

**SECOND PROGRESS REPORT  
OF THE  
JOINT IMPLEMENTATION ACCREDITATION PANEL (JI-AP)**

**CONTENTS**

	<i>Page</i>
<b>I. INTRODUCTION.....</b>	<b>2</b>
<b>II. STATUS OF APPLICATIONS FOR ACCREDITATION.....</b>	<b>2</b>
<b>III. RECOMMENDATIONS FROM THE PANEL.....</b>	<b>2</b>
<b>IV. STATUS OF ROSTER OF EXPERTS.....</b>	<b>2</b>
<b>V. OTHER OUTPUTS OF THE PANEL.....</b>	<b>2</b>
<b>VI. ISSUES UNDER CONSIDERATION.....</b>	<b>3</b>
<b>ANNEXES.....</b>	<b>4</b>
<b>Annex 1: Status of applications for accreditation.....</b>	<b>5</b>
<b>Annex 2: Draft “Procedure for accrediting independent entities by the Joint     Implementation Supervisory Committee (Version 02)”.....</b>	<b>7</b>
<b>Annex 3: Draft clarifications.....</b>	<b>35</b>
<b>Clarification regarding conditions for designated operational entities for         acting provisionally as accredited independent entities.....</b>	<b>36</b>
<b>Clarification regarding witnessing opportunities under the joint         implementation accreditation procedure.....</b>	<b>37</b>
<b>Clarification regarding identification of witnessing opportunities by         designated operational entities acting provisionally as accredited independent         entities 38</b>	
<b>Clarification regarding premises of accredited independent entities.....</b>	<b>39</b>

## I. INTRODUCTION

1. This second progress report covers the period from 18 October 2006 to 26 January 2007. During this period the Joint Implementation Accreditation Panel (JI-AP) held two meetings.

## II. STATUS OF APPLICATIONS FOR ACCREDITATION

2. Since the opening of the process of receiving submissions of applications from independent entities (IEs) for the joint implementation (JI) accreditation process on 6 October 2006, **13 applications have been received** by the secretariat by the end of the present reporting period. All of these applications are from entities that also applied for accreditation under the clean development mechanism (CDM), of which 12 entities have already been designated for at least one function (validation or verification/certification) in at least one sectoral scope under the CDM.

3. The JI-AP, at the two meetings held during the present reporting period, had the initial considerations of all 13 applications and requested, as appropriate, applicant IEs to provide further documents to clarify the information contained in their application documentation. Having received the responses to these requests, the JI-AP consequently agreed on the initial workplan identifying particular issues for attention by the joint implementation assessment team (JI-AT) for each application, and established JI-ATs for 12 applications. For the remaining one application the JI-AP postponed the formulation of the workplan and the establishment of JI-AT until it receives further documents/information already requested by the secretariat after its completeness/adequacy check. The details of the applications and the status of processing the applications are presented in annex 1.

## III. RECOMMENDATIONS FROM THE PANEL

4. Taking into account the recent revisions of the CDM accreditation procedure by the Executive Board of the CDM, the JI-AP considered the revision of the JI accreditation procedure (version 1) and agreed to recommend the revised procedure as version 2 to the Joint Implementation Supervisory Committee (JISC), as contained in annex 2. The revision relates to the provisions on, among others, witnessing activity, spot-check, re-accreditation, and notification on change of status of an applicant IE. The revision clarifies and increases the effectiveness of the abovementioned elements in the procedure.

5. The JI-AP identified issues to be clarified with regard to the JI accreditation procedure, prepared four draft clarifications to cover these issues as contained in annex 3, and agreed to recommend them to the JISC for its adoption. The issues relate to i) the conditions for DOEs to act provisionally as accredited independent entities (AIEs) under JI, ii) the scope, steps and restrictions of witnessing activity, and iii) the scope of responsibilities of the accredited premises of AIEs.

## IV. STATUS OF ROSTER OF EXPERTS

6. 28 applications were received by the secretariat for the first call for experts for JI-ATs (9 October - 20 November 2006). Out of these, the JI-AP agreed to include 18 applicants in the roster of experts. In order to increase the number of experts qualified as team leaders, the JI-AP decided to launch a second call for experts, which was open for the period of 13 December 2006 - 17 January 2007. Of 15 applications received by the secretariat for the second call, the JI-AP agreed to include ten experts in the roster. As a result, **there are currently 28 experts in the roster**. For future reserve, the JI-AP decided to launch an open-ended call for experts for the roster.

## V. OTHER OUTPUTS OF THE PANEL

7. The JI-AP discussed and agreed on the guidance to JI-ATs for the preparation of assessment plans. The guidance presents examples of the timetable and agenda for on-site assessments of applicant IEs that JI-ATs can follow with necessary modifications, for efficient and systematic organization of on-site assessments.

8. The JI-AP agreed on the guidance for preliminary consideration of applications for accreditation for the use by the JI-AP and the secretariat. The guidance clarifies the scope of completeness/adequacy check by the secretariat and the scope of preliminary consideration by the JI-AP of the application documentation, in order to systematize as well as to avoid any duplicated efforts of screening application documentation before handing over it to JI-ATs for their detailed assessment work.

9. The JI-AP decided to organize the first training session for members on the roster of experts for JI-ATs to be held in Bonn, Germany on 12 February 2007, in conjunction with the UNFCCC technical workshop on JI. Together with the participation in the workshop, the experts in the roster are expected to gain practical and up-to-date knowledge of JI and the JI accreditation procedure.

## **VI. ISSUES UNDER CONSIDERATION**

10. Responding to the request from the JISC, the JI-AP started considering measures to reduce cost and time for the accreditation of IEs, in particular of DOEs. In this connection, and with a view to enhancing the timeliness of the accreditation of IEs, the JI-AP suggests the JISC to consider options that allow the accreditation of applicant IEs for the function of determination of emission reductions or enhancements of removals by sinks before 2008.

11. Recognizing that the verification procedure under the JISC does not incorporate the step of approval of methodologies before using them in project design documents as opposed to the procedure under the CDM, the JI-AP started considering how to appropriately assess the competency of applicant IEs in methodological issues during the accreditation procedure, as well as how to obtain competent experts in JI-ATs on methodological issues, which could be more demanding than in the case of the CDM.

12. The JI-AP discussed the possible modalities of communication with IEs in general, and agreed, following the interaction with IEs and discussion with the JISC during the workshop referred to in paragraph 9 above, to consider this subject at future meetings.

13. As a way to increase the consistency and credibility of the assessments by JI-ATs, the JI-AP started developing a handbook of references related to the JI accreditation process, and decided to develop guidance for preparation of assessment reports.

-----

## ANNEXES

### **Annex 1: Status of applications for accreditation**

### **Annex 2: Draft “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee (Version 02)”**

### **Annex 3: Draft clarifications**

- Clarification regarding conditions for designated operational entities for acting provisionally as accredited independent entities
- Clarification regarding witnessing opportunities under the joint implementation accreditation procedure
- Clarification regarding identification of witnessing opportunities by designated operational entities acting provisionally as accredited independent entities
- Clarification regarding premises of accredited independent entities

## Annex 1: Status of applications for accreditation

UNFCCC Ref. No.	Entity name	Sectoral scopes applied	Accreditation steps								
			Completeness check	Preliminary consideration	Workplan	JI-AT establishment	Desk review	On-site assessment	Witnessing activity	Indicative letter	Phased accreditation
JI-E-0001	Det Norske Veritas Certification Ltd (DNVcert)	1-15	✓	✓	✓	Members selected					
JI-E-0002	Japan Quality Assurance Organization (JQA)	1-15	✓	✓	✓	✓					
JI-E-0003	Tohmatsu Evaluation and Certification Organization Co., Ltd	1-10, 12-13, 15	✓	✓	✓	Members selected					
JI-E-0004	Lloyd's Register Quality Assurance Ltd. (LRQA)	1-13	✓	✓	✓	Members selected					
JI-E-0005	JACO CDM., Ltd.	1-15	✓	✓	✓	✓					
JI-E-0006	Japan Consulting Institute (JCI)	1-5, 8-11, 13	✓	✓	✓	Members selected					
JI-E-0007	Bureau Veritas Certification Holding S.A.	1-15	✓	✓	✓	Members selected					
JI-E-0008	TÜV SÜD Industrie Service GmbH (TÜV-SÜD)	1-15	✓	✓	✓	Members selected					
JI-E-0009	Spanish Association for Standardisation and Certification (AENOR)	1-15	✓	✓	✓	Members selected					
JI-E-0010	SGS United Kingdom Limited	1-15	✓	✓	✓	Members selected					
JI-E-0011	TÜV NORD CERT GmbH	1-15	✓	✓	✓	Members selected					

UNFCCC Ref. No.	Entity name	Sectoral scopes applied	Accreditation steps								
			Completeness check	Preliminary consideration	Workplan	JI-AT establishment	Desk review	On-site assessment	Witnessing activity	Indicative letter	Phased accreditation
JI-E-0012	TÜV Industrie Service GmbH, TÜV Rheinland Group (TÜV Rheinland)	1-15	✓	✓	✓	Members selected					
JI-E-0013	SQS, Swiss Association for Quality and Management Systems	13	✓								

**Legend:**

✓ = stage completed

**Annex 2: Draft “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee (Version 02)”**

**Note by the secretariat**

1. The attached document includes substantive changes as well as editorial changes from the previous version (Version 01). The main substantive changes that require particular attention of the Joint Implementation Supervisory Committee (JISC) are highlighted in yellow, and listed as follows:

- (a) It is made clear that the processing of a proposal, if any, of (a) new sectoral scope(s) by an applicant independent entity (IE) takes place before the regular steps of processing the application (i.e. from the completeness check of the application documentation by the secretariat) (section B.2.);
- (b) In the procedure of on-site assessment, a new provision is introduced that allows additional three months for an applicant IE to implement corrective actions, in case the corrective actions in the first six months are not found satisfactory by the joint implementation assessment team (JI-AT) (paragraph 39);
- (c) In the procedure of witnessing activities, a new provision is introduced that requires witnessing for the function of determination regarding emission reductions or enhancements of removals by sinks to include a visit to the project site. Also, the provision that leads to the rejection of application in case corrective actions by the applicant IE are not completed within six months is modified to that leads to the rejection of only that particular witnessing (section C.1., subsection “Witnessing activities”);
- (d) The procedure of unscheduled surveillance (“spot-check”) and the consideration of its result by the JI-AT, the Joint Implementation Accreditation Panel (JI-AP) and the JISC is substantially elaborated and strengthened (section C.2.);
- (e) In the procedure of re-accreditation, it is made the responsibility of accredited independent entities (AIEs) to notify the secretariat its wish for re-accreditation without being prompted by the secretariat. Also, the deadline for notification is made earlier. The requirement to include a large-scale project for witnessing for each function is dropped. A new provision is introduced that requires the JI-AP to approve the number of witnessing activities. Furthermore, a provision that allows sampling methods is introduced (section C.3.);
- (f) In the procedure of notification on change of status of applicant IE or AIE, a provision that specifically deals with the case of shifting premises is introduced (paragraph 101);
- (g) An new annex (annex 4) “Phasing of accreditation” is introduced to allow easier understanding of the provision referred to in section B1.1..



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

(Version 02)<sup>1</sup>

### Contents

	<i>Page</i>
<b>A. Introduction .....</b>	<b>9</b>
<b>B. Scope of accreditation .....</b>	<b>12</b>
<b>B.1. Definition of scope of accreditation .....</b>	<b>12</b>
<b>B.1.1. Phasing of accreditation .....</b>	<b>12</b>
<b>B.2. Procedure to develop the list of sectoral scopes of accreditation.....</b>	<b>12</b>
<b>C. Accreditation, unscheduled surveillance, re-accreditation and notification of changes.....</b>	<b>14</b>
<b>C.1. Accreditation .....</b>	<b>14</b>
<b>C.2. Unscheduled surveillance (“spot-check”) .....</b>	<b>20</b>
<b>C.3. Re-accreditation.....</b>	<b>22</b>
<b>C.4. Accreditation for additional sectoral scope(s).....</b>	<b>23</b>
<b>C.5. Procedure for issuing a letter indicating the successful completion of the desk review and the on-site assessment .....</b>	<b>23</b>
<b>C.6. Notification on change of status of an applicant independent entity/accredited independent entity .....</b>	<b>24</b>
<b>C.7. Appeals procedure.....</b>	<b>24</b>
<b>D. Annexes .....</b>	<b>26</b>
<b>Annex 1. Application documents.....</b>	<b>26</b>
<b>Annex 2. Fees and costs.....</b>	<b>28</b>
<b>Annex 3. Forms used in the JI accreditation process .....</b>	<b>31</b>
<b>Annex 4. Phasing of accreditation.....</b>	<b>32</b>
<b>Annex 5. Abbreviations.....</b>	<b>34</b>

<sup>1</sup> Effective as of [17 February 2007]





## 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) 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 that are processed under the verification procedure under the JISC.
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>3</sup>, and taking into consideration paragraphs 13 and 42-45 of the JI guidelines. The JISC may revise this JI accreditation procedure in the future. The JISC shall inform any accredited IE (AIE) and any applicant IE of any such revision. Any revision shall be immediately made public on the UNFCCC JI website.<sup>4</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 to the JI guidelines;<sup>5</sup>
  - 3.2 The **Joint Implementation 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 joint implementation 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;<sup>6</sup>
  - 3.4 The **secretariat** supports the implementation of the JI accreditation procedure.

<sup>2</sup> Annex to decision 9/CMP.1, contained in the document 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>3</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 to the guidelines for the implementation of Article 6 of the Kyoto Protocol, taking into consideration, as appropriate, the procedures for accrediting operational entities developed by the Executive Board of the clean development mechanism”.

<sup>4</sup> <<http://ji.unfccc.int>>.

<sup>5</sup> The terms used in this document are: “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.

<sup>6</sup> The JISC, at its fifth meeting, delegated its function of establishing and maintaining the rosters of experts to the JI-AP.



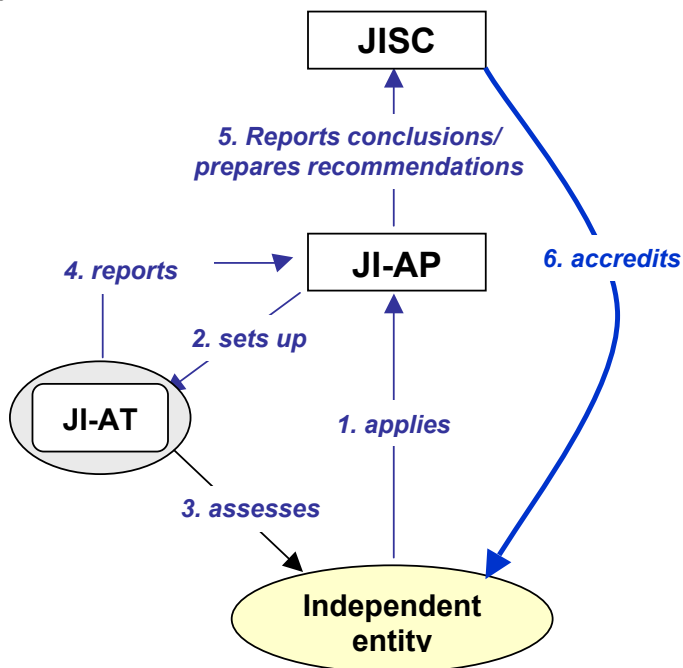
4. The assessment of an applicant IE consists of three main elements:
  - 4.1 **Desk review** by a JI-AT of the documentation submitted by an applicant IE against the JI accreditation requirements;
  - 4.2 **On-site assessment** on the premises of the applicant IE by the JI-AT. The purpose of this **assessment** is to confirm whether the operational capability of the applicant IE presented in the documentation provided by the applicant IE meets the requirements listed in appendix A to the JI guidelines and other relevant documents developed by the COP/MOP, JISC and/or JI-AP. 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 be granted 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>7</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 determinations regarding PDDs and determinations of emission reductions or enhancements of removals by sinks of JI projects within the sectoral scope(s) applied for. Witnessing activities shall be required for both functions: determination regarding a PDD and determination of emission reductions or enhancements of removals by sinks. The scope of witnessing shall include assessment of substantive decision-making capacity of the IE. Witnessing activities at the stage of determination regarding a PDD, and, if appropriate, at the stage of 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 on how the determination has been performed (for more information see section C.1., subsection “Witnessing activities”). 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 only after 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 of an AIE by the JISC involving 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.).

---

<sup>7</sup> Witnessing of tasks done by applicant IEs shall be carried out on proposed JI projects in the case of accreditation for determination regarding a PDD, and on JI projects with final positive determinations regarding PDDs in the case of accreditation for determination of emission reductions or enhancements of removals.



Figure 1



Main elements of assessment:

- i. Desk review of documentation
- ii. On-site assessment
- iii. Witnessing of performance of tasks within scope



## 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 a PDD or determination of emission reductions or enhancements of removals by sinks) and its sectoral scopes. 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>8</sup> specifies (a) the areas in which an AIE may perform determinations regarding PDDs and/or determinations of emission reductions or enhancements of removals by sinks, and (b) the requirements that an 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>9</sup>. The phasing of accreditation depends on the successful completion of a witnessing activity for a specific function in a particular sectoral group. The successful completion of a witnessing activity in one function (e.g. determination regarding a PDD) for a sectoral group may allow the IE 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 (for details see annex 4).
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 the requirements to be met in addition to those listed in appendix A to 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.

---

<sup>8</sup> “List of sectoral scopes (P-JI-ACCR-03)”.

<sup>9</sup> The JI-AP may group the sectoral scopes into sectoral groups in order to facilitate the witnessing activities.



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 to the JI guidelines.
15. The JI-AP at its next meeting from the submission of the application referred to in paragraph 14 above 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, the JI accreditation procedure (see section C.1) shall apply from the step described in paragraph 23 below. 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 additions before the step described in paragraph 23 below:
  - 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. The applicant IE shall reply in writing within six working days after the date it received the information in accordance with paragraph 17.2 above whether it wishes to proceed with its application for the new sectoral scope(s) or withdraw its application.



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

### C.1. Accreditation

20. The accreditation procedure comprises the following main steps:<sup>10</sup>
  - 20.1 Submission of application documents for accreditation by an applicant IE;
  - 20.2 Completeness check of the application documents by the secretariat
  - 20.3 Preliminary consideration of the application documents and setting-up of JI-AT by the JI-AP;
  - 20.4 Desk review by a JI-AT of the documents provided by the applicant IE;
  - 20.5 On-site assessment by the JI-AT on the premises of the applicant IE;
  - 20.6 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 determination regarding a PDD and determination of emission reductions or enhancements of removals by sinks as an AIE in the scope(s) of accreditation for which it has applied;
  - 20.7 Reporting of the JI-AT to the JI-AP;
  - 20.8 Recommendation on accreditation by the JI-AP to the JISC;
  - 20.9 Decision by the JISC on accreditation.
21. An IE shall submit to the JI-AP through the secretariat a completed application form (F-JI-A)<sup>11</sup> and all the documents specified in annex 1 “Application documents”.<sup>12</sup> Unless otherwise stipulated in the JI accreditation procedure, all information, communications and meetings shall be confidential.
22. 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 steps in the accreditation procedure shall only be implemented once the corresponding payments are received. The processing of applications shall commence and proceed in the order in which the application fees are received. **If the applicant IE proposes (a) new sectoral scope(s), additional processing steps described in paragraphs 15-19 above shall be taken before proceeding to the following step.**
23. 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.

---

<sup>10</sup> The accreditation procedure shall be implemented using, to the extent possible, teleconferencing and electronic communication facilities.

<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 to the JI guidelines. The list of forms is available in annex 3 “Forms used in the JI accreditation process” to 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>12</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.



24. 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.
25. 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”).
26. 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:
  - 26.1 All application documents;
  - 26.2 Suggestions with regard to a list of possible candidates for the JI-AT (identifying those qualified as team leaders).
27. The JI-AP shall:
  - 27.1 At its next meeting, review the application documents preliminarily and, as appropriate, consider the particular issues and prepare the workplan for the assessment. The JI-AP may decide to review the application documents electronically;
  - 27.2 Select the members of the JI-AT and identify its 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 documents submitted and the sectoral scope(s) of accreditation applied for;
28. 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 (a) replacement(s) for the JI-AT member(s) in question.
29. Each JI-AT member shall sign a confidentiality and non-disclosure agreement (form F-JI-CA).

***Desk review***

30. The JI-AP shall provide the JI-AT with:
  - 30.1 All information relating to the application;
  - 30.2 The conclusions of its preliminary review of the application;
  - 30.3 The workplan for the JI-AT.
31. The JI-AT shall undertake the desk review of the documents provided by the applicant IE and prepare the desk review report (form F-JI-DOR).<sup>13</sup>
32. 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).

---

<sup>13</sup> Requirements implicit in the questions contained in the form shall be considered as prescriptive and as explicit provisions reflecting the intention of the generic provisions described in appendix A to the JI guidelines.



33. The applicant IE will be informed of the inadequate documentation through the secretariat. The applicant IE shall have 14 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 additional time shall be allocated at the on-site assessment to study the requested additional documents and information on-site. **Any additional cost resulting from the extension shall be borne by the applicant IE.**
34. 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 documents and information in accordance with paragraph 30 above. In case inadequate documentation is identified and the provision of additional documents and information is requested to the applicant IE in accordance with paragraphs 32-33 above, the deadline may be extended accordingly.

*On-site assessment*

35. 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.
36. The on-site assessment shall consist of the following steps:<sup>14</sup>
- 36.1 An opening meeting, chaired by the JI-AT 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;
  - 36.2 An assessment by the JI-AT of the operational capability of the applicant IE against the requirements:
    - 36.2.a. Contained in the JI guidelines;<sup>15</sup>
    - 36.2.b. Relating to the particular sectoral scope(s) for which the applicant IE applied;
    - 36.2.c. Relevant decisions and clarifications issued by the JISC and the JI-AP;<sup>16</sup>
  - 36.3 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:
    - 36.3.a. The applicant IE shall have opportunities to provide comments at later steps as described in the JI accreditation procedure;
    - 36.3.b. The final recommendation to the JISC will be made by the JI-AP;
    - 36.3.c. The applicant IE may appeal to the JISC against the recommendation of the JI-AP.
37. After completion of the on-site assessment, the JI-AT shall have **15 working** days to prepare a draft on-site assessment report (form F-JI-DOR).

<sup>14</sup> Forms to be used for the on-site assessment are listed in annex 3 "Forms used in the JI accreditation process".

<sup>15</sup> Contained in appendix A to the JI guidelines.

<sup>16</sup> For relevant decisions and clarifications please refer to the UNFCCC JI website <<http://ji.unfccc.int>>.





38. 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 timeframe 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.
39. 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. In case the implementation of corrective actions are not found satisfactory by the JI-AT, the applicant IE shall have three months to implement the corrective actions and submit further documentation.
40. The JI-AT shall prepare, with the assistance of the secretariat, a preliminary assessment report (form F-JI-PR) within 15 days from the receipt of the documentation affirming the completion of corrective actions. The preliminary assessment report shall contain as a minimum:
- 40.1. The date(s) of the assessment(s);
  - 40.2. The names of the JI-AT members, identifying those responsible for the report;
  - 40.3. The name(s) and address(es) of all the relevant applicant IE sites assessed during the on-site assessment;
  - 40.4. An assessment of the competence, experience and substantive decision-making capacity of the applicant IE in the sectoral scope(s) assessed, including a list of the names of key staff involved, their qualifications, experience and authority;
  - 40.5. An assessment of the adequacy of the internal organization and procedures adopted by the applicant IE ensuring confidence in the quality of its services;
  - 40.6. 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;
  - 40.7. A description of non-conformities and corrective actions implemented by the applicant IE.
41. 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.
42. 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 41 above. The final assessment report shall contain, as a minimum:
- 42.1. The preliminary assessment report;
  - 42.2. A description of the actions taken by the applicant IE to correct non-conformities identified in the preliminary assessment report;
  - 42.3. Comments of the applicant IE on the preliminary assessment report and a description of how they have been addressed by the JI-AT.
43. 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*

44. The applicant IE shall identify (a) witnessing opportunity(ies) by filling in the form for identification of witnessing opportunities (form F-JI-WOI). The JI-AT leader shall approve the witnessing activity(ies) and prepare the workplan.
45. A JI-AT shall only accept witnessing opportunities, identified by the applicant IE, for which the applicant IE has not yet started performing functions.
46. Each witnessing activity<sup>17</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.
47. The witnessing activities for the function of determination regarding a PDD shall be based on documentary evidence of an applicant IE performing the functions of determination regarding a PDD and/or determination of emission reductions or enhancements of removals by sinks relevant to the sectoral scope(s) of accreditation. A JI-AT leader may 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 the approval of the JI-AP.
48. The witnessing activities for the function of determination of emission reductions or enhancements of removals by sinks shall be carried out by including a visit to the project site. The secretariat shall facilitate the coordination of the visit to the project site.
49. Each JI-AT member shall prepare a separate witnessing activity report and submit it to the JI-AT leader through the secretariat within 10 days from the receipt of the documentary evidence or completion of site visit. The JI-AT leader shall prepare a consolidated witnessing activity report within 20 days from the receipt of the documentary evidence or completion of site visit. The witnessing activity report shall include an evaluation of the performance of tasks by the applicant IE with regard to:
  - 49.1. The sectoral scope(s) sought;
  - 49.2. Its knowledge of JI specific requirements and the relevant steps in the JI project cycle according to the JI guidelines;
  - 49.3. Substantive decision-making capabilities of the applicant IE.
50. 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.
51. The JI-AT shall, within 10 days after each witnessing activity is completed (i.e. after the submission of the consolidated witnessing activity report to the JI-AP), prepare a draft preliminary assessment report (form F-JI-PR) based on the witnessing activity report. The JI-AT, in preparation of the draft preliminary assessment report, may request for additional information/clarifications from the applicant IE. The preliminary assessment report shall contain as a minimum:
  - 51.1. The date(s) of the assessment(s);
  - 51.2. The names of the JI-AT members, identifying those responsible for the report;

<sup>17</sup> Forms used in a witnessing activity are listed in annex 3 “Forms used in the JI accreditation process”.



- 51.3. The name(s) and address(es) of all the relevant applicant IE and/or project sites assessed (in case the witnessing includes on-site visit);
  - 51.4. The sectoral scope(s) assessed;
  - 51.5. 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;
  - 51.6. An assessment of the adequacy of the internal organization and procedures adopted by the applicant IE ensuring confidence in the quality of its services;
  - 51.7. A description of the determination regarding a PDD or the determination of emission reductions or enhancements of removals by sinks witnessed;
  - 51.8. 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;
  - 51.9. An identification and description of non-conformities with requirements relating to the sectoral scope(s) of accreditation.
52. 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.
53. The applicant IE shall:
- 53.1. Consider the draft preliminary assessment report of the JI-AT;
  - 53.2. 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 the timeframe 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 witnessing is automatically rejected. The applicant IE may submit (a) new witnessing opportunity(ies) for the sectoral scope.
54. The applicant IE may propose (a) witnessing opportunity(ies) (form F-JI-WOI) in other sectoral scopes or function at any time.
55. The JI-AT shall have 15 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.
56. The applicant IE shall have the opportunity to comment within six working days on the preliminary assessment report.
57. 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 56 above. The final assessment report shall contain, as a minimum, the following:
- 57.1. The preliminary assessment report;
  - 57.2. A description of the actions taken by the applicant IE to correct non-conformities identified in the preliminary assessment report;
  - 57.3. Comments of the applicant IE on the preliminary assessment report and a description of how the comments have been addressed by the JI-AT;
  - 57.4. Conclusions regarding accreditation for consideration by the JI-AP.
58. The JI-AP shall consider the final assessment report by the JI-AT and submit to the JISC:
- 58.1. The final assessment report by the JI-AT;
  - 58.2. Its considerations and conclusions regarding accreditation;



- 58.3. Its recommendation as to whether to accredit the applicant IE.
59. 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.
60. The information submitted by the JI-AP to the JISC regarding accreditation of an applicant IE shall be considered as confidential.
61. 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.
62. The JISC shall decide whether to:
- 62.1. Accredit the applicant IE as an AIE specifying the sectoral scope(s) and function(s); or
- 62.2. Reject the application and provide an explanation for the rejection.
63. 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.
64. The accreditation of the IE for any sectoral scope **and function** 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.
65. An AIE shall have the opportunity for re-accreditation in accordance with the provisions contained in section C.3.

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

66. The JISC may conduct “spot-check” activities (i.e. unscheduled surveillance) of AIEs at any time. The following provisions shall apply.
67. The consideration by the JISC to conduct a spot-check of an AIE may be triggered by, inter alia:
- 67.1. 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;
- 67.2. 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 regarding ownership, organizational structure, internal policies and procedures, technical expertise of personnel;
- 67.3. A written, substantiated complaint regarding the alleged failure of the AIE to comply with the requirements of its accreditation submitted to the JISC by:
- 67.3.a. Another AIE;
- 67.3.b. An NGO accredited with the UNFCCC;
- 67.3.c. A stakeholder.<sup>18</sup>
- 68. Once the JISC has decided to conduct a spot-check, the JISC shall agree on the scope of the spot-check and inform the JI-AP.**

---

<sup>18</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.



69. The JI-AP shall consider the case and:
- 69.1. Elaborate the scope of the spot-check for the JI-AT;
  - 69.2. Establish a JI-AT;
  - 69.3. Conclude, depending on the gravity of the case, whether:
    - 69.3.a. To recommend to the JISC the immediate suspension of the accreditation of the AIE, pending the result of the spot-check, and/or;
    - 69.3.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;
    - 69.3.c. To send an advance notification of the spot-check to the AIE.
70. The concerned AIE shall pay for the cost of the “spot-check” in accordance with annex 2 “Fees and costs”.
71. The JI-AT shall review the AIE documentation provided by the secretariat and prepare an assessment plan taking into consideration the scope of the assessment agreed by the JI-AP. The assessment plan shall be approved by the CDM-AP.
72. The JI-AT shall undertake the spot-check assessment and prepare a report<sup>19</sup> within five days after the date of the assessment and submit them to the JI-AP. The spot-check report shall contain, as a minimum, the following:
- 72.1. Relevant assessment reports;
  - 72.2. A description of non-conformities identified;
  - 72.3. A final assessment report including conclusions regarding accreditation or suspension for consideration by the JI-AP.
73. The JI-AP shall consider the reports and submit to the JISC its recommendation as to whether to:
- 73.1. Suspend the accreditation of the AIE for all sectoral scopes the entity is accredited for or for the sectoral scope(s) in question with a time period to undertake and verify corrective actions relating to non-conformities;
  - 73.2. Withdraw the accreditation of the AIE;
  - 73.3. Confirm accreditation of the AIE.
74. The JISC shall decide, based on the documents submitted by the JI-AP, whether to:
- 74.1. Confirm the accreditation of the AIE, or;
  - 74.2. Organize a hearing from the AIE, and as a result of the hearing whether to:
    - 74.2.a. Confirm the accreditation of the AIE, or;
    - 74.2.b. Suspend or withdraw the accreditation of the spot-checked AIE if it has carried out a review and found that the entity no longer meets the accreditation standards laid down in appendix A of the JI guidelines. In accordance with paragraph 42 of the JI guidelines, the suspension or the withdrawal is with immediate effect. The affected entity shall be notified, immediately and in writing, once the JISC has decided upon its suspension or withdrawal. The decision by the JISC on such a case shall be made public.
75. In case of suspension of the accreditation, the AIE may undertake corrective actions relating to non-conformities within the time-frame identified by the JISC in its decision.

<sup>19</sup> Depending on the scope of the assessment, relevant sections of the F-JI-DOR, F-JI-NC, F-JI-WRdppd, F-JI-WRderu, F-JI-PR and F-JI-FR shall be used.



76. The implementation of corrective actions shall be verified by the JI-AT.
77. The JI-AP shall consider the reports and submit to the JISC its recommendations as to whether to:
- 77.1. Terminate the suspension of the accreditation of the AIE;
  - 77.2. Withdraw the accreditation of the AIE.
78. The JISC shall decide, based on the recommendation by the JI-AP, whether to:
- 78.1. Terminate the suspension of the accreditation of the AIE;
  - 78.2. Withdraw the accreditation of the AIE. In accordance with the provisions of paragraph 42 of the JI guidelines, the withdrawal is with immediate effect.
79. 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.
80. The JISC, depending on the gravity of the case, may decide the immediate suspension of the accreditation of the AIE for all sectoral scopes the entity is accredited for or for the sectoral scope(s) in question. In this case, the JISC may also decide to make the name of the AIE public before the conduct of the spot-check.

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

81. AIEs, by nine months before the expiry date of their accreditation, shall inform the secretariat whether they wish to apply for re-accreditation.
82. An AIE that wishes to apply for re-accreditation 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 PDDs 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.
83. 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 activity(ies). The number of witnessing activities shall be determined on the basis of the assessment of the work performed by the entity in the last accredited period. The JI-AP shall approve the required number of witnessing activity(ies) as recommended by the JI-AT through a workplan.
84. The JI-AT, in undertaking the desk review and an evaluation of the work performed by the AIE, shall identify the areas to be focused on during the on-site assessment and include in the assessment plan for the entity. The JI-AT may apply sampling methods taking into consideration the work performed by the AIE and request for any additional information/documents if required.
85. 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, reduction of sectoral scopes, suspension or withdrawal of accreditation based on the recommendation of the JI-AP.
86. 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)**

87. 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).
88. 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.
89. 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.
90. 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**

91. If any further 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:
  - 91.1. 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;
  - 91.2. 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.
92. For the purpose of issuing an indicative letter, the accreditation procedure (see section C.1) shall be applied as modified in paragraph 93 below.
93. The steps described in paragraphs 35 to 43 shall apply with the following modifications:
  - 93.1. The draft of the preliminary assessment report (form F-JI-PR), referred to in paragraph 40, shall be limited to aspects relating to the desk review and the on-site assessment, and if applicable, witnessing activity(ies);
  - 93.2. The JI-AP shall decide whether the applicant IE meets the requirements based only on desk review and on-site assessment and an “indicative letter” shall be issued to the applicant IE.
94. The JI-AP shall inform the JISC and the applicant IE of its decision and, if applicable, issue the “indicative letter”.
95. The applicant IE may appeal against the decision referred to in paragraph 94 above in accordance with the provisions in section C.7.
96. The secretariat shall maintain a public record of “indicative letters” issued.





97. 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 44 to 65 with the following modifications:
- 97.1. The draft of the preliminary assessment report (form F-JI-PR) referred to in paragraph 51 shall be limited to aspects relating to witnessing;
  - 97.2. The final assessment report (form F-JI-FR) to the JI-AP referred to in paragraph 57 shall contain:
    - 97.2.a. The preliminary assessment report;
    - 97.2.b. A description of the actions taken by the applicant IE to correct non-conformities identified in the preliminary assessment report;
    - 97.2.c. Comments of the applicant IE on the preliminary assessment report limited to aspects relating to witnessing and a description of how the comments have been addressed by the JI-AT;
    - 97.2.d. Conclusions regarding accreditation for consideration by the JI-AP.
  - 97.3. The documents to be submitted to the JISC by the JI-AP in accordance with paragraph 58 are as follows:
    - 97.3.a. The final report by the JI-AT;
    - 97.3.b. The documentation supporting the **JI-AP’s** decision to issue the “indicative letter”;
    - 97.3.c. The **JI-AP’s** conclusions regarding accreditation for consideration by the JISC;
    - 97.3.d. The **JI-AP’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**

98. An applicant IE/AIE shall inform the secretariat of any planned changes, three months before their implementation, and any unforeseen change(s) within 10 working days from the date it(they) took place, significantly affecting its:
- 98.1. Legal, commercial or organizational status, e.g. ownership, partnerships;
  - 98.2. Key professional staff;
  - 98.3. Management system;
  - 98.4. Compliance with accreditation requirements.
99. The changes notified by the applicant IE/AIE shall be considered by the JI-AP and may require additional work by the JI-AP and JI-AT with possible cost implications (For information on costs see annex 2 “Fees and costs”).
100. If an applicant IE/AIE does not notify the secretariat of changes within the deadlines, except for an unforeseeable and justifiable case, the entity may be **liable to a fine determined by the JISC and/or recommended for the suspension of its accreditation or any other appropriate action.**
- 101. Requests for shifting premises to other country(ies) shall be considered by the JI-AP on a case-by-case basis. The JI-AP, taking into consideration the nature of the request, may decide to undertake a desk review and/or on-site assessment to determine if the request should be treated as a new application.**

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

102. 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.
103. The appeal shall be submitted in writing to the designated officer in the secretariat.





104. The designated officer shall immediately inform the JI-AP and the JISC of the appeal.
105. 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:
  - 105.1 The appeal submitted by the applicant IE;
  - 105.2 The recommendation of the JI-AP challenged by the entity;
  - 105.3 A list of five candidates for an appeal panel.
106. The JISC shall consider the file and establish an appeal panel of three members.
107. The appeal panel shall prepare a recommendation regarding the appeal for consideration by the JISC at its next meeting or for electronic decision by the JISC in accordance with the rules of procedure of the JISC.
108. 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>20</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 any pending 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 involvement in 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*).

---

<sup>20</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>21</sup> required for accreditation, ensuring that all information available to the JISC and the JI-AP reflects the most up-to-date information.

---

<sup>21</sup> Regarding provisions for notification on change of status of an entity 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>22</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 or a Party with economy in transition included in Annex I to the Convention may pay 50 per cent of the non-reimbursable fee when the entity applies for accreditation, provided that the entity states its inability to pay the full fee at application, bearing in mind that the need to meet the standards as contained in 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 its operation.
4. The non-reimbursable application fee is to be paid at the time the application is submitted. Processing of an application begins when the secretariat has received the fee.

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

5. If the applicant IE decides to withdraw its application, any cost incurred up to 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 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):
  - 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.

---

<sup>22</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 members. 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 on the witnessing mission (the rate and number of days to be guided by the UNFCCC secretariat).

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

11. The following changes, which applicant IEs may make during the accreditation process or AIEs may make after being accredited, 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 (form 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 JI-AT leader/members 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. Any changes of an AIE shall be considered by the JI-AP and related cost shall be decided on a case-by-case basis.
14. 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”***

15. 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*

16. 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.
17. 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, the JI-AP 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, intermediate and closing meetings
- 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 (if applicable)
- F-JI-MAR = Attendance register for opening and closing meetings (if applicable)
- 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)

#### *Unscheduled surveillance (“Spot-check”)*

- Spot-check report (forms used for on-site assessment and/or witnessing, as applicable)
- F-JI-MA = Standard agenda for opening and closing meeting (if applicable)
- F-JI-MAR = Attendance register for opening and closing meetings (if applicable)
- F-JI-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 members)
- F-JI-FAat = Fee agreement for JI-AT members
- F-JI-EVatl = JI-AT leader evaluation report
- F-JI-EVatm = JI-AT member evaluation report
- F-JI-IL = Indicative letter



**Annex 4. Phasing of accreditation**

1. When accreditation is undertaken in phases, either in function or in sectoral scope, accreditation for the other function for which a witnessing activity has not been conducted may be provided, to facilitate the accreditation process for the applicant IE. Such simultaneous accreditation is based on the general understanding that the institutional/managerial capacity of an applicant IE is the same for all the sectoral scopes it applies for, and that the expertise in a specific sectoral scope is common to both functions (determination regarding a PDD and determination of emission reductions or enhancements of removals by sinks). Possible three cases in this context are presented below:

*Case 1: witnessing of the other function is proposed in the same sectoral group*

Sectoral group	A	B	C	D	E	...	LULUCF
DETPdd function	a	(c)	d	(e)	f	...	Z
DETERu function	b	c	(d)	e	(f)	...	Z

*Case 2: witnessing of the other function is proposed in another sectoral group*

Sectoral group	A	B	C	D	E	...	LULUCF
DETPdd function	a	(b)	(d)	c	e	...	Z
DETERu function	(b)	b	d	(c)	(e)	...	Z

*Case 3: witnessing of the same function is proposed in another sectoral group*

Sectoral group	A	B	C	D	E	...	LULUCF
DETPdd function	a	(d)	(c)	b	e	...	Z
DETERu function	(c)	d	c	(c)	(e)	...	Z

**Legend**

- A, B, C... Indicates sectoral groups in random order
- a, b, c... Indicates sequence of witnessing activities
- (a), (b), (c)... Indicates an accreditation granted simultaneously with the witnessing activity indicated
- DETPdd Determination regarding a PDD
- DETERu Determination of emission reductions or enhancements of removals by sinks

2. In “Case 1” above, the applicant IE is consecutively accredited for the two functions in the same group (group 1) of sectoral scopes after the witnessing activity “a” and “b”. In this case, the accreditation of one function in one group will simultaneously provide accreditation for the other function in the other group.

3. In “Case 2”, the applicant IE is initially accredited for determination regarding PDD in group 1 of sectoral scopes after the witnessing activity “a”. If this applicant IE next receives the accreditation for determination of emission reductions or enhancements of removals by sinks in group 2 after witnessing activity “b”, the applicant IE will simultaneously be accredited for determination regarding a PDD in group 2 and for determination of emission reductions or enhancements of removals by sinks in group 1.





4. “Case 3” illustrates a case where the applicant IE is consecutively accredited for determination regarding a PDD for two different groups of sectoral scopes (groups 3 and 4), based on witnessing activities “a” and “b”. In this case, if this applicant IE is next accredited for determination of emission reductions or enhancements of removals by sinks in group 3 after witnessing activity “c”, the applicant IE will be accredited for determination regarding a PDD in group 3, as well as for determination of emission reductions or enhancements of removals by sinks for groups 1 and 4 simultaneously.
5. Once the applicant IE is accredited for both functions, a witnessing activity in either function in any other sectoral group will grant accreditation for both functions in that sectoral group. All groups for which applications are received have to be witnessed at least once in either of the two functions.
6. Simultaneous provision of accreditation, referred to in paragraphs 1-5 above, does not apply until at least one large-scale project has been successfully witnessed for either function in any group of sectoral scopes.
7. The approach specified in paragraphs 1-5 above does not apply to sectoral scope 14 (land use, land-use change and forestry), where both functions need to be witnessed.



**Annex 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
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

-----

### **Annex 3: Draft clarifications**



**CLARIFICATION REGARDING CONDITIONS FOR DESIGNATED OPERATIONAL ENTITIES FOR ACTING PROVISIONALLY AS ACCREDITED INDEPENDENT ENTITIES**

**I. BACKGROUND**

1. Paragraph 3 of decision 10/CMP.1 stipulates:
  - “(a) Designated 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 procedures for accreditation;
  - (b) Those designated operational entities that apply for accreditation under the approved procedures for accreditation may continue to act provisionally as accredited independent entities until a final accreditation decision is taken;
  - (c) The determinations and relevant activities undertaken under these provisions shall be valid only after the accreditation of the independent entity is finalized”.
2. The Joint Implementation Supervisory Committee (JISC), at its fourth meeting, agreed on the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee” (JI accreditation procedure) and decided to start the joint implementation (JI) accreditation process on 15 November 2006.
3. Taking into account the provisions referred to in paragraph 1 above, the JISC also agreed that the JI accreditation procedure would be effective as of 15 November 2006 to allow sufficient time for designated operational entities (DOEs) to prepare their applications for the JI accreditation process and to enable them to continue to act provisionally as accredited independent entities (AIEs) in the meantime.

**II. CLARIFICATION**

4. DOEs that did not apply for accreditation by the JISC before 15 November 2006 may resume their status as provisional AIEs from the date they apply for JI accreditation. These DOEs may act provisionally as AIEs within the corresponding sectoral scope(s) and function(s) for which they had been designated under the clean development mechanism (CDM) (including provisional designation by the Executive Board of the CDM) before 15 November 2006 and for which they have applied for JI accreditation.

-----



**CLARIFICATION REGARDING WITNESSING OPPORTUNITIES  
UNDER THE JOINT IMPLEMENTATION ACCREDITATION PROCEDURE**

1. Witnessing concerning the function “determination regarding a project design document (PDD)” referred to in the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee” (JI accreditation procedure) shall cover the steps from making a PDD publicly available through the secretariat in accordance with paragraph 32 of the annex to decision 9/CMP.1 (JI guidelines) up to immediately before making the determination publicly available through the secretariat in accordance with paragraph 34 of the JI guidelines;
2. Witnessing concerning the function “determination of reported emission reductions or enhancements of removals” referred to in the JI accreditation procedure shall cover the steps from making a monitoring report publicly available through the secretariat in accordance with paragraph 36 of the JI guidelines up to immediately before making the determination publicly available through the secretariat in accordance with paragraph 38 of the JI guidelines;
3. Applicant independent entities (IEs) can make a PDD or monitoring report publicly available through the secretariat in the context of a witnessing activity only after the joint implementation assessment team (JI-AT) has accepted the corresponding project as a witnessing opportunity;
4. In the course of a witnessing activity applicant IEs shall submit a determination to the JI-AT through the secretariat;
5. The JI-AT shall consider the determination referred to in paragraph 4 above as part of the witnessing evidence which is to be reported to the Joint Implementation Accreditation Panel;
6. An applicant IE has to be accredited for the corresponding sectoral scope(s) and function(s) before making the determination publicly available through the secretariat in accordance with paragraphs 34 or 38 of the JI guidelines;
7. Paragraphs 3-6 above apply to designated operational entities (DOEs) acting provisionally as accredited independent entities in accordance with paragraph 3 of decision 10/CMP.1 only for the project chosen as a witnessing opportunity.

-----



**CLARIFICATION REGARDING IDENTIFICATION OF WITNESSING OPPORTUNITIES  
BY DESIGNATED OPERATIONAL ENTITIES ACTING PROVISIONALLY  
AS ACCREDITED INDEPENDENT ENTITIES**

1. Designated operational entities (DOEs) under the clean development mechanism acting provisionally as accredited independent entities (AIEs) in accordance with paragraph 3 of decision 10/CMP.1 may not identify a joint implementation project as a witnessing opportunity under the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee”:
2. For the function “determination regarding a project design document (PDD)”, if the corresponding PDD has already been made publicly available through the secretariat in accordance with paragraph 32 of the annex to decision 9/CMP.1 (JI guidelines);
3. For the function “determination of reported reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks”, if the corresponding monitoring report has already been made publicly available through the secretariat in accordance with paragraph 36 of the JI guidelines.

- - - - -



**CLARIFICATION REGARDING PREMISES OF ACCREDITED INDEPENDENT ENTITIES**

**I. BACKGROUND**

1. Paragraph 4.2 of the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee” states that the accreditation of an independent entity (IE) “shall be granted only to those premises where the on-site assessment took place. Any other part of that IE is not accredited.”

**II. CLARIFICATION**

2. With regard to determinations in accordance with paragraphs 33 or 37 of the annex to decision 9/CMP.1 (JI guidelines), the decision-making regarding a determination shall remain the responsibility of the accredited premises of the accredited independent entity (AIE). The same applies to the responsibility for the following actions:

- (a) Management review;
- (b) Review and signing of determination-related contractual arrangements;
- (c) Maintaining the documents and records on joint implementation activities by the AIE related to determination function;
- (d) Preparation and signing of determination and verification reports prepared in accordance with paragraphs 33 and 37, respectively, of the JI guidelines, and other related documents;
- (e) Submission of project design documents, determination reports, monitoring reports or verification reports to the secretariat for publication on the UNFCCC JI website in accordance with paragraphs 32, 34, 36 and 38, respectively, of the JI guidelines;
- (f) Any actions undertaken by the AIE during reviews in accordance with paragraphs 35 or 39 of the JI guidelines;
- (g) Actions with regard to paragraph 43 of the JI guidelines;
- (h) Allocation of resources.

3. Provisions contained in paragraph 2 above do not exclude utilization of the external resources by the accredited entity(ies) under the due contractual arrangements.

-----