISC making a decision regarding recommending re-accreditation, suspension, withdrawal and reduction of sectoral scopes of a AIE based on the recommendation of the JI-AP.
77. In the event that an AIE is unable to provide large-scale project activity(ies) for witnessing, the AIE may propose a witnessing opportunity involving a small-scale project activity for each function. Provided that such a witnessing is successful, the AIE shall only be re-accredited to perform that function for the sectoral group of the small-scale project activity.
78. An AIE may request re-accreditation at an earlier time to group the re-accreditation or accreditation of several sectoral scopes into one re-accreditation process.

### **C.4. Accreditation for additional sectoral scope(s)**

79. An AIE may submit an application to be accredited for additional sectoral scope(s) at any time. The steps for accreditation described in section C.1 shall apply. Annex 1 "Application documents" specifies the documentation to be submitted by an AIE requesting additional sectoral scope(s).
80. 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 other sectoral scope(s) for which it is already accredited. This may enable the AIE to streamline its re-accreditation schedule and reduce costs.
81. The work of the JI-AP and the JI-AT shall be designed to minimize costs by taking into consideration, as applicable, those sectoral scope(s) for which the applicant IE is already accredited as well as recent work of the JI-AP and/or JI-AT with the same applicant IE.
82. The recommendation of the JI-AP to the JISC, referred to in the steps for accreditation (see section C.1), shall distinguish between accreditation for additional sectoral scope(s) and, if applicable, re-accreditation.



### **C.5. Procedure for issuing a letter indicating the successful completion of the desk review and the on-site assessment**

83. If all or some witnessing activities remain to be undertaken by the JI-AT once the desk review and on-site assessment of an applicant IE have been completed, the JI-AP shall decide whether to issue a letter to the applicant IE (referred to as “indicative letter”) stating that:
- 83.1. The recommendation by the JI-AP to the JISC to accredit the applicant IE, for the sectoral scope(s) applied for, depends on the successful completion of the remaining witnessing activities;
- 83.2. The determinations regarding PDDs and/or determinations of emission reductions or enhancements of removals by sinks witnessed and considered to have been successfully performed during these remaining witnessing activities shall be considered valid by the JISC once the JISC accredits the applicant IE.
84. For the purpose of issuing an indicative letter, the accreditation procedure (see section C.1) shall be applied as modified in paragraph 85.
85. The steps described in paragraphs 37 to 45 shall apply with the following modifications:
- 85.1. The draft of the preliminary assessment report (form F-JI-PR), referred to in paragraph 41, shall be limited to aspects relating to the desk review and the on-site assessment, and if applicable, witnessing activity(ies);
- 85.2. The JI-AP shall decide whether the applicant IE has met the requirements of desk review and on-site assessment and an “indicative letter” shall be issued to the applicant IE.
86. The JI-AP shall inform the JISC and the applicant IE of its decision and, if applicable, issue the “indicative letter”.
87. The applicant IE may appeal against the decision referred to in paragraph 86 in accordance with the provisions in section C.7.
88. The secretariat shall maintain a public record of “indicative letters” issued.
89. While the above procedure for issuing an “indicative letter” is under way, any remaining witnessing activities shall be initiated and carried out in accordance with the steps contained in paragraphs 46 to 66 with the following modifications:
- 89.1. The draft of the preliminary assessment report (F-JI-PR) referred to in paragraph 52 shall be limited to aspects relating to witnessing;
- 89.2. The final assessment report to the JI-AP referred to in paragraph 58 shall contain:
- 89.2.a. The preliminary assessment report;
- 89.2.b. A description of the actions taken by the applicant IE to correct non-conformities identified in the preliminary assessment report;
- 89.2.c. Comments of the applicant IE on the preliminary assessment report limited to aspects relating to witnessing and how the comments have been addressed by the JI-AT;
- 89.2.d. Conclusions regarding accreditation for consideration by the JI-AP.
- 89.3. The documents to be submitted to the JISC by the JI-AP in accordance with paragraph 59 are as follows:
- 89.3.a. The final report by the JI-AT;
- 89.3.b. The documentation supporting the JI-AT’s decision to issue the “indicative letter”;
- 89.3.c. The JI-AT’s conclusions regarding accreditation for consideration by the JISC;
- 89.3.d. The JI-AT’s recommendation as to whether to accredit the applicant IE.



### **C.6. Notification on change of status of an applicant independent entity/accredited independent entity**

90. An applicant IE/AIE shall inform the secretariat of any planned changes, two months before its implementation, and any unforeseen change(s) within 10 working days, significantly affecting its:
  - 90.1. Legal, commercial or organizational status, e.g. ownership, partnerships;
  - 90.2. Key professional staff;
  - 90.3. Management system;
  - 90.4. Compliance with accreditation requirements.
91. The changes notified by the applicant IE/AIE shall be considered by the JI-AP and may require additional work for the JI-AP and JI-AT with possible cost implications (For information on costs see Annex 2 “Fees and costs”).
92. If an applicant IE/AIE does not notify the secretariat of changes within the deadline, except for an unforeseeable and justifiable case, the IE may be recommended for the suspension of its accreditation or any other appropriate action.

### **C.7. Appeals procedure**

93. After being informed of a recommendation by the JI-AP to the JISC, an applicant IE shall have the opportunity to appeal against the recommendation within six working days. The appeal may only address the qualification of the JI-AT and/or non-compliance with procedures.
94. The appeal shall be submitted in writing to the designated officer in the secretariat.
95. The designated officer shall immediately inform the JI-AP and the JISC of the appeal.
96. The designated officer 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:
  - 96.1 The appeal submitted by the applicant IE;
  - 96.2 The recommendation of the JI-AP challenged by the entity;
  - 96.3 A list of five candidates for an appeal panel.
97. The JISC shall consider the file and establish an appeal panel of three members.
98. The appeal panel shall prepare a recommendation regarding the appeal for consideration at the next meeting of the JISC or for electronic decision by the JISC in accordance with the rules of procedure of the JISC.
99. The cost for conducting an appeals procedure shall be covered in accordance with the provisions in Annex 2 “Fees and costs”.

## D. Annexes

### Annex 1. Application documents

1. In the case of an application for accreditation, the applicant IE shall provide the following documents/written information (eight copies of each) to the secretariat. Documents must be submitted in an official English version as the working language of the JISC is English:
  - 1.1 Documentation on its legal entity status (either domestic legal entity or international organization) (*JI guidelines*<sup>17</sup>);
  - 1.2 The names, qualifications, experience and terms of reference of the senior executive, board members, senior officers and other relevant personnel (*JI guidelines*);
  - 1.3 An organizational chart showing lines of authority, responsibility and allocation of functions stemming from the senior executive (*JI guidelines*);
  - 1.4 Its quality assurance policy and procedures (*JI guidelines*), including a procedures manual on how the entity conducts determinations regarding PDDs and determinations of emission reductions or enhancements of removals by sinks;
  - 1.5 Administrative procedures, including document control (*JI guidelines*);
  - 1.6 Its policy and procedures for the recruitment and training of IE personnel, for ensuring their competence for all necessary functions and for monitoring their performance (*JI guidelines*);
  - 1.7 Its procedures for handling complaints, appeals and disputes (*JI guidelines*);
  - 1.8 Particular documents relating to sectoral scope(s) relevant to its application. If a new sectoral scope(s) is/are proposed, all relevant information that would permit determinations in such new sectoral scope(s);
  - 1.9 A declaration that the applicant IE does not have pending any judicial process for malpractice, fraud and/or other activity incompatible with its functions as an AIE (*JI guidelines*);
  - 1.10 A statement that operations of the applicant IE are in compliance with applicable national laws;
  - 1.11 If the applicant IE is part of a larger organization, and where parts of that organization are, or may become, involved in the identification, development or financing of any JI project (*JI guidelines*):
    - 1.11.a A declaration of all the organization's actual and potential JI projects, if any, indicating which part of the organization is involved and in which particular JI project (*JI guidelines*);
    - 1.11.b A clear definition of links with other parts of the organization, demonstrating that no conflicts of interest exist (*JI guidelines*);
    - 1.11.c A demonstration that no actual or potential conflict of interest exists between its functions as an AIE and any other functions that it may have, and how business is managed to minimize any identified risk to impartiality. The demonstration shall cover all potential sources of conflict of interest, whether they arise from within the applicant IE or from the activities of related bodies (*JI guidelines*);
    - 1.11.d A demonstration that it, together with its senior executive and staff, is not involved in any commercial, financial or other processes which might influence its judgement or endanger trust in its independence of judgement and integrity in relation to its activities, and that it complies with any rules applicable in this respect (*JI guidelines*).

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<sup>17</sup> Elements in this list that are taken from the JI guidelines are marked accordingly.





2. In the case of an application for re-accreditation or additional sectoral scope(s), the AIE shall submit, as applicable:
  - 2.1 Particular documents relating to the additional sectoral scope(s);
  - 2.2 Documents<sup>18</sup> required for accreditation, ensuring that all information available to the JISC and the JI-AP reflects the most up-to-date information.

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<sup>18</sup> Regarding provisions for notification on change of status of an IE see section C.6.

## **Annex 2. Fees and costs**

1. This annex provides the structure for fees relating to the accreditation of IEs. This annex does not provide the amount of fees but explains the underlying cost structure. The secretariat shall make publicly available on the UNFCCC JI website the level of fees and standard cost items, such as the charges for one JI-AT member per day.<sup>19</sup>

### ***Non-reimbursable application fee***

2. An applicant IE shall pay a non-reimbursable application fee . 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 (estimate: fee for a JI-AT member for two person-days on average) and related administrative procedures. When a desk review requires more than two person-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 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 paragraph 1 (c) and (d) of Appendix A to the JI guidelines. The remaining 50 per cent of the fee should be paid once and if the entity is accredited and has started 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 this point will not be reimbursed. Only in the case where an entity decides to withdraw its application due to a revision by the JI-AP of its proposed sectoral scope(s) (see section B.2), a reimbursement of 50 per cent of the non-reimbursable application fee will be made.

### ***Costs associated with an on-site assessment of the premises of an applicant IE***

6. The applicant IE shall pay directly to the JI-AT members for the following cost items (the dates, schedules and accommodation arrangements are to be coordinated through the secretariat):
  - 6.1 Airfare for each team member on the assessment mission (business class fare in case of flight time being more than four hours);
  - 6.2 United Nations daily subsistence allowance to each team member on the assessment mission (the rate and number of days to be guided by the UNFCCC 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. 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.

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<sup>19</sup> For indicative level of fees for different steps of assessment please refer to the UNFCCC JI website <<http://ji.unfccc.int>>.

***Costs associated with witnessing***

8. The witnessing may be undertaken by the JI-AT on the basis of documentary evidence, in which case there will be no travel and accommodation costs for the applicant IE.
9. The applicant IE pays, directly and individually to the JI-AT members, a fee for the work provided by the JI-AT member(s). The secretariat shall provide the applicant IE with the payment instructions and pre-filled receipts indicating the number of JI-AT members and of the working days relating to the intervention.
10. When the witnessing includes a site visit, 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), as applicable:
  - 10.1 Airfare for each member (business class fare in case of flight time being more than four hours);
  - 10.2 United Nations daily subsistence allowance applicable to each member for the witnessing mission (as provided by the UNFCCC secretariat).

***Costs associated with changes notified by the applicant IE***

11. The following changes which applicant IEs may make during the accreditation process may have cost implications:
  - 11.1 Addition or subtraction to the list of sectoral scopes applied for;
  - 11.2 Changes in the legal status of the entity;
  - 11.3 Changes in ownership;
  - 11.4 Substantial changes in documentation.
12. 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 (F-JI-CA). The applicant IE shall be charged fees equivalent to two days of standard daily fee for one team member if notification of the change is received before the coordination of the on-site assessment. The additional fee is to cover additional work by the team leader and additional operational costs. If the notification of change is received after the start of the on-site assessment of the entity, the case shall be considered as a new application requiring the payment of the non-reimbursable application fee.
13. There will be no additional charges if the applicant IE changes its name in the course of the accreditation process provided its legal status remains unchanged.

***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 the date of the receipt of 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 concerned. The secretariat will provide the applicant IE with an itemized quotation for an “appeals fee”. The applicant IE shall pay in advance the appeals fee. After the payment by the applicant IE is received, the appeal will be considered. If the payment of the fee is not received within 20 working days after the quotation was provided, the appeal is considered withdrawn by the applicant IE.



16. In case the appeal is deemed valid, the applicant IE shall be reimbursed the total amount of the “appeals fee”.

### Annex 3. Forms used in the JI accreditation process

Below is a list of the forms to be filled out by applicant IEs or JI-ATs, step-by-step, in the accreditation procedure. 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

#### *Desk review*

- 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

#### *On-site assessment of the applicant IE*

- F-JI-DOR = Desk review and on-site assessment report
- F-JI-NC = Non-conformity, corrective action and clearance report
- F-JI-MA = Standard agenda for opening and closing meeting
- F-JI-MAR = Attendance register for opening and closing meetings
- F-JI-PR = Preliminary assessment report (includes, as attachments, forms used in the preceding steps)
- F-JI-FR = Final assessment report (includes, as attachment, F-JI-PR)

#### *Witnessing*

- F-JI-WRdpdd = Report on witnessing activity – determination regarding PDDs
- F-JI-WRderu = Report on witnessing activity – determination of emission reductions or enhancements of removals by sinks
- F-JI-WOI = Witnessing opportunities identification
- F-JI-NC = Non conformance, corrective action and clearance report
- F-JI-MA = Standard agenda for opening and closing meeting
- F-JI-MAR = Attendance register for opening and closing meetings
- F-JI-PR = Preliminary assessment report (includes, as attachments, forms used in the preceding steps)
- F-JI-FR = Final assessment report (includes, as attachment, F-JI-PR)

#### *“Spot-check”/Unscheduled surveillance*

- Spot-check/unscheduled surveillance report (forms used for on-site assessment and/or witnessing, as applicable)
- F-JI-MA = Standard agenda for opening and closing meeting
- F-JI-MAR = Attendance register for opening and closing meetings
- F-JI-PR = Preliminary assessment report (includes, as attachments, forms used in the preceding steps)
- F-JI-FR = Final assessment report (includes, as attachment, F-JI-PR)

#### *Other*

- F-JI-W = Workplan for JI-AT
- F-JI-CA = Confidentiality and non-disclosure agreement (for JI-AT member)
- F-JI-FPM = Fee agreement for JI-AT members
- F-JI-Evat = JI assessment team evaluation report
- F-JI-IL = Indicative letter

**Annex 4. Abbreviations**

AIE	Accredited independent entity
COP	Conference of the Parties to the United Nations Framework Convention on Climate Change
COP/MOP	Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol
IE	Independent entity
JI	Joint implementation
JI-AP	Joint Implementation Accreditation Panel
JI-AT	Joint implementation assessment team
JISC	Joint Implementation Supervisory Committee
PDD	Project design document
UNFCCC	United Nations Framework Convention on Climate Change

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