



Annex 5

**GUIDELINES FOR USERS OF THE
JOINT IMPLEMENTATION PROJECT DESIGN DOCUMENT FORM (VERSION 03)**



GUIDELINES FOR USERS OF THE
JOINT IMPLEMENTATION PROJECT DESIGN DOCUMENT FORM

Version 032

<i>Revision history of the document</i>		
Document version	Adoption	Revision
Version 01	JISC 03 ¹	Initial adoption of the document developed on the basis of paragraphs 2 (d) and (e) of decision 10/CMP.1
Version 02	JISC 06	Amendment of the “glossary of joint implementation terms” (regarding the terms “Party involved” and “project approval by the Parties involved”)
Version 03	JISC 13	Revision to increase the transparency of requirements as well as the consistency of joint implementation (JI) project design documents (PDDs) prepared (during the course of this work, inter alia, the glossaries of JI terms originally contained in the single guidelines for users² were consolidated in a separate document for reasons of transparency and comprehensiveness)

¹ Third meeting of the Joint Implementation Supervisory Committee (JISC)

² **The glossary of JI terms in the guidelines for users of the JI PDD form, the glossary of JI small-scale (SSC) terms in the guidelines for users of the JI PDD form for SSC projects and the form for submission of bundled JI SSC projects, and the glossary of JI land use, land-use change and forestry (LULUCF) terms in the guidelines for users of the JI LULUCF PDD form**



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PART I

A. General information on the joint implementation project design document form

1. These guidelines are to assist users of the joint implementation project design document (JI PDD) form.
2. The JI PDD form was elaborated by the Joint Implementation Supervisory Committee (JISC) in accordance with decisions 16/CP.7 and 10/CMP.1 and the guidelines for the implementation of Article 6 of the Kyoto Protocol as contained in decision 9/CMP.1 and the annex thereto (hereinafter referred to as JI guidelines).
3. Project participants that wish to submit a ~~project design document~~**PDD** to an accredited independent entity (AIE) under the verification procedure under the JISC, as defined in the JI guidelines, paragraphs 30–45, shall submit a completed JI PDD form.
4. The JI PDD form can be obtained electronically from the JI section of the UNFCCC website (<<http://ji.unfccc.int/>>) or by e-mail (ji-info@unfccc.int) or in printed format from the UNFCCC secretariat (fax: +49 228 815 1999).
5. Terms, which are underlined with a broken line in the JI PDD form, are explained in the “**G**lossary of joint implementation terms” ~~which is included in these guidelines~~. Users of the JI PDD form are strongly recommended to consult the most recent version of the glossary, **available under <<http://ji.unfccc.int/Ref/Docs.html>>**.
6. Project participants should also consult the section “Guidance / Clarifications” of the JI section of the UNFCCC website (<<http://ji.unfccc.int/>>). Its contents may also be obtained from the UNFCCC secretariat (e-mail: ji-info@unfccc.int, fax: +49 228 815 1999).
7. The JISC may revise the JI PDD form, if necessary. Revisions come into effect once adopted by the JISC, bearing in mind the provisions below.
8. Revisions of the JI PDD form do not affect projects the ~~project design document~~**PDD** of which:
 - (a) Has already been used as the basis for a determination by an AIE; or
 - (b) Has already been submitted to an AIE for determination prior to the adoption of the revised JI PDD form; or
 - (c) Is submitted to an AIE within a month following the adoption of the revised JI PDD form.
9. The JISC will not accept documentation using the previous version of the JI PDD form six months after the adoption of a new version.
10. In accordance with the JI guidelines, the working language of the JISC is English. The JI PDD form shall therefore be completed and submitted in English.



11. The JI PDD form shall not be altered. It shall be completed without modifying/adding headings, logo, format or font. Tables shall not be modified or deleted **(unless otherwise indicated)**. However, rows may be added as needed.
12. The completed JI PDD form shall include in section A.1. the version number and the date of the document.
13. If a section of the JI PDD form is not applicable, it shall be explicitly stated that the section is left blank on purpose.
14. This JI PDD form is not applicable to **JI small-scale (SSC) or JI** land use, land-use change and forestry **J(LULUCF)** projects.



B. Glossary of joint implementation terms

1. Joint implementation (JI) means the mechanism referred to in Article 6 of the Kyoto Protocol. “For the purpose of meeting its commitments under Article³ 3, any Party⁴ included in Annex I may transfer to, or acquire from, any other such Party emission reduction units resulting from projects aimed at reducing anthropogenic emissions by sources or enhancing anthropogenic removals by sinks of greenhouse gases in any sector of the economy, provided that:

- (a) Any such project has the approval of the Parties involved;**
- (b) Any such project provides a reduction in emissions by sources, or an enhancement of removals by sinks, that is additional to any that would otherwise occur;**
- (c) It does not acquire any emission reduction units if it is not in compliance with its obligations under Articles 5 and 7; and**
- (d) The acquisition of emission reduction units shall be supplemental to domestic actions for the purposes of meeting commitments under Article 3.’⁵**

2. The Conference of the Parties (COP), by its decision 16/CP.7, recommended the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) to adopt, at its first session, a decision on guidelines for the implementation of Article 6 of the Kyoto Protocol. Accordingly, the CMP adopted decision 9/CMP.1.⁶

3. The JISC has developed a glossary of JI terms which is meant, inter alia, to facilitate the completion of the:

- (a) JI PDD form;**
- (b) JI PDD form for SSC projects (JI SSC PDD form) and the form for submission of bundled JI SSC projects (F-JI-SSC-BUNDLE); and**
- (c) JI LULUCF PDD form.**

³ In this glossary, the term “Article” refers to an Article of the Kyoto Protocol to the United Nations Framework Convention on Climate Change (UNFCCC), unless the context otherwise indicates.

⁴ In this glossary, the term “Party” means, unless the context otherwise indicates, a Party to the Kyoto Protocol. “Party included in Annex I” (also “Annex I Party”) means a Party which is included in Annex I to the UNFCCC, as may be amended, or a Party which has made a notification under Article 4, paragraph 2 (g), of the UNFCCC, and which has ratified the Kyoto Protocol.

⁵ Article 6, paragraph 1, of the Kyoto Protocol

⁶ Paragraph 4 of decision 9/CMP.1 stipulates that projects under Article 6 aimed at enhancing anthropogenic removals by sinks shall conform to definitions, accounting rules, modalities and guidelines under Article 3, paragraphs 3 and 4, of the Kyoto Protocol.



4. On the whole, the glossary aims at defining JI related terms on a general basis, but also elaborates on them in the specific context of e.g. JI SSC or JI LULUCF projects in more detail, as appropriate. Partly, terms are specifically applicable to JI SSC or JI LULUCF projects, which is explicitly indicated.

5. The most recent version of the glossary is available under <<http://ji.unfccc.int/Ref/Docs.html>> and shall be used taking into account the guidance on criteria for baseline setting and monitoring and, as appropriate, the provisions for JI SSC projects⁷ developed by the JISC in accordance with paragraph 2 (f) of decision 10/CMP.1.

~~Joint implementation (JI) means the mechanism referred to in Article 6 of the Kyoto Protocol. “For the purpose of meeting its commitments under Article⁸ 3, any Party⁹ included in Annex I may transfer to, or acquire from, any other such Party emission reduction units resulting from projects aimed at reducing anthropogenic emissions by sources or enhancing anthropogenic removals by sinks of greenhouse gases in any sector of the economy, provided that:~~

~~(a) Any such project has the approval of the Parties involved;~~

~~(b) Any such project provides a reduction in emissions by sources, or an enhancement of removals by sinks, that is additional to any that would otherwise occur;~~

~~(c) It does not acquire any emission reduction units if it is not in compliance with its obligations under Articles 5 and 7; and~~

~~(d) The acquisition of emission reduction units shall be supplemental to domestic actions for the purposes of meeting commitments under Article 3.”¹⁰~~

~~The Conference of the Parties (COP), by its decision 16/CP.7, recommended the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (COP/MOP) to adopt, at its first session, a decision on guidelines for the implementation of Article 6 of the Kyoto Protocol. Accordingly, the COP/MOP adopted decision 9/CMP.1.~~

~~The following glossary of JI terms is meant to facilitate the completion of the JI PDD form.~~

⁷ The thresholds for JI SSC projects were amended in paragraph 14 of decision 3/CMP.2.

⁸ In this glossary, the term “Article” refers to an Article of the Kyoto Protocol to the United Nations Framework Convention on Climate Change (UNFCCC), unless the context otherwise indicates.

⁹ In this glossary, the term “Party” means, unless the context otherwise indicates, a Party to the Kyoto Protocol. “Party included in Annex I” (also “Annex I Party”) means a Party which is included in Annex I to the UNFCCC, as may be amended, or a Party which has made a notification under Article 4, paragraph 2 (g), of the UNFCCC, and which has ratified the Kyoto Protocol.

¹⁰ Article 6, paragraph 1, of the Kyoto Protocol.



Terms in alphabetical order

Accredited independent entity (AIE)

~~An entity accredited by the JISC in accordance with standards and procedures contained in appendix A of the JI guidelines. Under the verification procedure under the JISC, defined in paragraphs 30–45 of the JI guidelines, an AIE is responsible for the determination of whether a project and the ensuing reductions of anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks meet the relevant requirements of Article 6 of the Kyoto Protocol and the JI guidelines.~~

~~Decision 10/CMP.1, paragraph 3, stipulates:~~

- ~~—Designated operational entities (DOEs) under the clean development mechanism (CDM) may act provisionally as AIEs under Article 6 until the JISC has approved its procedures for accreditation;~~
- ~~—Those DOEs that apply for accreditation under the approved procedures for accreditation may continue to act provisionally as AIEs until a final accreditation decision is taken;~~
- ~~—The determinations and relevant activities undertaken under these provisions shall be valid only after the accreditation of the independent entity is finalized.~~

Attributable

~~See “Measurable and attributable”.~~

Authorization of a legal entity to participate in a JI project

~~See “Project approval by the Parties involved”.~~

Baseline

~~The scenario that reasonably represents the anthropogenic emissions by sources or anthropogenic removals by sinks of greenhouse gases that would occur in the absence of the proposed JI project.~~

~~Criteria for baseline setting are listed in appendix B of the JI guidelines:~~

- ~~—A baseline shall cover emissions from all gases, sectors and source categories listed in Annex A of the Kyoto Protocol, and anthropogenic removals by sinks, within the project boundary;~~
- ~~—A baseline shall be established:~~
 - ~~(a) On a project specific basis and/or using a multi-project emission factor;~~
 - ~~(b) In a transparent manner with regard to the choice of approaches, assumptions, methodologies, parameters, data sources and key factors;~~
 - ~~(c) Taking into account relevant national and/or sectoral policies and circumstances, such as sectoral reform initiatives, local fuel availability, power sector expansion plans, and the economic situation in the project sector;~~
 - ~~(d) In such a way that emission reduction units (ERUs) cannot be earned for decreases in activity levels outside the project activity or due to force majeure;~~
 - ~~(e) Taking account of uncertainties and using conservative assumptions;~~



~~—Project participants shall justify their choice of baseline.~~

~~According to paragraph 3 (d) of the JI guidelines, the JISC is responsible for the review and revision of reporting guidelines and criteria for baselines and monitoring in appendix B of the JI guidelines, for consideration by the COP/MOP, giving consideration to relevant work of the Executive Board of the CDM, as appropriate. Moreover, decision 10/CMP.1, paragraph 2 (f), stipulates that the JISC shall develop, as soon as possible, guidance with regard to appendix B of the JI guidelines, including provisions for small-scale projects as defined in paragraph 6 (c) of decision 17/CP.7, as appropriate.~~

~~A baseline has to be set in accordance with appendix B of the JI guidelines and further guidance on criteria for baseline setting and monitoring developed by the JISC.~~

~~According to decision 10/CMP.1, paragraph 4 (a), project participants may, but are not obliged to, apply methodologies for baselines and monitoring, including methodologies for small-scale project activities, approved by the Executive Board of the CDM, under JI, as appropriate. Baseline and monitoring methodologies approved by the Executive Board are publicly available, together with relevant guidance, on the UNFCCC CDM website (<http://edm.unfccc.int>) or through a written request sent to the secretariat by e-mail (cdm-info@unfccc.int) or fax (+49 228 815 1999).~~

Confidential/proprietary information

~~In accordance with paragraph 40 of the JI guidelines, information obtained from project participants marked as proprietary or confidential shall not be disclosed without the written consent of the provider of the information, except as required by applicable national law of the host Party. Information used to determine whether reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks are additional, to describe the baseline methodology and its application, and to support an environmental impact assessment referred to in paragraph 33 (d) of the JI guidelines, shall not be considered as proprietary or confidential.~~

Crediting period

~~The period for which reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks may be determined by an AIE.~~

~~Projects starting as of 2000 may be eligible as JI projects if they meet the requirements of the JI guidelines. ERUs shall only be issued for a crediting period starting after the beginning of 2008. The project participants shall choose the starting date of the crediting period to be on or after the date the first emission reductions are generated by the JI project. The crediting period shall not extend beyond the operational lifetime of the project. The end of the crediting period can be after 2012 subject to the approval by the host Party. The status of emission reductions generated by JI projects after the end of the first commitment period may be determined by any relevant agreement under the UNFCCC.~~

Determination

~~Under the verification procedure under the JISC, defined in paragraphs 30–45 of the JI guidelines, an AIE is responsible for the determination of whether a project and the ensuing reductions of anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks meet the relevant requirements of Article 6 of the Kyoto Protocol and the JI guidelines.~~

~~Determinations of reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks pursuant to paragraph 37 of the JI guidelines are also referred to as verifications, whereas determinations pursuant to paragraph 33 of the JI guidelines regarding PDDs are also simply referred to as determinations (in the narrower sense of the term).~~



Emission reduction unit (ERU)

~~A unit issued pursuant to the relevant provisions in the annex to decision 13/CMP.1 and equal to one metric tonne of carbon dioxide equivalent, calculated using global warming potentials defined by decision 2/CP.3 or as subsequently revised in accordance with Article 5 of the Kyoto Protocol.~~

Host Party

~~A Party on the territory of which the JI project is physically located. A project located in several countries has several host Parties.~~

Leakage

~~The net change of anthropogenic emissions by sources and/or removals by sinks of greenhouse gases which occurs outside the project boundary, and that is measurable and attributable to the JI project.~~

Measurable and attributable

~~In an operational context, the term “that is measurable and attributable” in paragraph 4 (f) of appendix B of the JI guidelines should be read as “that can be measured and is directly attributable”.~~

Monitoring

~~The collection and archiving of all relevant data necessary for:~~

~~—estimating or measuring anthropogenic emissions by sources and/or anthropogenic removals by sinks of greenhouse gases occurring within the project boundary during the crediting period and~~

~~—determining the baseline of anthropogenic emissions by sources and/or anthropogenic removals by sinks of greenhouse gases within the project boundary during the crediting period, as well as~~

~~the identification of all potential sources of, and the collection and archiving of data on, increased anthropogenic emissions by sources and/or reduced anthropogenic removals by sinks of greenhouse gases outside the project boundary that are significant and reasonably attributable to the project during the crediting period.~~

~~Appendix B of the JI guidelines defines criteria for baseline setting and monitoring.~~

~~According to paragraph 3 (d) of the JI guidelines, the JISC is responsible for the review and revision of reporting guidelines and criteria for baselines and monitoring in appendix B of the JI guidelines, for consideration by the COP/MOP, giving consideration to relevant work of the Executive Board of the CDM, as appropriate. Moreover, decision 10/CMP.1, paragraph 2 (f), stipulates that the JISC shall develop, as soon as possible, guidance with regard to appendix B of the JI guidelines, including provisions for small scale projects as defined in paragraph 6 (e) of decision 17/CP.7, as appropriate.~~

~~A JI PDD shall include a monitoring plan which has to be established in accordance with appendix B of the JI guidelines and further guidance on criteria for baseline setting and monitoring developed by the JISC.~~

~~According to decision 10/CMP.1, paragraph 4 (a), project participants may, but are not obliged to, apply methodologies for baselines and monitoring, including methodologies for small scale project activities, approved by the Executive Board of the CDM, under JI, as appropriate. Baseline and monitoring methodologies approved by the Executive Board are publicly available, together with relevant guidance, on the UNFCCC CDM website (<http://cdm.unfccc.int>) or through a written request sent to the secretariat by e-mail (cdm-info@unfccc.int) or fax (+49 228 815 1999).~~



Monitoring plan

~~See “Monitoring”.~~

Operational lifetime of a project

~~The period during which the project is in operation. The crediting period shall not extend beyond the operational lifetime of the project.~~

Party involved

~~A Party that provides a written project approval.~~

Project

~~A measure, operation or action aimed at reducing anthropogenic emissions by sources and/or enhancing anthropogenic removals by sinks of greenhouse gases.~~

Project approval by the Parties involved

~~According to paragraph 20 of the JI guidelines, a “Party involved in an Article 6 project shall inform the secretariat of:~~

- ~~(a) Its designated focal point for approving projects pursuant to Article 6, paragraph 1 (a);~~
- ~~(b) Its national guidelines and procedures for approving Article 6 projects, including the consideration of stakeholders’ comments, as well as monitoring and verification”.~~

~~Paragraph 31 of the JI guidelines stipulates that project participants shall submit to an AIE a PDD that contains all information needed for the determination of whether the project has been approved by the Parties involved.~~

~~Approvals by Parties involved shall be unconditional and in writing.~~

~~Such written approval constitutes the authorization by a designated focal point of a specific legal entity to participate in the specific JI project.~~

~~The approval covers the requirements of paragraphs 29 and 31 (a) of the JI guidelines.~~

~~A written approval by a Party may cover more than one project provided that all projects are clearly listed in the approval.~~

~~In the case of multilateral funds, written approval from each participant’s designated focal point is not necessarily required. However, if written approval is not provided, rights and privileges in terms of being a Party involved may be given up.~~

~~The JISC clarified that:~~

- ~~(a) At least the written project approval(s) by the host Party(ies) should be provided to the AIE and made available to the secretariat by the AIE when submitting the determination report regarding the PDD for publication in accordance with paragraph 34 of the JI guidelines;~~



~~(b) At least one written project approval by a Party involved in the JI project, other than the host Party(ies), should be provided to the AIE and made available to the secretariat by the AIE when submitting the first verification report for publication in accordance with paragraph 38 of the JI guidelines, at the latest.~~

Project boundary

~~The project boundary shall encompass all anthropogenic emissions by sources and/or removals by sinks of greenhouse gases under the control of the project participants that are significant and reasonably attributable to the JI project.~~

Project participant

~~In accordance with the use of the term “project participant” in the JI guidelines, a project participant is (a) a Party involved or (b) a legal entity authorized by a Party involved to participate in the JI project.~~

Stakeholders

~~The public, including individuals, groups or communities affected, or likely to be affected, by the project.~~

Starting date of a JI project

~~The date on which the implementation or construction or real action of the project begins. Projects starting as of 2000 may be eligible as JI projects if they meet the requirements of the JI guidelines. ERUs shall only be issued for a crediting period starting after the beginning of 2008.~~

Track 1 procedure

~~See “Track 2 procedure”.~~

Track 2 procedure

~~The verification procedure under the JISC, defined in paragraphs 30–45 of the JI guidelines.~~

~~A Party included in Annex I of the UNFCCC with a commitment inscribed in Annex B of the Kyoto Protocol is eligible to transfer and/or acquire ERUs issued in accordance with the relevant provisions, if it is in compliance with eligibility requirements listed in paragraph 21 of the JI guidelines. A Party acquiring ERUs has to fulfill all the eligibility requirements. A host Party wishing to issue and transfer ERUs has to fulfill the minimum criteria defined in paragraph 24 of the JI guidelines. If the host Party does not meet all the eligibility requirements, the project has to be implemented under the verification procedure under the JISC, i.e. the Track 2 procedure. If the host Party meets all the eligibility criteria, it may verify reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks from a JI project as being additional to any that would otherwise occur according to its own rules, i.e. under the Track 1 procedure. A host Party that fulfills all the eligibility requirements may at any time elect to use the Track 2 procedure.~~

Verification

~~See “Determination”.~~



PART II

A. Information note for the joint implementation project design document form

1. The completed JI PDD form presents information on the essential technical and organizational aspects of a project and is a key input for determinations regarding the project under the verification procedure under the JISC as defined in paragraphs 30–45 of the JI guidelines.
2. The completed JI PDD form contains information on the project, the baseline, and the monitoring plan chosen.
3. The project participants shall submit the completed JI PDD form, together with attachments, if necessary, to an accredited independent entity (AIE) for determination. The AIE then examines the adequacy of the information provided in the JI PDD, especially whether it satisfies the relevant provisions of the JI guidelines. Based on this examination, the AIE makes a determination regarding the project.
4. Bearing in mind paragraph 40 of the JI guidelines, project participants shall submit documentation that contains confidential/proprietary information in two versions:
 - A marked-up version where all confidential/proprietary parts have been made illegible by the project participants (e.g. by covering those parts with black ink) so that it can be made public;
 - A version containing all information, i.e. including parts which shall be treated as strictly confidential by all persons handling this documentation (AIEs, JISC members and alternate members, and panel, subcommittee and working group members, external experts requested to consider such documents in support of the work of the JISC, and the secretariat, as applicable).



B. Specific guidelines for users of the joint implementation project design document form

**CONTENTS OF THE
JOINT IMPLEMENTATION PROJECT DESIGN DOCUMENT FORM**

- A. General description of the project
- B. Baseline
- C. Duration of the project / crediting period
- D. Monitoring plan
- E. Estimation of greenhouse gas emission reductions
- F. Environmental impacts
- G. Stakeholders' comments

Annexes

- Annex 1: Contact information on project participants
- Annex 2: Baseline information
- Annex 3: Monitoring plan



SECTION A. General description of the project

A.1. Title of the project:

Please indicate:

- The title of the project;
- **The sectoral scope(s)¹¹ to which the project pertains;**
- The version number of the document;
- The date of the document.

A.2. Description of the project:

Please include in the description the purpose of the project **with a concise, summarizing explanation (max. 1-2 pages) of the:**

- a) Situation existing prior to the starting date of the project;**
- b) Baseline scenario; and**
- c) Project scenario (expected outcome, including a technical description).**

Please also briefly summarize the history of the project (incl. its JI component).

A.3. Project participants:

Please list project participants and Parties involved in this section and provide contact information in annex 1. Information shall be provided in the following tabular format.

<u>Party involved</u> *	Legal entity <u>project participant</u> (as applicable)	Please indicate if the <u>Party involved</u> wishes to be considered as <u>project participant</u> (Yes/No)
Party A	<ul style="list-style-type: none"> • Legal entity A1 • Legal entity A2 • ... 	Yes/No
Party B	<ul style="list-style-type: none"> • Legal entity B1 • Legal entity B2 • ... 	Yes/No
...	<ul style="list-style-type: none"> •

* Please indicate if the Party involved is a host Party.

A.4. Technical description of the project:

A.4.1. Location of the project:

A.4.1.1. Host Party(ies):

A.4.1.2. Region/State/Province etc.:

A.4.1.3. City/Town/Community etc.:

¹¹ The list of sectoral scopes adopted by the JISC is available on the UNFCCC JI website (<<http://ji.unfccc.int/>>) in section “Reference” (“Procedures”).



A.4.1.4. Detail of physical location, including information allowing the unique identification of the project (maximum one page):

Please do not exceed one page.

A.4.2. Technology(ies) to be employed, or measures, operations or actions to be implemented by the project:

Please describe the technology(ies) to be employed, or measures, operations or actions to be implemented by the project, including all relevant technical data and the implementation schedule.

A.4.3. Brief explanation of how the anthropogenic emissions of greenhouse gases by sources are to be reduced by the proposed JI project, including why the emission reductions would not occur in the absence of the proposed project, taking into account national and/or sectoral policies and circumstances:

Please explain briefly how anthropogenic greenhouse gas emission reductions are to be achieved (details to be provided in section B.) and provide the estimate(s) of anticipated total reductions in tonnes of CO₂ equivalent as determined in section E. Max. length: one page.

A.4.3.1. Estimated amount of emission reductions over the crediting period:

Please indicate the length of the crediting period and provide estimates of total as well as annual emission reductions. Information shall be provided using the following tabular format.

	Years
Length of the <u>crediting period</u>	
Year	Estimate of annual emission reductions in tonnes of CO ₂ equivalent
Year A	
Year B	
Year ...	
Total estimated emission reductions over the <u>crediting period</u> (tonnes of CO ₂ equivalent)	
Annual average of estimated emission reductions over the <u>crediting period</u> (tonnes of CO ₂ equivalent)	

A.5. Project approval by the Parties involved:

Written project approvals by the Parties involved should be attached.



SECTION B. Baseline

A baseline has to be set in accordance with appendix B of the JI guidelines and further guidance on ~~criteria for~~ baseline setting and monitoring developed by the JISC.

In general, a baseline shall be established:

- **On a project-specific basis and/or using a multi-project emission factor;**
- **In a transparent manner with regard to the choice of approaches, assumptions, methodologies, parameters, data sources and key factors;**
- **Taking into account relevant national and/or sectoral policies and circumstances, such as sectoral reform initiatives, local fuel availability, power sector expansion plans, and the economic situation in the project sector;**
- **In such a way that emission reduction units (ERUs) cannot be earned for decreases in activity levels outside the project activity or due to force majeure;**
- **Taking account of uncertainties and using conservative assumptions.**

Project participants shall justify their choice of baseline.

As appropriate, project participants may, but are not obliged to, apply approved **clean development mechanism (CDM)** baseline and monitoring methodologies.

Please note that this section B. shall contain all key elements of the baseline. Annex 2 (baseline information) that should be prepared in parallel to completing the remainder of this section shall contain a summary of the key elements in tabular form as well as additional supporting documentation/information.

B.1. Description and justification of the baseline chosen:

Please describe and justify the baseline chosen in accordance with appendix B of the JI guidelines, **using the following step-wise approach** ~~and further guidance on criteria for baseline setting and monitoring developed by the JISC:-~~

Step 1. Indication and description of the approach chosen regarding baseline setting

Please explicitly indicate which of the approaches regarding baseline setting, defined in the JISC's guidance on criteria for baseline setting and monitoring¹², is chosen:

a) If an approved CDM baseline and monitoring methodology is used, please indicate its title and reference number, as well as its version, and describe why it is applicable.

In case of deviations from the applied approved CDM baseline and monitoring methodology, please provide a complete, clear and transparent description and justification of the deviations. In doing so, please also provide an analysis of how the proposed deviations affect the assumptions, formulae, parameters, data sources and key factors used in the methodology, and state how uncertainties are taken into account and conservativeness is safeguarded.

¹² The current version of the guidance on criteria for baseline setting and monitoring adopted by the JISC is available on the UNFCCC JI website (<<http://ji.unfccc.int/>>) in section "Reference" ("Guidance / Clarifications").



b) If a JI specific approach regarding baseline setting is used, please provide a detailed theoretical description in a complete and transparent manner, as well as a justification referring to the JISC’s guidance on criteria for baseline setting and monitoring. Please include in the description all assumptions, formulae, parameters, data sources and key factors, and state how uncertainties are taken into account and conservativeness is safeguarded.

Step 2. Application of the approach chosen

Please apply the approach outlined in step 1 above in the context of the project.

~~If an approved CDM baseline and monitoring methodology is used, all explanations, descriptions and analyses shall refer to the selected methodology. In particular, the following steps should be adhered to:~~

~~1. Referencing of the approved baseline and monitoring methodology applied to the project~~

~~Please refer to the UNFCCC CDM website for the title and reference list as well as the details of approved baseline and monitoring methodologies.~~

~~2. Justification of the choice of the methodology and why it is applicable to the project~~

~~Please justify the choice of methodology by showing that the proposed project meets the applicability conditions of the methodology.~~

~~3. Description of how the methodology is applied in the context of the project~~

~~Please explain the basic assumptions of the baseline and monitoring methodology in the context of the project and show that the key methodological steps are followed in determining the baseline scenario.~~

Please Provide the key information and data used to ~~determine~~ **establish** the baseline scenario (variables, parameters, data sources, etc.) in tabular form:-

Data/Parameter	
Data unit	
Description	
Time of determination/monitoring	
Source of data (to be) used	
Value of data applied (for ex ante calculations/determinations)	
Justification of the choice of data or description of measurement methods and procedures (to be) applied	
QA/QC procedures (to be) applied	
Any comment	



B.2. Description of how the anthropogenic emissions of greenhouse gases by sources are reduced below those that would have occurred in the absence of the JI project:

Please demonstrate that the project provides reductions in emissions by sources that are additional to any that would otherwise occur, using the following step-wise approach:

Step 1. Indication and description of the approach applied

Please explicitly indicate which of the approaches to demonstrate additionality, defined in the JISC's guidance on criteria for baseline setting and monitoring¹³, is chosen:

a) If an approach approved by the CDM Executive Board is used, please indicate clear references (e.g. title of the baseline and monitoring methodology or tool, relevant version of the methodology or tool etc.) and describe why and how it is applicable.

b) If a JI specific approach is chosen, please provide a reference and justify, with a clear and transparent description, its applicability, as appropriate.

Step 2. Application of the approach chosen

Please apply the approach outlined in step 1 above in the context of the project.

Step 3. Provision of additionality proofs

In any case, please include or attach relevant additionality proofs.

~~Please explain how and why the project is additional. Include (a) a description of the baseline scenario, (b) a description of the project scenario, and (c) an analysis showing why the emissions in the baseline scenario would likely exceed the emissions in the project scenario.~~

~~If an approved CDM baseline and monitoring methodology is used, all explanations, descriptions and analyses shall refer to the selected methodology. **As appropriate, the draft table provided under section B.1. above shall be completed for all relevant data/parameters.**~~

B.3. Description of how the definition of the project boundary is applied to the project:

For details please refer to the JISC's guidance on criteria for baseline setting and monitoring¹⁴.

¹³ The current version of the guidance on criteria for baseline setting and monitoring adopted by the JISC is available on the UNFCCC JI website (<<http://ji.unfccc.int/>>) in section "Reference" ("Guidance / Clarifications").

¹⁴ The current version of the guidance on criteria for baseline setting and monitoring adopted by the JISC is available on the UNFCCC JI website (<<http://ji.unfccc.int/>>) in section "Reference" ("Guidance / Clarifications").



B.4. Further baseline information, including the date of baseline setting and the name(s) of the person(s)/entity(ies) setting the baseline:

Please provide date of baseline setting (DD/MM/YYYY).
Please provide contact information and indicate if the person/entity is also a project participant listed in annex 1.



SECTION C. Duration of the project / crediting period

C.1. Starting date of the project:

The starting date of a JI project is the date on which the implementation or construction or real action of the project begins.

Projects starting as of 2000 may be eligible as JI projects if they meet the requirements of the JI guidelines. ERUs shall only be issued for a crediting period starting after the beginning of 2008.

C.2. Expected operational lifetime of the project:

Please state the expected operational lifetime of the project in years and months.

C.3. Length of the crediting period:

Please state the length of the crediting period in years and months as well as its starting date.

Please note that ERUs shall only be issued for a crediting period starting after the beginning of 2008 and that the crediting period shall not extend beyond the operational lifetime of the project. **The crediting period can extend beyond 2012 subject to the approval by the host Party.**¹⁵

¹⁵ **The status of emission reductions or enhancements of net removals generated by JI projects after the end of the first commitment period may be determined by any relevant agreement under the UNFCCC.**



SECTION D. Monitoring plan

A monitoring plan has to be established in accordance with appendix B of the JI guidelines and further guidance on criteria for baseline setting and monitoring developed by the JISC.

As appropriate, project participants may, but are not obliged to, apply approved CDM baseline and monitoring methodologies. If an approved CDM baseline and monitoring methodology is used, any guidance contained in the methodology shall be taken into consideration.

The monitoring plan needs to provide detailed information relating to the collection and archiving of all relevant data necessary for

- estimating or measuring project emissions,
- determining baseline emissions, and
- assessing leakage effects.

The monitoring plan should reflect good monitoring practice appropriate to the project type.

If a national or international monitoring standard has to be applied to monitor certain aspects of the project, please identify this standard and provide a reference as to where a detailed description of the standard can be found.

Project participants shall implement the determined monitoring plan and provide data in accordance with the plan through their monitoring reports.

Please note that data monitored and required for determination are to be kept for two years after the last transfer of ERUs for the project.

This section D. shall provide a detailed description of all key elements of the monitoring plan, which is to be attached in annex 3.

D.1. Description of monitoring plan chosen:

Please provide a detailed description of the monitoring plan, **using the following step-wise approach**. ~~If an approved CDM baseline and monitoring methodology is used, any guidance contained in the methodology shall be taken into consideration.:~~

Step 1. Indication and description of the approach chosen regarding monitoring

Please explicitly indicate which of the approaches regarding monitoring, defined in the JISC's guidance on criteria for baseline setting and monitoring¹⁶, is chosen:

a) If an approved CDM baseline and monitoring methodology is used, please indicate its title and reference number, as well as its version, and describe why it is applicable.

¹⁶ The current version of the guidance on criteria for baseline setting and monitoring adopted by the JISC is available on the UNFCCC JI website (<<http://ji.unfccc.int/>>) in section "Reference" ("Guidance / Clarifications").



In case of deviations from the applied approved CDM baseline and monitoring methodology, please provide a complete, clear and transparent description and justification of the deviations. In doing so, please also provide an analysis of how the proposed deviations affect the assumptions, formulae, parameters, data sources and key factors used in the methodology, and state how uncertainties are taken into account and conservativeness is safeguarded.

b) If a JI specific approach regarding monitoring is used, please provide a detailed theoretical description in a complete and transparent manner, as well as a justification referring to the JISC's guidance on criteria for baseline setting and monitoring. Please include in the description all assumptions, formulae, parameters, data sources and key factors, and state how uncertainties are taken into account and conservativeness is safeguarded.

Step 2. Application of the approach chosen

Please apply the approach outlined in step 1 above in the context of the project.

In the sections below, please explicitly and clearly distinguish:

a) Data and parameters that are not monitored throughout the crediting period, but are determined only once (and thus remain fixed throughout the crediting period), and that are available already at the stage of determination regarding the PDD;

b) Data and parameters that are not monitored throughout the crediting period, but are determined only once (and thus remain fixed throughout the crediting period), but that are not already available at the stage of determination regarding the PDD; and

c) Data and parameters that are monitored throughout the crediting period.

Instead of using the tables provided in sections D.1.1.1., D.1.1.3., D1.2.1., D.1.3.1. and D.2., alternatively the draft table below may be completed in line with the approach regarding monitoring chosen for all data/parameters:

Data/Parameter	
Data unit	
Description	
Time of determination/monitoring	
Source of data (to be) used	
Value of data applied (for ex ante calculations/determinations)	
Justification of the choice of data or description of measurement methods and procedures (to be) applied	
QA/QC procedures (to be) applied	
Any comment	



D.1.1. Option 1 – Monitoring of the emissions in the project scenario and the baseline scenario:

Please state if this section is left blank on purpose.

D.1.1.1. Data to be collected in order to monitor emissions from the project, and how these data will be archived:

Please describe the data to be collected and how they will be archived. Please add rows to the table, as needed.

(Instead of using the table provided in the JI PDD form, alternatively the draft table provided under section D.1. above may be completed for all data/parameters.)

D.1.1.2. Description of formulae used to estimate project emissions (for each gas, source etc.; emissions in units of CO₂ equivalent):

Formulae should be consistent throughout the document.

D.1.1.3. Relevant data necessary for determining the baseline of anthropogenic emissions of greenhouse gases by sources within the project boundary, and how such data will be collected and archived:

Please describe the data to be collected and how they will be archived. Please add rows to the table, as needed.

(Instead of using the table provided in the JI PDD form, alternatively the draft table provided under section D.1. above may be completed for all data/parameters.)

D.1.1.4. Description of formulae used to estimate baseline emissions (for each gas, source etc.; emissions in units of CO₂ equivalent):

Formulae should be consistent throughout the document.

D. 1.2. Option 2 – Direct monitoring of emission reductions from the project (values should be consistent with those in section E.):

Please state if this section is left blank on purpose.

D.1.2.1. Data to be collected in order to monitor emission reductions from the project, and how these data will be archived:

Please describe the data to be collected and how they will be archived. Please add rows to the table, as needed.

(Instead of using the table provided in the JI PDD form, alternatively the draft table provided under section D.1. above may be completed for all data/parameters.)

D.1.2.2. Description of formulae used to calculate emission reductions from the project (for each gas, source etc.; emissions/emission reductions in units of CO₂ equivalent):

Formulae should be consistent throughout the document.



D.1.3. Treatment of leakage in the monitoring plan:

D.1.3.1. If applicable, please describe the data and information that will be collected in order to monitor leakage effects of the project:

Please add rows to the table, as needed. If not applicable, please state so.

(Instead of using the table provided in the JI PDD form, alternatively the draft table provided under section D.1. above may be completed for all data/parameters.)

D.1.3.2. Description of formulae used to estimate leakage (for each gas, source etc.; emissions in units of CO₂ equivalent):

Formulae should be consistent throughout the document. If not applicable, please state so.

D.1.4. Description of formulae used to estimate emission reductions for the project (for each gas, source etc.; emissions/emission reductions in units of CO₂ equivalent):

Formulae should be consistent throughout the document.

D.1.5. Where applicable, in accordance with procedures as required by the host Party, information on the collection and archiving of information on the environmental impacts of the project:

Please provide information on the collection and archiving of information on the environmental impacts of the project. Please provide reference to the relevant host Party regulation(s). If not applicable, please state so.

D.2. Quality control (QC) and quality assurance (QA) procedures undertaken for data monitored:

Please refer to data contained in section D.1., as applicable.

D.3. Please describe the operational and management structure that the project operator will apply in implementing the monitoring plan:

D.4. Name of person(s)/entity(ies) establishing the monitoring plan:

Please provide contact information and indicate if the person/entity is also a project participant listed in annex 1.



SECTION E. Estimation of greenhouse gas emission reductions

Estimates should be consistent throughout the document.

Please attach detailed calculations if deemed necessary to ensure transparency.

E.1. Estimated project emissions:

Please provide estimates of anthropogenic emissions of greenhouse gases by sources of the project within the project boundary. (for each gas, source etc.; emissions in units of CO₂ equivalent). Alternatively, please provide directly estimated emission reductions due to the project.

E.2. Estimated leakage:

Please provide estimates of any leakage. Estimates should be given for each gas, source etc. (emissions in units of CO₂ equivalent). If not applicable, please state so.

E.3. The sum of E.1. and E.2.:

E.4. Estimated baseline emissions:

Estimates should be given for each gas, source etc. (emissions in units of CO₂ equivalent).

E.5. Difference between E.4. and E.3. representing the emission reductions of the project:

E.6. Table providing values obtained when applying formulae above:

The result of the application of the formulae above shall be indicated using the following tabular format.

Year	Estimated <u>project</u> emissions (tonnes of CO ₂ equivalent)	Estimated <u>leakage</u> (tonnes of CO ₂ equivalent)	Estimated <u>baseline</u> emissions (tonnes of CO ₂ equivalent)	Estimated emission reductions (tonnes of CO ₂ equivalent)
Year A				
Year B				
Year ...				
Total (tonnes of CO ₂ equivalent)				



SECTION F. Environmental impacts

F.1. Documentation on the analysis of the environmental impacts of the project, including transboundary impacts, in accordance with procedures as determined by the host Party:

Please list and attach the documentation to the JI PDD.

F.2. If environmental impacts are considered significant by the project participants or the host Party, please provide conclusions and all references to supporting documentation of an environmental impact assessment undertaken in accordance with the procedures as required by the host Party:



SECTION G. Stakeholders' comments

G.1. Information on stakeholders' comments on the project, as appropriate:

Please provide:

- A list of stakeholders from whom comments on the project have been received;
- Nature of the comments; and
- Whether and how the comments have been addressed.

If not applicable, please state so.



Annex 1

CONTACT INFORMATION ON PROJECT PARTICIPANTS

Please copy and paste table as needed. Please fill in the following mandatory fields for each organisation listed in section A.3.: organisation, name of contact person, street, city, postal code, country, phone and fax or e-mail.

Annex 2

BASELINE INFORMATION

Please provide a table containing the key elements of the baseline (including variables, parameters and data sources).

Please also attach additional supporting documentation/information.

Annex 3

MONITORING PLAN
