



## Annex 4

**DRAFT PROCEDURE FOR ACCREDITING INDEPENDENT ENTITIES  
BY THE JOINT IMPLEMENTATION SUPERVISORY COMMITTEE****Note by the secretariat**

1. Decision 10/CMP.1 (*Implementation of Article 6 of the Kyoto Protocol*) requests the Joint Implementation Supervisory Committee (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”.
2. At its first meeting, the JISC requested the secretariat to prepare a draft procedure for accrediting independent entities by the JISC for consideration at its second meeting.
3. The attached draft procedure for accrediting independent entities by the JISC has been prepared by the secretariat reflecting and/or incorporating the relevant provisions in decision 9/CMP.1 (*Guidelines for the implementation of Article 6 of the Kyoto Protocol*) (herewith referred as “JI guidelines”).
4. The structure of the draft procedure follows that of the procedure for accrediting operational entities by the executive board of the clean development mechanism (CDM EB)<sup>1</sup>, wherever applicable to the accreditation of independent entities for joint implementation process, in accordance with the decision referred to in paragraph 1 above.
5. In comparison to the procedure for accrediting operational entities by the CDM EB, the main changes are:
  - (a) Terminology, to ensure consistency with the JI guidelines;
  - (b) Deletion of the process of recommendation of accredited entities for designation to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, which is not required in the joint implementation process according to the JI guidelines.
6. Decision 10/CMP.1 also states that “{d}esignated operational entities under the clean development mechanism may act provisionally as accredited independent entities under Article 6 until the Joint Implementation Supervisory Committee has approved its procedure for accreditation”. The present draft procedure does not include provision on this aspect since a guidance from the JISC on this matter was not yet provided.
7. The JISC may wish to also consider the elaboration of special conditions applicable to designated operational entities applying for accreditation as accredited independent entities. In the present draft of the procedure it is noted in a footnote that the similarity of the two processes shall be borne in mind in the JI accreditation process.

---

<sup>1</sup> [http://cdm.unfccc.int/DOE/cdm\\_accr\\_01.pdf](http://cdm.unfccc.int/DOE/cdm_accr_01.pdf)



# **Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee**

## **Contents**

	Page
<b>A. Introduction .....</b>	<b>1</b>
<b>B. Scope of accreditation .....</b>	<b>3</b>
<b>B.1. Definition of scope of accreditation .....</b>	<b>3</b>
<b>B.1.1. Phasing of accreditation.....</b>	<b>3</b>
<b>B.2. Procedure to develop the list of sectoral scopes of accreditation .....</b>	<b>3</b>
<b>C. Accreditation, unscheduled surveillance, re-accreditation and notification of changes.....</b>	<b>5</b>
<b>C.1. Accreditation .....</b>	<b>5</b>
<b>C.2. Unscheduled surveillance (“spot-check”).....</b>	<b>11</b>
<b>C.3. Re-accreditation .....</b>	<b>11</b>
<b>C.4. Accreditation for additional sectoral scope(s) .....</b>	<b>12</b>
<b>C.5. Procedure in case a letter is to be issued indicating the successful completion of         the desk review and the on-site assessment.....</b>	<b>12</b>
<b>C.6. Notification on change of status of an applicant IE/AIE .....</b>	<b>13</b>
<b>D. Annexes .....</b>	<b>14</b>
<b>D.1. Application documents .....</b>	<b>14</b>
<b>D.2. Appeals procedure .....</b>	<b>15</b>
<b>D.3. Fees and costs.....</b>	<b>15</b>
<b>D.4. Forms used in the JI accreditation process.....</b>	<b>18</b>



---

Joint Implementation Supervisory Committee

## A. Introduction

1. In accordance with the guidelines for the implementation of Article 6 of the Kyoto Protocol (JI guidelines)<sup>2</sup>, the Joint Implementation Supervisory Committee (JISC) shall accredit independent entities (IEs) that determine project design documents (PDDs) and greenhouse gas emission reductions and 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 paragraphs 3 (b) and Appendix A, and taking into consideration paragraph 13, of the JI guidelines. The JISC may revise this JI accreditation procedure in the future. The JISC shall inform any applicant IE and any IE of any such revision. Any revision shall be immediately made public on the UNFCCC JI website. 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:
  - 3.1 The **JISC** accredits IEs in accordance with the standards and procedures contained in Appendix A of the JI guidelines<sup>3</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, re-accreditation and accreditation for additional sectoral scope(s). The JI-AP provides guidance to and approves the work plan of each JI-AT.
  - 3.3 A **JI assessment team**, under the guidance of the JI-AP, undertakes the detailed assessment of an applicant IE and/or accredited IE (AIE), identifies non-conformities and reports to the JI-AP. A JI-AT shall be established by the JI-AP which draws members from a roster of experts established by the JISC for this purpose. For witnessing purposes, the team shall include a methodological expert. The methodological expert shall be selected from a specific roster of experts established for this purpose.
  - 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;
  - 4.2 **On-site assessment** on the premises of the applicant IE by a 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 potential to perform the tasks related to the sectoral scope(s) of accreditation for which it has applied. Only those premises of an applicant IE where the on-site assessment took place shall receive the accreditation as an AIE. Any other part of that IE is not accredited.

---

<sup>2</sup> Decision 9/CMP.1 contained in the report of the first session of the Conference of the Parties serving as the meeting of the parties to the Kyoto Protocol (FCCC/KP/CMP/2005/8/Add.2 available on the UNFCCC website (<http://unfccc.int/ji>) or (<http://unfccc.int>)).

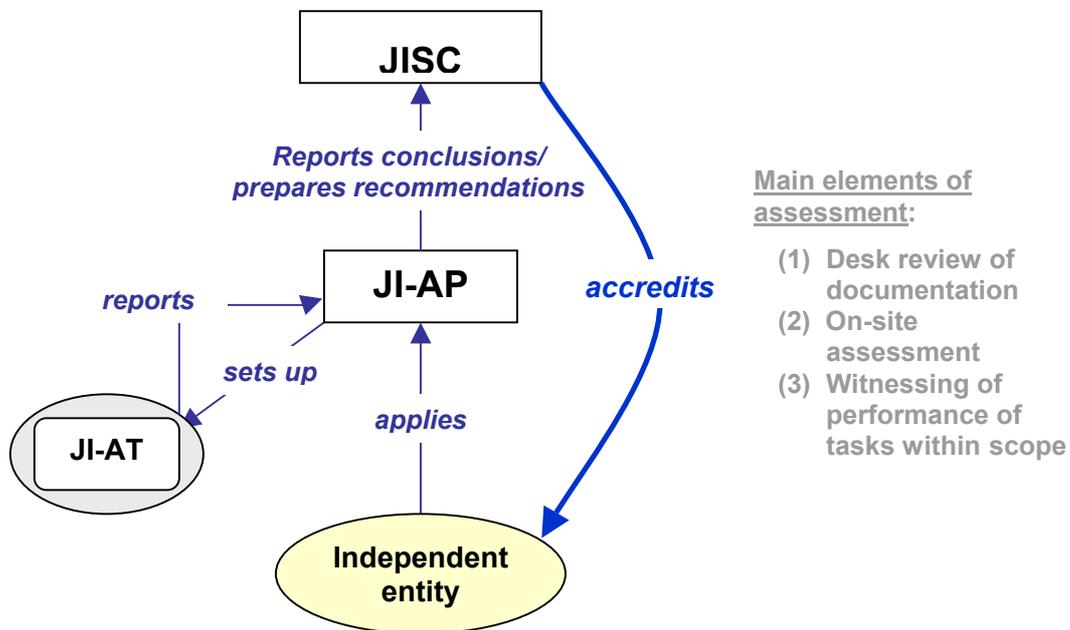
<sup>3</sup> The terms used in this document are: “applicant independent entity (applicant IE)” = once application has been duly submitted/subject to a procedure contained in this document; “Accredited independent entity (AIE)” = after accreditation by the JISC.



**Joint Implementation Supervisory Committee**

- 4.3 **Witnessing** by the JI-AT of the performance of tasks by an applicant IE<sup>4</sup> that relate to the scope of accreditation for which it has applied (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 of PDDs and the determination of emission reductions or 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. The JI-AT to carry out the witnessing activity shall include a methodology expert. Witnessing activities at the stage of the determination of PDDs, and, if appropriate, at the stage of the determination of emission reductions or removals by sinks, may be undertaken by considering documentary evidence (e.g. a “procedural report”) provided by the applicant IE in question on how the determination of PDDs or the determination of emission reductions or removals by sinks has been performed. 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 a “**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 which has undergone a “spot-check”(for more information see section C.2).

**Figure 1**



<sup>4</sup> The tasks witnessed shall be carried out on either 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 of PDDs or determination of emission reductions) and its sectoral scope. The scope with regard to functions specifies whether an AIE may undertake either determinations of PDDs, or determinations of emission reductions or removals by sinks, or both. The sectoral scope specifies in which identified sectors an AIE may perform with regard to the determination of PDDs and/or the determination of emission reductions or removals by sinks, and specifies the requirements it shall meet in addition to those listed in Appendix A to the JI guidelines.

#### **B.1.1. Phasing of accreditation**

7. The accreditation of an IE may be undertaken in phases, both in terms of functions and sectoral scope(s). The accreditation of an IE shall be recommended for (a) particular group(s) of sectoral scopes. Once an IE is accredited for one function for a group of sectoral scopes, the IE shall receive accreditation for that same group for the other function once it is accredited for this other function in either the same or another function. If the accreditation for the other function is in other group of sectoral scopes, the IE may be accredited at the same time for the function in that other group.
8. An IE can only be accredited for both functions, i.e. determination of PDDs, and determination of emission reductions or removals by sinks, if a witnessing activity in a sectoral scope has been successfully undertaken, in each of the two functions. In such a case, the applicant IE shall, however, have successfully concluded the desk review, the on-site assessment and witnessing activities for the recommended sectoral scope. The full accreditation shall only be granted to an applicant IE once all activities regarding determination of PDDs, and determination of emission reductions or removals by sinks have been successfully witnessed in accordance with the work plan related to the applicant IE.
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 establishes 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 scope(s).
13. In addition, an applicant IE may propose (a) new sectoral scope(s) which it applies for.
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 which an IE shall meet in addition to those listed in Appendix A of the JI guidelines.
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;



---

**Joint Implementation Supervisory Committee**

- 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 in function of 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;
    - 17.2.c. The composition of the JI-AT.
18. The applicant IE shall be given an opportunity to apply for such a sectoral scope(s) within six (6) months, without paying additional application fee, after the date the revised list of sectoral scopes is made publicly available and announced through the UNFCCC JI News facility (For information on costs see section D.3 (annex on “Fees and costs”)).
19. In accordance with the accreditation procedure, the applicant IE shall reply in writing within six (6) working days whether it wishes to proceed with its application for the new sectoral scope(s) or withdraw its application.
20. If the applicant IE wishes to proceed with its application, it shall also inform, within the same deadline, whether it objects or not to the composition of the JI-AT in accordance with the provisions of the JI accreditation procedure.
21. 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 UNFCCC, or stakeholders shall have 15 days to provide any comments or information on the applicant IE to the secretariat. The secretariat shall make the comments received publicly available immediately after the end of the 15 days period.
22. The accreditation procedure (see section C.1) shall be implemented thereafter.



**Joint Implementation Supervisory Committee**

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

### **C.1. Accreditation**

23. The accreditation procedure comprises<sup>5</sup> the following main steps<sup>6</sup>:
  - 23.1 The application for accreditation by an applicant IE;
  - 23.2 The preliminary consideration of the application file by the JI-AP;
  - 23.3 The desk review by a JI-AT of the documentation provided by the applicant IE;
  - 23.4 On-site assessment by the JI-AT on the premises of the applicant IE;
  - 23.5 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 of PDDs and to the determination of emission reductions or removals by sinks as an AIE in the scope of accreditation for which it has applied;
  - 23.6 The reporting of the JI-AT to the JI-AP;
  - 23.7 The recommendation on accreditation by the JI-AP to the JISC;
  - 23.8 The decision by the JISC on accreditation.
24. An IE shall submit to the secretariat a duly completed application form (F-JI-A<sup>7</sup>) and all the documentation specified in Annex 1 "Application documents"<sup>8</sup>. Unless otherwise stipulated in the JI accreditation procedure, all information, communications and meetings shall be confidential.
25. 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 3 "Fees and costs"), the related step in the accreditation procedure shall only be implemented once payments are received. The processing of applications shall be commenced in the order in which the application fees are received.
26. The secretariat shall check the completeness of documents and information submitted. If the documentation is found incomplete and/or inadequate, 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.
27. The applicant IE shall inform the JI-AP 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 a cost associated with the changes indicated by the IE (see Annex D.3. "Fees and costs").

---

<sup>5</sup> The accreditation procedure shall be implemented using, to the extent possible, teleconferencing and electronic communication facilities.

<sup>6</sup> If an applicant IE is an accredited/designated operational entity under the CDM, the assessment shall be undertaken bearing in mind the similarity of the two processes. The JISC may elaborate further provisions/standards to be applied in this context.

<sup>7</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 to the JI guidelines "Standards and procedures for the accreditation of independent entities". The list of forms is available in the annex "Forms used in the JI accreditation process". The application form is available on the UNFCCC JI website in the section "Accredited independent entities" or can be requested from the secretariat.

<sup>8</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.



---

**Joint Implementation Supervisory Committee**

28. 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 UNFCCC or stakeholders shall have 15 days to provide any comments or information on the applicant IE to the secretariat. Immediately after the end of the 15 days period, the secretariat shall make the comments received publicly available. If the applicant IE proposes new sectoral scope(s), this information shall be published in accordance with the procedure in section B.2.
29. If the application documents are complete, the secretariat shall prepare an application file and send it to the JI-AP. The file shall contain:
  - 29.1 All application documents;
  - 29.2 Suggestions with regard to:
    - 29.2.a. A list of possible candidates for the JI-AT (identifying those qualified as team leaders);
    - 29.2.b. A draft work plan for the JI-AT. The draft work plan shall include any particular issues for the JI-AP to consider.
30. The JI-AP shall:
  - 30.1 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;
  - 30.2 Choose the members of the JI-AT and identify the JI-AT team leader. A JI-AT shall consist of at least three members, among them the team leader. The size of a JI-AT for a particular application case may be larger depending on the size of the applicant IE, the documentation submitted and the sectoral scope(s) of accreditation applied for;
31. The JI-AP shall inform the applicant IE, through the secretariat, of the composition of the JI-AT. The applicant IE may object, in writing to the JI-AP within six (6) working days, to members of the JI-AT identifying an alleged conflict of interest of the JI-AT member(s). In case the JI-AP finds the objection substantiated, it shall identify replacement(s) for the JI-AT member(s) in question.
32. Each JI-AT member shall sign the confidentiality and non-disclosure agreement (Form F-JI-CA).

***Desk review***

33. The JI-AP shall provide the JI-AT with:
  - 33.1 All information related to the application;
  - 33.2 The conclusions of its preliminary review of the application;
  - 33.3 The reviewed and, if necessary, revised draft work plan for the JI-AT.
34. The JI-AT shall, with the assistance of the secretariat, undertake the desk review of the documentation provided by the applicant IE and prepare the desk review report (F-JI-DOR)<sup>9</sup>;
35. The team leader, in consultation with his team, shall identify inadequate documentation, if necessary, and request the applicant IE to provide additional information in this regard, using the form (F-JI-Addoc). In doing so, the JI-AT shall be guided by the principle that adequate documentation shall be provided prior to the on-site assessment, whereas other clarifications and supporting documentation may be provided during the assessment. All issues of inadequacy shall be resolved.

---

<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 to the JI guidelines “Standards and procedures for the accreditation of independent entities”.



---

**Joint Implementation Supervisory Committee**

36. The applicant IE will be informed of the missing documentation through the secretariat. The applicant IE shall have ten (10) working days to send the missing documentation prior to the on-site assessment. If the applicant IE does not provide such documentation on time the on-site assessment shall be planned and carried out in accordance with the procedure, however, adequate time will be allocated at the on-site assessment to study missing required documentation on-site.
37. The team leader, through the secretariat, shall make the final desk review available to the applicant IE.

***On-site assessment***

38. 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.
39. The on-site assessment shall consist of the following steps<sup>10</sup>:
- 39.1 An opening meeting, chaired by the JI-AT team leader, between 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;
- 39.2 An assessment by the JI-AT of the operational capability of the applicant IE against the requirements:
- 39.2.a. Contained in the JI guidelines<sup>11</sup>;
- 39.2.b. Related to the particular sectoral scope(s) for which the applicant IE applied;
- 39.2.c. Relevant decisions and clarifications issued by the JISC and the JI-AP<sup>12</sup>;
- 39.3 A closing meeting, at the end of the on-site assessment, between the JI-AT and the applicant IE's management to inform the applicant IE of the details of its assessment, at this point of time, regarding conformity with the JI accreditation requirements, basis for non-conformities and any additional comments. The applicant IE shall have the opportunity to seek clarification and ask questions, if any. The JI-AT leader shall remind the representatives of the applicant IE that, in accordance with the JI accreditation procedure:
- 39.3.a. The applicant IE shall have opportunities to provide comments at later steps as described in the JI accreditation procedure;
- 39.3.b. The final recommendation to the JISC will be made by the JI-AP;
- 39.3.c. The applicant IE may appeal against the recommendation by the JI-AP.
40. After completion of the on-site assessment, the JI-AT shall have 15 days to prepare the draft on-site assessment report.
41. The applicant IE, after the receipt of the draft on-site report, shall have 30 days to identify corrective actions to resolve non-conformities, including timeframes for each action, or to withdraw its application. All actions identified shall be completed within six months. 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.

---

<sup>10</sup> Forms to be used for the on-site assessment are: F-JI-OR, F-JI-NC, F-JI-MA, F-JI-MAR

<sup>11</sup> Contained in Appendix A to the Annex to decision 9/CMP.1.

<sup>12</sup> For relevant decisions and clarifications please refer to the UNFCCC JI website (<http://unfccc.int/JI>).



---

**Joint Implementation Supervisory Committee**

42. 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 prepare, with the assistance of the secretariat, a preliminary report. The preliminary report shall contain as a minimum:
  - 42.1. The date(s) of the assessment(s);
  - 42.2. The name(s) of the JI-AT members, identifying those responsible for the report;
  - 42.3. The name(s) and address(es) of all the relevant applicant IE sites assessed (on-site assessment);
  - 42.4. 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 encountered and their qualifications, experience and authority;
  - 42.5. The adequacy of the internal organization and procedures adopted by the applicant IE ensuring confidence in the quality of its services;
  - 42.6. 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;
  - 42.7. A description of non-conformities and corrective actions implemented by the applicant IE.
43. The JI-AT shall, upon completion, make the preliminary report, available to the applicant IE through the secretariat. The applicant IE shall have six days to provide comments on the on-site report and preliminary report.
44. The JI-AT shall prepare its final report (F-JI-FR).
45. The JI-AT shall submit its final report (F-JI-FR) to the JI-AP. The final report shall contain, as a minimum, the following:
  - 45.1. The preliminary report;
  - 45.2. A description of the actions taken by the applicant IE to correct non-conformities identified in the preliminary report;
  - 45.3. Comments of the applicant IE on the draft final report and a description of how they have been addressed by the JI-AT.
46. 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***

47. The applicant IE shall identify the witnessing activity(ies) by filling in the form for identification of witnessing activities (F-JI-WOI). The team leader shall approve the witnessing activities and prepare the work plan.
48. A JI-AT shall only choose/accept witnessing activities, identified by the applicant IE, for which the applicant IE has not yet started performing functions which are to be witnessed (i.e. The JI-AT shall not use documentary evidence that has been collected prior to the date the JI-AT identified a witnessing opportunity).
49. Each witnessing activity<sup>13</sup> identified in the work plan 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.

---

<sup>13</sup> Forms used in a witnessing activity are: F-JI-WR, F-JI-NC, F-JI-MA, F-JI-MAR



**Joint Implementation Supervisory Committee**

The methodology expert shall be responsible for the assessment of the aspects related to substantive decision making capabilities of the applicant IE.

50. The witnessing activities shall be based on documentary evidence of an applicant IE performing the functions of determination of PDDs and/or determination of emission reductions or 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 of the applicant IE premises or of the project site in the witnessing activity). Such a request shall require approval from the JI-AP.
51. Each JI-AT member shall prepare a separate witnessing report at the end of each witnessing activity. The witnessing reports shall include an evaluation of the performance of tasks by the applicant IE with regard to (a) the sectoral scope(s) sought and (b) its knowledge of JI specific requirements and the relevant steps in the JI project cycle according to the JI guidelines, and (c) substantive decision making capabilities of the applicant IE .
52. The JI-AT may determine the need for additional witnessing activities for a particular sectoral scope not foreseen in its work plan. In this case, it shall prepare a draft revision of its approved work plan and submit it to the JI-AP for approval. After approval of the draft revised work plan by the JI-AP, the provisions of the accreditation procedure for identifying witnessing opportunities shall apply.
53. The JI-AT shall, after each witnessing activity is completed, finalize, within two (2) weeks, the preliminary report (F-JI-PR). Within this period, the applicant IE shall have six (6) working days after receipt of the draft of the preliminary report to ask for clarifications and/or to comment on the report. The preliminary report shall contain as a minimum:
  - 53.1. The date(s) of the assessment(s);
  - 53.2. The name(s) of the JI-AT members, identifying those responsible for the report;
  - 53.3. The name(s) and address(es) of all the relevant applicant IE sites assessed (on-site assessment);
  - 53.4. The sectoral scope(s) assessed;
  - 53.5. 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 encountered and their qualifications, experience and authority;
  - 53.6. The adequacy of the internal organization and procedures adopted by the applicant IE ensuring confidence in the quality of its services;
  - 53.7. A description of the determinations of PDDs and the determinations of emission reductions or removals by sinks witnessed;
  - 53.8. 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 ;
  - 53.9. An identification and description of non-conformities with requirements related to the sectoral scope(s) of accreditation.
54. The JI-AT shall, upon completion, make the preliminary report available to the applicant IE through the secretariat.
55. The applicant IE shall:
  - 55.1. Consider the preliminary report of the JI-AT;
  - 55.2. Have 30 days to identify corrective actions to resolve non-conformities, including timeframes for each action, or to withdraw its application. All actions identified shall be completed within six months. 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.



**Joint Implementation Supervisory Committee**

- 55.3. The applicant IE may propose witnessing activities related to other sectoral scopes or function.
56. The JI-AT shall have 30 days to verify the implementation of all the actions to address non-conformities and prepare, with the assistance of the secretariat, a draft final report.
57. The applicant IE shall have the opportunity to comment within six (6) working days on the draft final report.
58. The JI-AT shall submit its final report (F-JI-FR) to the JI-AP. The final report shall contain, as a minimum, the following:
  - 58.1. The preliminary report;
  - 58.2. A description of the actions taken by the applicant IE to correct non-conformities identified in the preliminary report;
  - 58.3. Comments of the applicant IE on the draft final report and a description of how they 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 report by the JI-AT and submit to the JISC:
  - 59.1. The final report by the JI-AT;
  - 59.2. Its considerations and conclusions regarding accreditation;
  - 59.3. Its recommendation as to whether or not to accredit the applicant IE .
60. The JI-AP shall inform the applicant IE of its recommendation. The applicant IE shall have six (6) working days to appeal against this recommendation or to withdraw its application. An appeal shall be addressed to the JISC in accordance with the provisions contained in section D.2. (annex on “Appeals procedure”).
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 (3) 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.



---

**Joint Implementation Supervisory Committee**

**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 of a PDD or the determination of emission reductions or 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 UNFCCC;
    - 68.3.c. A stakeholder<sup>14</sup>.
69. Once the JISC has decided to conduct a “spot-check”, the secretariat shall inform the AIE concerned and the JI-AP. The AIE shall pay for the cost of a “spot-check” in accordance with section D.3 (annex on “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, pending the result of the “spot check”, of the accreditation of the AIE 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 limitations of the assessment to particular requirements related to 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;
  - 72.2. Confirm the suspension or the withdrawal of accreditation of the spot-checked AIE. In accordance with the provisions of 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 lists, as appropriate.

**C.3. Re-accreditation**

74. The secretariat shall inform the AIE in due course of the date at which its accreditation is expiring and request the AIE to confirm whether it wishes to apply for re-accreditation.

---

<sup>14</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.



**Joint Implementation Supervisory Committee**

75. The AIE shall submit to the secretariat the documentation specified in section D.1 (annex on "Application documents").
76. An AIE may request re-accreditation at an earlier time to group the re-accreditation or accreditation of several sectoral scope(s) into one re-accreditation process.
77. After submission of the application documents, the JI accreditation procedure shall apply with a view to the JISC making a decision regarding recommending re-accreditation, suspension, withdrawal and reduction of sectoral scope(s) of an AIE based on the recommendation of the JI-AP.

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

78. An AIE may submit an application to be accredited for additional sectoral scope(s) at any time. The procedural steps for accreditation described in section C.1 shall apply. Section D.1 (annex on "Application documents") specifies the documentation to be submitted by an AIE requesting additional sectoral scope(s).
79. 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.
80. The work of the JI-AP and the JI-AT shall be designed in a way 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.
81. The recommendation of the JI-AP to the JISC, referred to in the procedural steps for accreditation (see section C.1), shall distinguish between accreditation for additional sectoral scope(s) and, if applicable, re-accreditation.

**C.5. Procedure in case a letter is to be issued indicating the successful completion of the desk review and the on-site assessment**

82. If further witnessing activities remain to be undertaken by the JI-AT once the desk review and the 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:
  - 82.1. The recommendation by the JI-AP to the JISC to accredit the applicant IE, for the sectoral scope(s) it is applying for, depends on the successful completion of the remaining witnessing activities;
  - 82.2. The determinations of PDDs and/or determinations of emission reductions or 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.
83. For this purpose, the accreditation procedure (see section C.1) shall be applied as modified below.
84. The procedural steps in paragraph 58 to 59 shall apply with the following modifications:
  - 84.1. The draft of the preliminary report (F-JI-PR), referred to in paragraph 58, shall be limited to aspects related to the desk review and the on-site assessment and not include any aspects related to a witnessing activity.
  - 84.2. Instead of considering a recommendation to the JISC regarding accreditation of the applicant IE (see paragraph 59), the JI-AP shall solely decide whether the applicant IE in question



---

**Joint Implementation Supervisory Committee**

meets the requirements limited to desk review and on-site assessment and an “indicative letter” shall be issued to the applicant IE.

85. The JI-AP shall inform the JISC and the relevant applicant IE of its decision and, if applicable, issue the “indicative letter”.
86. The relevant applicant IE may appeal against this decision by the JI-AP in accordance with the provisions in section D. 2 (annex on “Appeals procedure”).
87. The secretariat shall maintain a public record of “indicative letters” issued.
88. 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 procedural steps contained in paragraph 51 to 59 with the following modifications:
  - 88.1. The draft of the preliminary report (F-JI-PR), referred to in paragraph 53, shall be limited to aspects related to witnessing;
  - 88.2. The final report to the JI-AP referred to in paragraph 58 shall contain:
    - 88.2.a. The preliminary report;
    - 88.2.b. A description of actions taken by the applicant IE to correct non-conformities identified;
    - 88.2.c. Comments of the applicant IE on the draft final report limited to aspects related to witnessing and how they have been addressed;
    - 88.2.d. Conclusions by the JI-AT regarding accreditation for consideration by the JI-AP.
  - 88.3. The documents to be submitted to the JISC by the JI-AP, in accordance with paragraph 59, are as follows:
    - 88.3.a. The final report by the JI-AT;
    - 88.3.b. The documentation supporting its decision to issue the “indicative letter”;
    - 88.3.c. Its conclusions regarding accreditation for consideration by the JISC;
    - 88.3.d. Its recommendation as to whether or not to accredit the applicant IE.
89. Paragraphs 60 to 66 in section C.1. apply without modification.

**C.6. Notification on change of status of an applicant IE/AIE**

90. An applicant IE/AIE shall inform the secretariat, within ten (10) working days, of significant changes 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 may require additional work for the JI-AP and JI-AT with possible cost implications. For information on costs see Annex D.3. on fees and costs).
92. If an IE does not notify the secretariat of changes with in the deadline, the IE shall be liable to a fine determined by the JI-AP.



**Joint Implementation Supervisory Committee**

**D. Annexes**

**D.1. Application documents**

1. In case of an application for accreditation, the applicant IE shall provide the following documents/written information in eight (8) copies to the secretariat. Documents have to 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 a domestic legal entity or an international organization) (*JI guidelines*<sup>15</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 of PDDs as well as determinations of emission reductions or 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 related to sectoral scope(s) relevant to its application. If new sectoral scope(s) is/are proposed, all relevant information that would permit the determination of such new sectoral scope(s);
  - 1.9 A declaration that the applicant IE has not pending any judicial process for malpractice, fraud and/or other activity incompatible with its functions as an accredited independent entity (*JI guidelines*);
  - 1.10 A statement that operations of the applicant IE are in compliance with applicable national laws;
  - 1.11 If 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*).
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 related to sectoral scope(s);
  - 2.2 Documents<sup>16</sup> required for accreditation ensuring that all information available to the JISC and the JI-AP reflects the most up-to-date state of information.

<sup>15</sup> Elements in this list that are taken from the JI guidelines are marked accordingly.

<sup>16</sup> Regarding provisions for notification on change of status of an IE see section C.6.



---

**Joint Implementation Supervisory Committee**

**D.2. Appeals procedure**

1. 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 (6) working days. The appeal may only address the qualification of the JI-AT and/or non-compliance with procedures.
2. The appeal shall be submitted in writing to the designated officer in the secretariat.
3. The designated officer shall immediately inform the JI-AP and the JISC of the appeal.
4. 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:
  - 4.1 The appeal submitted by the applicant IE ;
  - 4.2 The recommendation of the JI-AP challenged by the entity;
  - 4.3 A list of five (5) candidates for an appeal panel.
5. The JISC shall consider the file and establish an appeal panel of three (3) members.
6. The appeal panel shall prepare a recommendation regarding the appeal for consideration at the next meeting of the JISC.
7. The cost for conducting an appeals procedure shall be covered in accordance with the provisions in section D.3 (annex on “Fees and costs”).

**D.3. Fees and costs**

1. This annex provides the structure for fees<sup>17</sup> related 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.

***Non-reimbursable application fee***

2. 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 JI-AT member for two (2) working days on average) and related administrative procedures. In case the desk review requires more than 2 working days, the secretariat will include the cost in its quote and payable at the on-site assessment.
3. The applicant IEs from non-Annex I Parties may have the possibility of paying 50 per cent of the non-reimbursable fee when the entity apply for accreditation, provided that these entities state their 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 at a later stage once and if the entity is accredited and designated and starts operation.

---

<sup>17</sup> For indicative level of fees for different steps of assessment please refer to the UNFCCC JI web site (<http://unfccc.int/JI>).



---

**Joint Implementation Supervisory Committee**

4. The non-reimbursable application fee is to be paid at the time the application is submitted. Applications start being processed once the secretariat has received the fee.

***Reimbursement conditions in case of withdrawal of an application***

5. If an 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 effected.

***Fee and 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 the following cost items (dates, schedules and accommodation arrangements to be coordinated through the secretariat):
  - 6.1 Business class airfare for each member;
  - 6.2 UN daily subsistence allowance applicable to each team member for the assessment mission (as provided by the UNFCCC secretariat).
7. In addition, the applicant IE shall pay directly to the AT members a fee to cover the cost for the work provided by the JI-AT members<sup>18</sup>. 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.
8. The implementation of the on-site assessment depends on the payment in advance of the costs and the fee indicated.

***Costs associated with witnessing***

9. 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.
10. The applicant IE pays, directly 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 related to the intervention.
11. In the case the witnessing includes a site visit the applicant IE shall pay directly to the JI-AT members the following cost items (dates, schedules and accommodation arrangements to be coordinated through the secretariat), as applicable:
  - 11.1 Business class airfare for each member;
  - 11.2 UN daily subsistence allowance applicable to each member for the witnessing mission (as provided by the UNFCCC secretariat).
12. The implementation of a witnessing activity depends on the payment in advance of the costs and the fee identified in paragraph 10 and 11 of this annex.

---

<sup>18</sup> The standard daily fee per JI-AT member is currently US\$400 (please refer to the UNFCCC JI web site for any changes).



**Joint Implementation Supervisory Committee**

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

14. The following changes which applicant IEs may make during the accreditation process may have some costs implications:
  - 14.1 Addition or subtraction to the list of sectoral scopes applied for;
  - 14.2 Changes in the legal status of the entity;
  - 14.3 Changes in ownership;
  - 14.4 Substantial changes in documentation.
  
15. The applicant IEs shall not be charged additional fee for these changes if the applicant IE indicates 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 the change is notified 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 change is only notified 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.
  
16. There will be no additional charges if the applicant IE changes its name in the course of accreditation process provided its legal status remains unchanged.

***Costs of “spot-checks”***

17. The costs for a “spot check” shall be covered by the AIE concerned. The secretariat will provide the AIE with an itemized quote. The AIE shall pay in advance. If the payment is not received within 30 days of the date of the receipt of the quote, the secretariat informs the JI-AP and the accreditation of the entity is automatically and immediately suspended.

***Costs of an appeal***

18. The costs for an appeal shall be covered by the applicant IE concerned. The secretariat will provide the applicant IE with an itemized quote 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 quote was provided, the appeal is considered withdrawn by the applicant IE.
  
19. In case the appeal is deemed valid, the applicant IE shall be reimbursed the total amount of the “appeals fee”.



---

**Joint Implementation Supervisory Committee**

**D.4. Forms used in the JI accreditation process**

1. The list below indicates the necessary forms by step of 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. The JI-AT team shall assume the responsibility for all its reports.

*Application for accreditation*

- F-JI-A = Application for accreditation

*Desk review*

- F-JI-DOR = Desk review and on-site assessment report
- F-JI-Addoc = Form for identification of additional documentation

*On-site assessment of the applicant IE*

- F-JI-DOR = Desk review and on-site assessment report
- F-JI-NC = Non conformance, corrective action and clearance form
- F-JI-MA = Standard agenda for opening and closing meeting
- F-JI-MAR = Attendance register for meetings

*Witnessing*

- F-JI-WRval = Witnessing report form – determination of PDDs
- F-JI-WRvc = Witnessing report form – determination of emission reductions
- F-JI-WOI = Witnessing opportunities identification form
- F-JI-NC = Non conformance, corrective action and clearance form
- F-JI-MA = Standard agenda for opening and closing meeting
- F-JI-MAR = Attendance register for meetings

*“Spot-check”/Unscheduled surveillance*

- Spot-check/unscheduled surveillance report (to be prepared at a later stage)
- F-JI-MA = Standard agenda for opening and closing meeting
- F-JI-MAR = Attendance register for meetings

*Other*

- F-JI-CA = Confidentiality and non-disclosure agreement for personnel taking part in an assessment (JI-AT member)
- F-JI-FPM = Fee agreement for panel members
- F-JI-Evat = JI assessment team evaluation report

*Preliminary report*

- F-JI-PR = Preliminary report (includes, as attachments, forms used in the preceding steps)

*Final report*

- F-JI-FR = Final report (includes, as attachment, F-JI-PR)



**Joint Implementation Supervisory Committee**

**D.5. 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
ERU	Emission reduction unit
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

-----