



**Annex 1**

**PROCEDURE FOR ACCREDITING INDEPENDENT ENTITIES  
BY THE JOINT IMPLEMENTATION SUPERVISORY COMMITTEE  
(VERSION 03)**



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

(Version 03)<sup>1</sup>

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<sup>1</sup> Effective as of 28 November 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 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, verifies the corrective actions implemented by the applicant IE or AIE 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 CMP, through paragraph 2 (b) of decision 10/CMP.1, requested the JISC “to further elaborate, as a priority, standards and procedures for the accreditation of independent entities, consistent with appendix A to the guidelines for the implementation of Article 6 of the Kyoto Protocol, taking into consideration, as appropriate, the procedures for accrediting operational entities developed by the Executive Board of the clean development mechanism”.

<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.

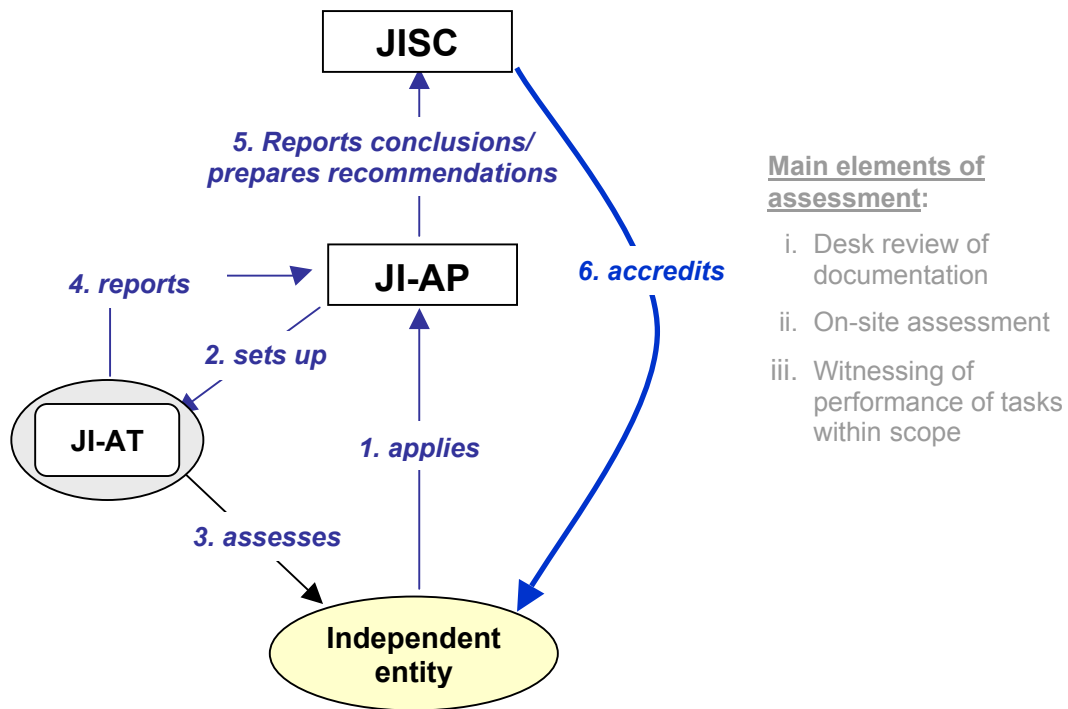


4. The assessment of an applicant IE consists of three main elements:
  - 4.1 **Desk review** by a JI-AT of the documentation submitted by the applicant IE against the JI accreditation requirements;
  - 4.2 **On-site assessment** on the premises of the applicant IE by the JI-AT. The purpose of this assessment 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 CMP, 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 activities** by the JI-AT of the performance of functions by the applicant IE<sup>7</sup> that relate to the scope of accreditation applied for (for more information on the 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 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. The scope of witnessing shall include the assessment of substantive decision-making capacity of the applicant IE. Witnessing activities at the stage of determination regarding a PDD shall be undertaken by considering documentary evidence (e.g. a procedural report) provided by the applicant IE on how the determination has been performed, while witnessing activities at the stage of determination of emission reductions or enhancements of removals shall include a visit to the sites of JI projects (for more information see section C.1.3). 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).

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<sup>7</sup> Witnessing of functions of 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



## 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) 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, 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, 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) 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 a 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.
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:

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<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.



- 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 eight (8) 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 functions relating to determination regarding a PDD and determination of emission reductions or enhancements of removals 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.
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.

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<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.





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 (form F-JI-W). 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 eight (8) 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).

#### C.1.1. 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).
33. The applicant IE will be informed of the inadequate documentation through the secretariat. The applicant IE shall have 18 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.

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<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.



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.

### C.1.2. 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, bases for the non-conformities and/or observations, if any, that are described in non-conformity reports (form F-JI-NC) and/or observation reports (form F-JI-OBS) 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 on the preliminary assessment report at later steps as described in the JI accreditation procedure;
    - 36.3.b. After the applicant IE has successfully completed corrective actions the JI-AT will recommend the JI-AP to issue a letter indicating the successful completion of the desk review and the on-site assessment.
37. After completion of the on-site assessment, the JI-AT shall have 15 days to prepare an on-site assessment report (form F-JI-DOR) and make it available together with the non-conformity reports and/or observation reports, through the secretariat, to the applicant IE.

<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 on-site assessment report, shall have 30 days to identify corrective actions to address the non-conformities, including a timeframe for each action, and submit them by completing relevant part of the form F-JI-NC to the JI-AT through the secretariat, or to withdraw its application. After receiving the identified corrective actions, the JI-AT shall have eight (8) days to consider the proposed corrective actions and inform the applicant IE of its acceptance of or rejection to a part or all of the proposal. In case of rejection, the applicant IE shall propose other corrective action(s) by revising relevant part of the form F-JI-NC until all the proposed corrective actions have been accepted by the JI-AT. All accepted actions shall be completed within six (6) months from the acceptance of the corrective actions. If actions are not completed within six (6) 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 (i.e. completed relevant part of the form F-JI-NC and documentary evidence) affirming that it has implemented the corrective actions, the JI-AT shall have 10 days to verify the implementation of all the actions to address non-conformities and complete relevant part of the form F-JI-NC. In case the implementation of the corrective actions is not found satisfactory by the JI-AT, the applicant IE shall have additional three (3) months to implement the corrective actions and submit further documentation.
40. The JI-AT shall prepare a preliminary assessment report (form F-JI-PR) within 15 days from the receipt of the documentation affirming the completion of all the corrective actions referred to in paragraph 39 above. 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 of the applicant IE and all addresses of its relevant premises assessed during the on-site assessment;
  - 40.4. A summary of the outcome of the assessment of the applicant IE's operational capability against the requirements contained in the JI guidelines and other relevant decisions and clarifications adopted by the CMP, JISC or the JI-AP;
  - 40.5. A summary of non-conformities and corrective actions implemented, as applicable;
  - 40.6. A description of findings regarding key issues identified by the JI-AP in the workplan, where applicable;
  - 40.7. Any useful comparisons with the results of the previous on-site assessment of the applicant IE, as applicable.
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 eight (8) days to provide comments on the 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 eight (8) 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. An executive summary of the JI-AT's evaluation regarding the applicant IE's conformance to the requirements, including non-conformities and corrective actions implemented as applicable;
  - 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;
  - 42.4. Recommendation for issuing a letter indicating the successful completion of the desk review and the on-site assessment, as applicable, for consideration by the JI-AP.

43. The JI-AP shall decide whether or not 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. If decided positively, the JI-AP shall issue the letter.

### C.1.3. 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 applicant IE may propose (a) witnessing opportunity(ies) in other sectoral scopes or function at any time. The JI-AT leader shall decide, in consultation with the JI-AP where appropriate, whether to accept or not the proposed witnessing activity(ies), communicate the decision to the applicant IE,
45. The JI-AT leader shall only choose/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> accepted 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 selected by the JI-AP taking into account the sectoral scope(s) that the project under witnessing covers. 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 function of determination regarding a PDD relevant to the sectoral scope(s) of accreditation. The 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. The applicant IE shall submit to the JI-AT the following documentary evidence as a minimum:
- 47.1. Assessment plan;
  - 47.2. Determination reports (draft and final);
  - 47.3. Corresponding PDDs;
  - 47.4. Evidence of the applicant IE team competence involved in the determination;
  - 47.5. Contract review report;
  - 47.6. Internal technical review report.
48. The witnessing activities for the function of determination of emission reductions or enhancements of removals shall include a visit to the site of the project under witnessing. The secretariat shall facilitate and coordinate the visit to the project site. The applicant IE shall submit to the JI-AT the following documentary evidence as a minimum:
- Prior to the site visit*
- 48.1. Assessment plan
  - 48.2. Corresponding PDD and monitoring report;
  - 48.3. Evidence of the applicant IE team competence involved in the determination;
  - 48.4. Contract review report;
- After the site visit*
- 48.5. Verification report;
  - 48.6. Internal technical review report.

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



49. The JI-AT leader and each member shall prepare a separate witnessing activity report (form F-JI-WRdpdd or form F-JI-WRderu, as applicable). JI-AT leader and members shall exchange their individual witnessing activity reports through the secretariat within eight (8) days from the receipt of the complete documentary evidence. The JI-AT leader shall prepare a consolidated witnessing activity report and non-conformity reports (form F-JI-NC) and/or observation reports (form F-JI-OBS), and make them available through the secretariat to the applicant IE within 15 days from the receipt of the documentary evidence or completion of the site visit. The witnessing activity report shall contain as a minimum:
  - 49.1. An evaluation of whether or not the applicant IE is operating its functions effectively, in line with its documented policy and procedures, including its procedures for performing determinations regarding PDDs or determinations of emission reductions or enhancements of removals of JI projects within the sectoral scope(s) under witnessing;
  - 49.2. An evaluation of substantive decision-making capabilities of the applicant IE.
50. The applicant IE shall consider the witnessing activity report, non-conformity report(s) and/or observation reports as applicable, and provide comments, if any, on the witnessing activity report, non-conformity report(s) and/or observation reports as applicable within eight (8) days of the receipt of the reports.
51. The JI-AT shall consider the comments referred to in paragraph 50 above, and revise the witnessing activity report, non-conformity report(s) and/or observation reports, if and where appropriate, and make them available to the applicant IE within eight (8) days from the receipt of the comments. If the applicant IE requested in its comments to revise or withdraw one or more non-conformities supported by argument, and if the JI-AT does not agree to do so in part or at all, the JI-AT shall inform the JI-AP of the case through the secretariat. The JI-AP, at its next meeting, shall consider the case and decide whether or not and how the non-conformities shall be maintained, revised or withdrawn, and request the JI-AT to revise the reports accordingly. If requested by the JI-AP, the JI-AT shall revise the reports and make them available to the applicant IE within eight (8) days from such request. The decision by the JI-AP with regard to the non-conformities in question shall be deemed final.
52. The applicant IE, after the receipt of the (revised) witnessing activity report, non-conformity report(s) and/or observation reports, shall have 30 days to identify corrective actions to address non-conformities, including a timeframe for each action, and submit them by completing relevant part of the form F-JI-NC to the JI-AT through the secretariat, or to withdraw its application. After receiving the identified corrective actions, the JI-AT shall have eight (8) days to consider the proposed corrective actions and inform the applicant IE of its acceptance of or rejection to a part or all of the proposal. In case of rejection, the applicant IE shall propose other corrective action(s) by revising relevant part of the form F-JI-NC until all the proposed corrective actions have been accepted by the JI-AT. All accepted actions shall be completed within six (6) months from the acceptance of the corrective actions. If actions are not completed within six (6) months, the witnessing is automatically rejected. The applicant IE may submit (a) new witnessing opportunity(ies) for the same sectoral scope(s).
53. Once the applicant IE has submitted documentation (i.e. completed relevant part of the form F-JI-NC and documentary evidence) affirming that it has implemented the accepted corrective actions, the JI-AT shall have 10 days to verify the implementation of all the actions to address non-conformities and complete relevant part of the form F-JI-NC. In case the implementation of the corrective actions is not found satisfactory by the JI-AT, the applicant IE shall have additional three (3) months to implement the corrective actions and submit further documentation.



54. 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 propose such additional witnessing activities with justification 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.
55. The JI-AT shall prepare a preliminary assessment report (form F-JI-PR) within 15 days from the receipt of the documentation affirming the completion of all the corrective actions referred to in paragraph 53 above. The JI-AT, in preparation of the preliminary assessment report, may request for additional information/clarifications from the applicant IE. The preliminary assessment report shall contain as a minimum:
- 55.1. The date(s) of the assessment(s);
  - 55.2. The names of the JI-AT members, identifying those responsible for the report;
  - 55.3. The name of the applicant IE and all addresses of its relevant premises and/or project sites assessed (in case the witnessing includes an on-site visit) during the witnessing activity;
  - 55.4. The sectoral scope(s) assessed;
  - 55.5. A summary of the outcome of the 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;
  - 55.6. An assessment of the adequacy of the internal organization and procedures adopted by the applicant IE ensuring confidence in the quality of its services;
  - 55.7. A summary of non-conformities and observations and corrective actions implemented, as applicable;
  - 55.8. A description of findings regarding key issues identified by the JI-AP in the workplan, where applicable.
56. The JI-AT shall, upon completion, make the preliminary assessment report available to the applicant IE through the secretariat. The applicant IE shall have eight (8) days to provide comments 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 eight (8) 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. An executive summary of the JI-AT's evaluation regarding the applicant IE's conformance to the requirements, including the non-conformities and corrective actions implemented as applicable;
  - 57.3. Comments of the applicant IE on the preliminary assessment report and a description of how they 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, through the secretariat, shall inform the applicant IE of its recommendation. The applicant IE shall have eight (8) 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;
  - 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.
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:

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<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.



- 69.3.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 JISC. The assessment plan shall be approved by the JI-AP.
72. The JI-AT shall undertake the spot-check assessment and prepare a report<sup>19</sup> within five (5) 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 the 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 the non-conformities within the time-frame identified by the JISC in its decision.
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.

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





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 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 the desk review of documents, an assessment of work performed during the last accredited period, the 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 decide on the required number of witnessing activity(ies) based on the AIE's performance in the previous accredited period.
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 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:
  - 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 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. The JI-AP shall inform the JISC and the applicant IE of its decision and, if applicable, issue the “indicative letter”.
93. The secretariat shall maintain a public record of “indicative letters” issued.
94. 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.

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

95. An applicant IE/AIE shall inform the secretariat of any planned changes, three months before their implementation, and any unforeseen change(s) within 15 days from the date it(they) took place, significantly affecting its:
  - 95.1. Legal, commercial or organizational status, e.g. ownership, partnerships;
  - 95.2. Key professional staff;
  - 95.3. Management system;
  - 95.4. Compliance with accreditation requirements.
96. 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”).
97. 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.



98. 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 the desk review and/or the on-site assessment to determine if the request should be treated as a new application.

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

99. After being informed of a recommendation by the JI-AP to the JISC, an applicant IE or AIE (appellant) shall have the opportunity to appeal against the recommendation within eight (8) days. Submissions after the eight (8) day deadline shall not be considered. The appeal may only address the qualification of the JI-AT and/or non-compliance with procedures.

100. The appeal shall be submitted in writing to the secretary to the JISC.

101. The designated officer shall immediately inform the JI-AP and the JISC of the appeal.

102. 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:

102.1. The appeal submitted by the appellant;

102.2. The recommendation of the JI-AP challenged by the appellant;

102.3. A list of five candidates for an appeal panel.

103. The JISC shall consider the file and establish an appeal panel of three members.

104. The appeal panel shall assess whether the appellant's appeal relates to the qualifications of the JI-AT and/or compliance with procedures. If the appeal panel concludes that the appellant has not raised a question related to the qualifications of the JI-AT and/or compliance with procedures, then the appeal panel shall make a recommendation to the JISC without undertaking a review of the conduct of the assessment activity.

105. If the appeal panel concludes that the appellant has raised a question related to the qualification of the JI-AT and/or compliance with procedures, then the appeal panel shall review the conduct of the assessment activity for the purpose of the appeal.

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

107. The JISC shall consider the report from the appeal panel at its next meeting and shall proceed in accordance with the applicable steps of the accreditation procedure.

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

109. The cost of processing an appeal shall be covered in accordance with the provisions in annex 2 "Fees and costs" by the appellant.

## 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;
  - 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 judgment or endanger trust in its independence of judgment 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 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>20</sup> Elements in this list that are taken from the JI guidelines are marked accordingly.

<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 the 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 paragraphs 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 the 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.

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<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 activities***

8. A witnessing activity 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 a witnessing activity 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 an applicant IE or AIE***

11. The following changes, which an applicant IE may make during the accreditation process or an AIE 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 or AIE (appellant) concerned. The secretariat will provide the appellant with an itemized quote for an “appeals fee”, which the appellant shall pay in advance. The appeal panel will not consider the appeal until after the payment is received. If the fee is not received within 30 days after the quote was provided, the appeal will be deemed withdrawn.
17. If the appeal panel finds that the appeal has merit, the entire “appeals fee” payment shall be refunded to the appellant.

### 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 premises of applicant IEs)*

- F-JI-DOR = Desk review and on-site assessment report
- F-JI-NC = Non-conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening, intermediate and closing meetings
- F-JI-MAR = Attendance register for opening and closing meetings
- F-JI-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 activities*

- 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
- F-JI-WOI = Witnessing opportunities identification
- F-JI-NC = Non conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening and closing meeting (if applicable)
- F-JI-MAR = Attendance register for opening and closing meetings (if applicable)
- F-JI-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 activities, as applicable)
- F-JI-NC = Non conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening and closing meeting (if applicable)
- F-JI-MAR = Attendance register for opening and closing meetings (if applicable)
- F-JI-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**

- 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). 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

- In “Case 1” above, the applicant IE is consecutively accredited for the two functions in the same group (group A) 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.
- In “Case 2”, the applicant IE is initially accredited for determination regarding PDD in group A 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 in group B after witnessing activity “b”, the applicant IE will simultaneously be accredited for determination regarding a PDD in group B and for determination of emission reductions or enhancements of removals in group A.



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 A and D), 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 in group C after witnessing activity “c”, the applicant IE will be accredited for determination regarding a PDD in group C, as well as for determination of emission reductions or enhancements of removals for groups A and D 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
CMP	Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol
COP	Conference of the Parties to the United Nations Framework Convention on Climate Change
IE	Independent entity
JI	Joint implementation
JI-AP	Joint Implementation Accreditation Panel
JI-AT	Joint implementation assessment team
JISC	Joint Implementation Supervisory Committee
PDD	Project design document
UNFCCC	United Nations Framework Convention on Climate Change

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