



Annex 1

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

(Version 05)



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(Effective as of 12 September 2009)



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A. Introduction

1. In accordance with the guidelines for the implementation of Article 6 of the Kyoto Protocol (JI guidelines),¹ the Joint Implementation Supervisory Committee (JISC) shall accredit independent entities (IEs) responsible for making determinations regarding project design documents (PDDs) (from the next paragraph referred to as “determinations”) and determinations of reported greenhouse gas emission reductions or enhancements of removals (from the next paragraph referred to as “verifications”) regarding joint implementation (JI) projects that are processed in accordance with the verification procedure under the JISC.

2. This document (hereinafter referred to as “JI accreditation procedure”) contains the procedure for operationalizing the accreditation of IEs by the JISC. It has been elaborated in accordance with paragraph 2 (b) of decision 10/CMP.1,² and taking into consideration paragraphs 13 and 42-45 of the JI guidelines. The JISC may revise the JI accreditation procedure in the future. The JISC shall inform any accredited IE (AIE) and any applicant IE of any such revision and make it publicly available on the UNFCCC JI website.³ A revised version of the JI accreditation procedure will supersede any previous versions as of the date on the document. The revision to a step in the JI accreditation procedure shall not apply retroactively to an applicant IE that has started that step before the effective date of the relevant revision.

3. Figure 1 below illustrates the general scheme for the JI accreditation process and the sequence of actions. The responsibilities of the five actors in the procedure are summarized as follows:

- (a) **IEs** apply for accreditation;
- (b) The **JISC** is responsible for ensuring the overall implementation of the JI accreditation procedure and accrediting IEs in accordance with the standards and procedures contained in appendix A to the JI guidelines;
- (c) The Joint Implementation Accreditation Panel (**JI-AP**) is responsible for supervising the assessment work of joint implementation assessment teams (JI-ATs) and making recommendations to the JISC regarding the accreditation of IEs. The JI-AP is also responsible for making recommendations regarding confirmation, suspension and withdrawal of accreditation, spot-checks, re-accreditation and accreditation for additional sectoral scope(s);
- (d) **JI-ATs** carry the detailed assessment of the IE, identify non-conformities, verify the corrective actions implemented by the IEs and report to the JI-AP. For each IE, a JI-AT shall be established by the JI-AP, which will draw team members from a roster of experts established for this purpose;⁴
- (e) The UNFCCC secretariat (hereinafter referred to as **secretariat**) supports the implementation of the JI accreditation procedure.

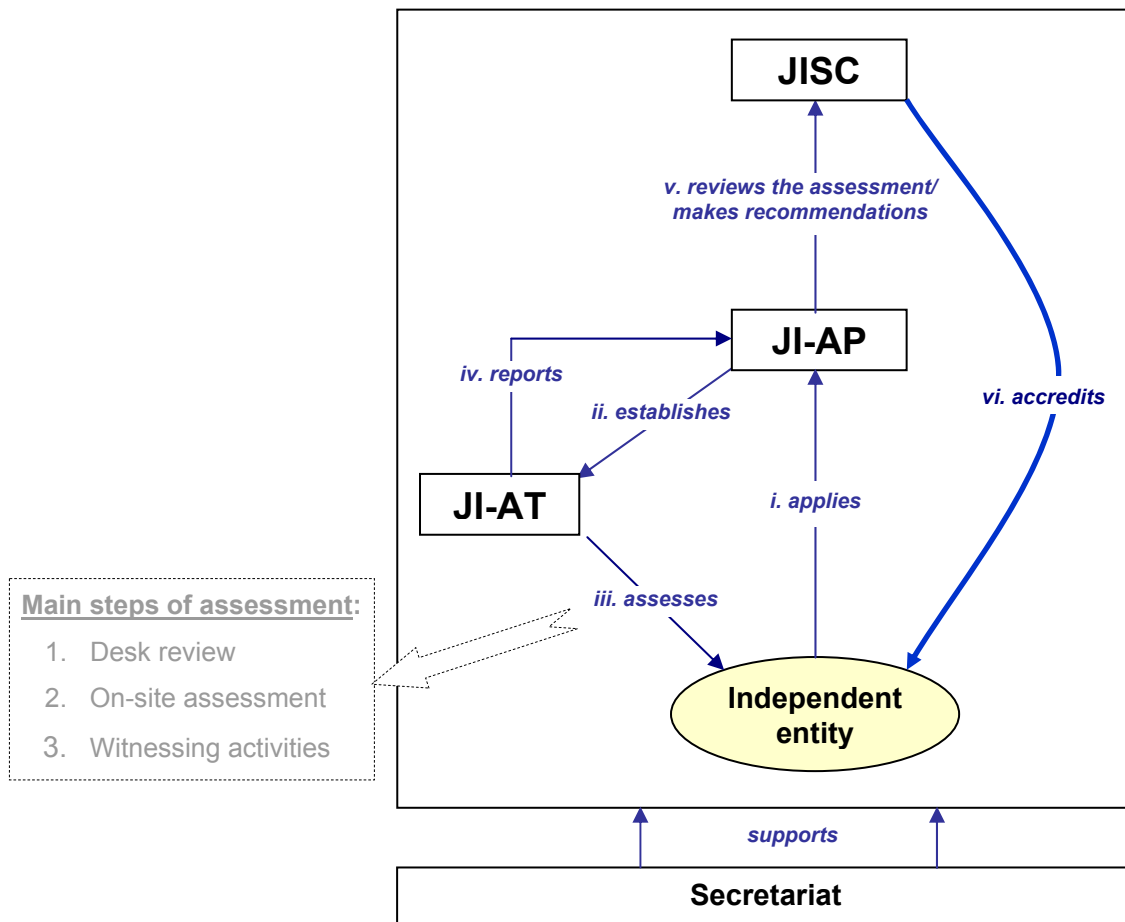
¹ Annex to decision 9/CMP.1, contained in the document FCCC/KP/CMP/2005/8/Add.2 available on the UNFCCC website <<http://unfccc.int/documentation/items/2643.php>> or <<http://ji.unfccc.int>>.

² The CMP (Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol), 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”.

³ <<http://ji.unfccc.int>>.

⁴ The JISC, at its fifth meeting, delegated its function of establishing and maintaining the rosters of experts to the JI-AP.

Figure 1: General scheme of the JI accreditation process



4. The assessment of an IE is to verify that the IE meets all the requirements contained in the JI guidelines and other relevant decisions and clarifications adopted by the CMP, JISC or JI-AP (hereinafter referred to as “JI accreditation requirements”), including the competence to perform the functions of determination and verification within the sectoral scope(s) of accreditation applied for. IE’s assessment is described in details in section C.4. The assessment consists of three main steps:

- (a) **Desk review** of the documentation submitted by the applicant IE against the JI accreditation requirements;
- (b) **On-site assessment** at the office(s) of the applicant IE. The purpose of this assessment is to verify that the operational capability of the applicant IE presented in the documentation provided by the applicant IE meets the JI accreditation requirements.

After successful completion of the desk review and the on-site assessment, a letter confirming this status is issued to the applicant IE (hereinafter referred to as “indicative letter”).



- (c) **Witnessing activities** of the performance of determination or verification by the applicant IE or AIE within the sectoral scope(s) of accreditation applied for.⁵ Through a witnessing activity the JI-AT assesses whether the applicant IE or AIE is implementing its tasks in line with its documented policy and procedures while performing determinations and/or verifications within the sectoral scope(s) applied for. A witnessing activity is either for the function of determination or verification. The scope of witnessing includes the assessment of substantive decision-making capacity of the applicant IE or AIE.
5. The performance of an AIE is monitored by the following two means:
- a) **Regular on-site surveillance**, which is a mandatory assessment of the AIE to check whether it continues to meet the JI accreditation requirements, and is carried out once during each accreditation term. Regular on-site surveillance is described in details in section D;
 - b) **Spot-check**, which is an unscheduled assessment determined by the JISC and triggered by information that raises well-founded concerns over the AIE's compliance with the JI accreditation requirements. The JISC may decide to conduct a spot-check at any time during the accreditation term. Spot-check is described in details in section E.

⁵ Witnessing activities shall be carried out on proposed JI projects (for determination function) or on JI projects of which determination is deemed final (for verification function).

B. Scope of accreditation

B.1. Sectoral scopes and functions

6. The accreditation of an applicant IE is based on sectoral scope(s) and determination or verification functions. Sectoral scopes are areas of activities with similar types of technical processes. An AIE may carry out determination and verification functions in specified sectoral scopes.

7. The JISC, based on the JI-AP's recommendation, shall establish a list of sectoral scopes that defines any requirements that are in addition to those listed in appendix A to the JI guidelines. The secretariat shall make the list⁶ available on the UNFCCC JI website.

8. The JI-AP may propose to the JISC to add (a) new sectoral scope(s) to the list of sectoral scopes.

B.2. Procedure for proposing new sectoral scopes by independent entities

9. An applicant IE may propose (a) new sectoral scope(s) for which it wishes to apply by submitting, with its application, a brief description of each of the proposed new sectoral scope(s), including the proposed requirements that must be met in addition to those listed in appendix A to the JI guidelines.

10. The JI-AP, at its next meeting following the submission of the application referred to in paragraph 9 above shall, before considering any other part of the submission:

- (a) Consider any new sectoral scope(s) proposed by the applicant IE;
- (b) Define new sectoral scopes(s), taking into account the possibility of revising existing scope(s), if applicable.

11. If the JI-AP defines (a) new sectoral scope(s) without modifications to the applicant IE's proposal, the JI accreditation procedure shall apply from the step described in paragraph 27 below. The newly defined sectoral scope(s) shall be registered in the list of sectoral scopes.

12. 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 27 below:

- (a) The JI-AP shall preliminarily consider the submission in accordance with the JI accreditation procedure and provide a list of the additional requirements to be met and/or documentation to be submitted with regard to functioning for the new sectoral scope(s).
- (b) The applicant IE shall be informed of:
 - (i) The new sectoral scope(s);
 - (ii) The additional requirements to be met and/or documentation required, if applicable.

⁶ "List of sectoral scopes" (P-JI-ACCR-03).

- (c) The applicant IE shall inform the JI-AP in writing within eight (8) days⁷ from receipt of the information in sub-paragraph (b) above whether it wishes to proceed with its application for the new sectoral scope(s) or withdraw its application.

13. 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. After the revised list of sectoral scopes is made publicly available, any applicant IE or AIE may, within six months, apply for accreditation for the additional sectoral scope(s) without paying an additional application fee (for information on costs see annex 5 “Fees and costs”).

B.3. Granting, confirmation and suspension of initial accreditation

14. The JISC may group sectoral scopes for the purpose of accreditation (sectoral groups).⁸

15. The desk review and on-site assessment of an applicant IE shall cover determination and verification functions in all sectoral scope(s) for which the applicant IE has applied for.

16. Following a successful witnessing activity conducted in accordance with section C.4.3 below, the JISC shall grant accreditation to an applicant IE simultaneously for all sectoral scopes applied for, and for both determination and verification functions, regardless of the function witnessed (initial accreditation).

17. To maintain its accreditation for the sectoral group(s) not witnessed at the time of initial accreditation, an AIE shall, within one and half years of the initial accreditation, initiate a witnessing activity for either the determination or verification function for each sectoral group not previously witnessed (confirmation of initial accreditation) (for details see annex 2 “Granting, confirmation and suspension of initial accreditation”). This activity, called “ex-post witnessing activity” shall be conducted in accordance with section C.4.3 below.

18. Failing to initiate an ex-post witnessing activity within the timeframe referred to in paragraph 17 above or resulting in an unsuccessful ex-post witnessing activity shall lead to the suspension of the AIE’s accreditation for both functions for all sectoral scope(s) in the sectoral group for which the accreditation has not been confirmed. The suspension shall be lifted once the IE successfully completes an ex-post witnessing activity for any sectoral scope in the sectoral group in question and for either function for the remainder of the five-year accreditation term referred to in paragraph 82 below.

19. The JISC shall always grant, confirm, suspend, lift the suspension or withdraw the accreditation for all sectoral scope(s) applied for within the same sectoral group and for both functions as a set.

20. The JISC shall grant accreditation only to the IE’s office(s) where the on-site assessment took place. Any other IE’s location shall not be accredited.

21. The suspension of the AIE’s accreditation shall not affect the validity of the work undertaken by the IE before the suspension.

⁷ In this document, number of days means calendar days.

⁸ Sectoral scopes and sectoral groups are defined in the “List of sectoral scopes” (P-JI-ACCR-03).

C. Accreditation procedure

22. The procedure for initial accreditation comprises the following six main steps (see the flowchart in annex 1 illustrating the detailed steps of the procedure. The provisions in the present section shall have precedence over the flowchart.):

- (a) Submission of an application for accreditation by an applicant IE;
- (b) Completeness check of the application documentation by the secretariat;
- (c) Preliminary consideration of the application documentation and establishment of a JI-AT by the JI-AP;
- (d) Assessment of the applicant IE by the JI-AT, including:
 - (i) Desk review of the application documentation provided by the applicant IE;
 - (ii) On-site assessment at the office(s) of the applicant IE;
 - (iii) Witnessing activity of the applicant IE determination or verification performance;
- (e) Review of the assessment and recommendation by the JI-AP to the JISC;
- (f) Decision by the JISC regarding accreditation.

23. The steps described in sub-paragraphs (iii), (e) and (f) of paragraph 22 above shall apply, as applicable, to the AIE's confirmation and/or suspension of initial accreditation, based on ex-post witnessing activities.

C.1. Application for accreditation

24. An applicant IE may apply for accreditation in any number of sectoral scopes.

25. To apply for accreditation, an applicant IE shall submit to the secretariat an application containing all the documentation specified in annex 3 "Application documentation". The application shall be signed by an authorized signatory of the legal entity making the application. Unless otherwise stipulated in the JI accreditation procedure, all documentation, information and communications shall be kept confidential.

C.2. Completeness check

26. The secretariat shall start processing the application upon receipt of the non-reimbursable application fee. 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), the additional processing steps described in paragraphs 10-13 above shall be taken before proceeding to the following step.

27. The secretariat shall check the completeness and adequacy of submitted documentation against requirements for documentation. If the documentation is incomplete and/or inadequate, the secretariat shall inform the applicant IE of the missing/inadequate documentation within 10 days from the receipt of the application. The accreditation procedure shall resume once all documentation is received.



28. The secretariat shall publish the name of the applicant IE and the sectoral scope(s) for which it has applied on the UNFCCC JI website. Parties, NGOs accredited with the UNFCCC and stakeholders⁹ may provide the secretariat with any comments or information on the applicant IE within 15 days after the publication. The secretariat shall make the comments/information publicly available immediately after the end of the 15-day period.

29. The applicant IE shall inform the JI-AP in writing of any change pertaining to the information submitted and/or required for accreditation (see section H for details). Depending on the nature and timing of the changes, there may be an associated additional cost (for details see annex 5 “Fees and costs”).

30. If the application documentation is complete and adequate, the secretariat shall prepare an application file containing all application documentation and send it to the JI-AP at least 10 days before its next meeting with the comments/information received in the process referred to in paragraph 28 above.

C.3. Preliminary consideration and establishment of assessment team

31. The JI-AP shall, at its next meeting:

- (a) Preliminarily consider the application documentation and the comments/information received, if any, in the process referred to in paragraph 28 above, consider any relevant issues and prepare a work plan for the assessment (form F-JI-W)¹⁰;
- (b) Establish a JI-AT by selecting the members from the roster of experts referred to in paragraph 3 (d) above, and identify a team leader. The JI-AT shall consist of at least two members, including the team leader. The number of JI-AT members may vary depending on the size of the applicant IE, the documentation submitted and the sectoral scope(s) for which the applicant IE has applied.

32. The secretariat shall inform the applicant IE 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 within eight (8) days, identifying any alleged conflict of interest of the JI-AT member(s). If the JI-AP finds the objection valid, it shall identify (a) replacement(s) for the JI-AT member(s) in question.

33. Each JI-AT member shall sign a confidentiality and non-disclosure agreement (form F-JI-CA).

C.4. Assessment of independent entity

C.4.1. Desk review

34. The JI-AP shall provide the JI-AT with:

- (a) All documentation relating to the application;
- (b) The work plan for the JI-AT, including the conclusions of its preliminary consideration of the application.

⁹ 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.

¹⁰ The forms used in the JI accreditation process are listed in annex 4.



35. The JI-AT shall undertake the desk review of the documentation submitted by the applicant IE. If the JI-AT identifies inadequate or missing documentation, it shall request the applicant IE to provide additional documentation (form F-JI-Addoc) within 10 days from receipt of the documentation. The applicant IE shall submit the requested additional documentation to the JI-AT within 14 days of the request.

36. If the JI-AT has not requested additional documentation from the applicant IE, it shall prepare the desk review report (form F-JI-DOR) and make it available to the applicant IE within 20 days from receipt of the documentation and the work plan. If the JI-AT has requested the applicant IE to provide additional documentation, this deadline may be extended accordingly. If the applicant IE does not submit the requested documentation to the JI-AT within the deadline referred to in paragraph 35 above, the JI-AT shall still prepare the desk review report and make it available to the applicant IE within 20 days from this deadline.

37. If the applicant IE does not submit the additional documentation requested by the JI-AP on time and submit it at the on-site assessment instead, the JI-AP may allocate additional time for corresponding review at the on-site assessment. The applicant IE shall bear any costs associated with such time and work extension.

C.4.2. On-site assessment

38. As the first step of the on-site assessment, the JI-AT shall conduct an assessment at the applicant IE's office(s) indicated in the application form for accreditation (F-JI-A).

39. The JI-AT leader, with the secretariat's support, shall coordinate the date for the assessment at the applicant IE's office(s), taking into consideration the availability of the team member(s) and the applicant IE. The applicant IE shall cooperate with the JI-AT leader in scheduling the assessment. The JI-AT shall conduct the assessment within 60 days (30 days for re-accreditation) from the date of the JI-AT's submission of the desk review report to the applicant IE.

40. If the JI-AT identifies any non-conformities and/or observations, it shall prepare during the assessment at the applicant IE's office(s) a non-conformity report (form F-JI-NC) for each non-conformity and/or an observation report (form F-JI-OBS).

41. At the end of the assessment at the applicant IE's office(s), the JI-AT shall provide the applicant IE with the details of its assessment regarding compliance with the JI accreditation requirements, the bases for the non-conformities and/or observations, if any, as described in the non-conformity report(s) and/or observation report and any additional comments. The applicant IE shall have the opportunity to seek clarification and ask questions on the assessment.

42. After the assessment at the applicant IE's office(s), the JI-AT shall prepare an on-site assessment report (form F-JI-DOR) and make it available to the applicant IE with any non-conformity reports and/or observation report within 14 days.

43. If the JI-AT has identified non-conformities, the applicant IE shall, within 30 days after receiving of the on-site assessment report, propose corrective actions to address the non-conformities, including a timeframe for each action, and submit them to the JI-AT by completing the relevant part of the non-conformity report(s), or withdraw its application.



44. The JI-AT shall consider the proposed corrective actions and inform the applicant IE of its acceptance or rejection of all or part of the proposal within eight (8) days after receiving them. In case of rejection, the applicant IE shall propose other corrective action(s) by revising the relevant part of the non-conformity report(s) and submit them to the JI-AT within 15 days from receipt of the rejection. The JI-AT shall consider the revised proposed corrective action(s) within eight (8) days after receiving them.

45. Once the JI-AT accepts the proposed corrective actions to all non-conformities, it shall submit to the JI-AP the non-conformity report(s) and observation report if any, with the on-site assessment report. If the JI-AT does not accept the revised proposed corrective actions, or the applicant IE does not propose revised corrective actions within 15 days from the JI-AT's initial rejection, the JI-AT shall submit the case to the JI-AP, with the on-site assessment report.

46. The JI-AP shall, at or before its next meeting, consider whether the non-conformities and/or observations identified during the assessment at the applicant IE's office(s) appropriately cover all relevant issues and the proposed corrective actions appropriately address all non-conformities. If necessary, the JI-AP may change the non-conformities and/or observations, and/or the JI-AT's acceptance or rejection of the proposed corrective actions. The JI-AP shall communicate the results of its review to the JI-AT. The JI-AT shall inform the applicant IE of the status of its application, including non-conformities, observations and proposed corrective actions.

47. If the JI-AP considers the proposed corrective actions insufficient, the applicant IE shall propose other corrective actions to the JI-AP through the JI-AT by revising the relevant part of the non-conformity report(s) within 15 days from the JI-AT's communication. In this case, the JI-AP shall, at or before its next meeting, decide whether to accept the proposed corrective actions. If the JI-AP still considers the proposed corrective actions insufficient, it shall decide whether to allow the applicant IE to propose other corrective actions or reject the application.

48. The applicant IE shall complete the implementation of all accepted corrective actions and submit to the JI-AT documentary evidence of their implementation and the non-conformity report(s) with the relevant part completed within 90 days from the acceptance of the corrective actions. If the applicant IE does not complete the implementation of the corrective actions or fails to provide evidence of it within 90 days, the application for accreditation will be considered withdrawn. The applicant IE may submit a new application for accreditation.

49. The JI-AT shall verify the implementation of the corrective actions and complete the relevant part of the non-conformity report(s) within 10 days after receiving documentation demonstrating the implementation.

50. If the JI-AT considers the implementation of the corrective actions satisfactory for all non-conformities, it shall prepare a draft final assessment report (form F-JI-FR) and make it available to the applicant IE, with the non-conformity report(s), within eight (8) days after verifying the implementation.

51. If the JI-AT considers the implementation of the corrective actions unsatisfactory, it shall inform the applicant IE of this, and the applicant IE shall further implement the corrective actions and submit further documentation within 30 days. The JI-AT shall verify the further implementation of the corrective actions within 10 days. If, for at least one non-conformity, the JI-AT still considers the further implementation of the corrective actions unsatisfactory, or the applicant IE does not further implement the corrective actions within the extended deadline, the JI-AT shall prepare a draft final assessment report and make it available to the applicant IE, with the non-conformity report(s), within eight (8) days after the extended deadline.



52. The applicant IE shall provide comments on the draft final assessment report within eight (8) days.

53. The JI-AT shall, taking into consideration the applicant IE's comments, complete the final assessment report within eight (8) days after receiving the applicant IE's comments, and submit it to the JI-AP with the non-conformity report(s).

54. The JI-AP shall, at or before its next meeting, review the reports prepared by the JI-AT. The JI-AP may request the JI-AT to clarify the final assessment report and/or the non-conformity report(s). If the JI-AP considers that the JI-AT has closed the non-conformities without appropriate implementation of the corrective actions by the applicant IE or appropriate verification by the JI-AT, it may also request the JI-AT or the applicant IE to take any appropriate action and submit the evidence of it to the JI-AP within the timeframe specified by the JI-AP. Once the JI-AP has received clarification from the JI-AT on the reports, or the evidence of the requested actions from the JI-AT or the applicant IE through the JI-AT, the JI-AP shall conclude its review of the on-site assessment.

55. After considering the final result of the on-site assessment, the JI-AP shall decide whether the desk review and the on-site assessment have been successfully completed and whether to issue an indicative letter, as described in paragraph 4 (b) above, to the applicant IE.

56. The secretariat shall maintain a public record of indicative letters issued.

C.4.3. Witnessing activity

57. The applicant IE shall identify (a) witnessing opportunity(ies) by filling out the relevant form (form F-JI-WOI) and submit it to the JI-AT leader. The JI-AT leader shall decide, in consultation with the JI-AP, if appropriate, whether to accept the proposed witnessing opportunity(ies), and communicate its decision to the applicant IE.

58. For each witnessing activity, the JI-AP shall establish a JI-AT by selecting members from the roster of experts referred to in paragraph 3 (d) above. The JI-AT shall consist of at least two members, including the team leader. If possible and appropriate, the JI-AP shall select the same team leader who carried out the on-site assessment or another witnessing activity(ies) of the same applicant IE. One member of the team shall be a methodology expert with expertise in the sectoral scope(s) being witnessed. The methodology expert shall be responsible for the assessment of the applicant IE's substantive competence and decision-making capabilities on methodological matters.

59. The witnessing activity shall be based on documentary evidence of the applicant IE's performance of determination or verification in the sectoral scope(s) in which the applicant IE has applied for accreditation. The JI-AT leader shall consider whether to request the inclusion of a visit to the applicant IE's office(s) or the project site in the witnessing activity. Such request shall require the JI-AP's approval. The applicant IE shall submit to the JI-AT, at a minimum, the following documentary evidence:

- (a) Assessment plan;
- (b) Determination or verification reports (draft and final);
- (c) Corresponding PDD or monitoring report;
- (d) Evidence of the competence of the IE team involved in the determination or verification;
- (e) Contract review report;
- (f) Internal technical review report.



60. After reviewing the documentary evidence and the information obtained from the visit to the applicant IE's office(s) or project site if applicable, the JI-AT leader and each member shall prepare a separate witnessing activity report (form F-JI-WRdet or form F-JI-WRver, as applicable). The JI-AT leader and member(s) shall exchange their individual witnessing activity report within eight (8) days from receipt of the complete documentary evidence.

61. The JI-AT leader shall prepare a draft consolidated witnessing activity report, non-conformity report(s) (form F-JI-NC) and/or observation report (form F-JI-OBS), and make them available to the applicant IE within 14 days from receipt of the documentary evidence.

62. The applicant IE shall consider the draft witnessing activity report, non-conformity report(s) and/or observation report, as applicable, and provide comments to the JI-AT, if any, within eight (8) days from receipt of the reports.

63. The JI-AT shall consider the applicant IE's comments and finalize the witnessing activity report, non-conformity report(s) and/or observation report and make them available to the IE within eight (8) days after receiving the applicant IE's comments.

64. If the JI-AT has identified non-conformities during the witnessing activity, the applicant IE shall, within 30 days after receiving of the final witnessing activity report, non-conformity report(s) and/or observation report, propose corrective actions to address the non-conformities, including a timeframe for each action, and submit them by completing the relevant part of the non-conformity report(s) to the JI-AT or withdraw the witnessing activity.

65. The JI-AT shall consider the proposed corrective actions and inform the applicant IE of its acceptance or rejection of all or part of the proposal within eight (8) days after receiving them. In case of rejection, the applicant IE shall propose other corrective action(s) by revising the relevant part of the non-conformity report(s) and submit them to the JI-AT within 15 days from receipt of the rejection. The JI-AT shall consider the revised proposed corrective action(s) within eight (8) days after receiving them.

66. Once the JI-AT accepts the proposed corrective actions to all non-conformities, it shall submit to the JI-AP the non-conformity report(s) and observation report if any, with the final witnessing activity report. If the JI-AT does not accept the revised proposed corrective actions or the applicant IE does not propose revised corrective actions within 15 days from the JI-AT's initial rejection, the JI-AT shall submit the case to the JI-AP with the final witnessing activity report.

67. The JI-AP shall, at or before its next meeting, consider whether the non-conformities and/or observations identified during the witnessing activity appropriately cover all relevant issues and the proposed corrective actions appropriately address all non-conformities. If necessary, the JI-AP may change the non-conformities and/or observations, and/or the JI-AT's acceptance or rejection of the proposed corrective actions. The JI-AP shall communicate the results of its review to the JI-AT. The JI-AT shall inform the applicant IE of the status of the witnessing activity, including non-conformities, observations and proposed corrective actions.

68. If the JI-AP considers the proposed corrective actions insufficient, the applicant IE shall propose other corrective actions to the JI-AP through the JI-AT by revising the relevant part of the non-conformity report(s) within 15 days from the JI-AT's communication. In this case, the JI-AP, at or before its next meeting, shall decide whether to accept the proposed corrective actions. If the JI-AP still considers the proposed corrective actions insufficient, it shall decide whether to allow the applicant IE to propose other corrective actions or reject the witnessing activity.



69. The applicant IE shall complete the implementation of all accepted corrective actions and submit to the JI-AT the documentary evidence of their implementation and the non-conformity report(s) with the relevant part completed within 90 days from the acceptance of the corrective actions. If the applicant IE does not complete the implementation of the corrective actions or fails to provide evidence of it within 90 days, the witnessing activity will be considered as withdrawn. The applicant IE may submit (a) new witnessing opportunity(ies) for the same sectoral scope(s).

70. The JI-AT shall verify the implementation of the corrective actions and complete the relevant part of the non-conformity report(s) within 10 days after receiving documentation demonstrating the implementation.

71. If the JI-AT considers the implementation of the corrective actions satisfactory for all non-conformities, it shall prepare a draft final assessment report (form F-JI-FR) and make it available to the applicant IE, with the non-conformity report(s), within eight (8) days after verifying the implementation.

72. If the JI-AT considers the implementation of the corrective actions unsatisfactory, it shall inform the applicant IE of this, and the applicant IE shall further implement the corrective actions and submit further documentation within 30 days. The JI-AT shall verify the further implementation of the corrective actions within 10 days. If, for at least one non-conformity, the JI-AT still considers the further implementation of the corrective actions unsatisfactory, or the applicant IE does not further implement the corrective actions within the extended deadline, the JI-AT shall prepare a draft final assessment report and make it available to the applicant IE, with the non-conformity report(s), within eight (8) days after the extended deadline.

73. The applicant IE shall provide comments on the draft final assessment report within eight (8) days.

74. The JI-AT shall, taking into consideration the applicant IE's comments, complete the final assessment report within eight (8) days after receiving the applicant IE's comments and submit it to the JI-AP with the non-conformity reports.

C.5. Review and recommendation by the JI-AP

75. The JI-AP shall, at or before its next meeting, review the reports prepared by the JI-AT. The JI-AP may request the JI-AT to clarify the final assessment report and/or the non-conformity report(s). If the JI-AP considers that the JI-AT has closed the non-conformities without appropriate implementation of the corrective actions by the applicant IE or appropriate verification by the JI-AT, it may also request the JI-AT or the applicant IE to take any appropriate action and submit the evidence of it to the JI-AP within the timeframe specified by the JI-AP. Once the JI-AP has received clarification from the JI-AT on the reports, or the evidence of the requested actions from the JI-AT or the applicant IE through the JI-AT, the JI-AP shall conclude its review of the witnessing activity.

76. After considering the final result of the witnessing activity, the JI-AP shall decide whether the witnessing activity has been successfully completed, prepare a recommendation on accreditation and submit to the JISC:

- (a) The final assessment report by the JI-AT;
- (b) Its considerations and conclusions regarding accreditation;
- (c) Its recommendation as to whether to accredit the applicant IE, or confirm or suspend the AIE's accreditation for all sectoral scope(s) applied for within the sectoral group witnessed.



77. The JI-AP shall inform the applicant IE or AIE of its recommendation. If the recommendation is negative, the applicant IE or AIE may appeal against the recommendation or withdraw the witnessing activity within eight (8) days. An appeal shall be submitted to the JISC in accordance with the provisions contained in section I.

78. The information submitted by the JI-AP to the JISC regarding accreditation of an applicant IE or AIE shall be considered as confidential.

C.6. Accreditation decision by the JISC

79. The JISC shall consider the JI-AP's recommendation in a closed session at its next meeting. The rules of procedure of the JISC regarding the availability of documents before its meetings shall apply.

80. The JISC shall decide whether to:

- (a) Accredit the applicant IE as an AIE, specifying the sectoral scope(s) applied for;
- (b) Reject the witnessing activity and not to accredit the applicant IE;
- (c) Confirm the AIE's accreditation for the sectoral scope(s) applied for within the sectoral group witnessed; or
- (d) Reject the witnessing activity and suspend the AIE's accreditation for all sectoral scope(s) applied for within the sectoral group witnessed.

81. The JISC shall inform the applicant IE or AIE of its decision and provide the corresponding reasons. The JISC shall make the decision publicly available in accordance with the rules of procedure of the JISC.

82. The AIE's accreditation shall be valid for five (5) years from the date of accreditation by the JISC. The rules described in section B.3 shall apply to the validity of accreditation for the sectoral scope(s) in the sectoral group(s) that have not been witnessed.



D. Regular on-site surveillance

83. The JI-AP shall conduct one regular on-site surveillance during the five-year accreditation term of an AIE.
84. The regular on-site surveillance shall include an assessment at the AIE's office(s) and/or at any other site(s) where the JI functions are carried out. The JI-AP shall decide on this/these location(s).
85. The JI-AP shall establish a JI-AT by selecting its members from the roster of experts referred to in paragraph 3 (d) above. The JI-AT shall consist of two members, including the team leader. The JI-AP shall select, if possible, a different team leader from the one who carried out the on-site assessment of the same AIE and select a team member with technical and methodological expertise.
86. The JI-AP shall prepare a work plan for the regular on-site surveillance (form F-JI-W) that identifies the areas/focus of the assessment, taking into account the results and the scopes of past assessments of the AIE (e.g. on-site assessment, witnessing activities and spot-checks, if applicable, as referred to in sections C.4.2, C.4.3 and E respectively) and information from the secretariat on the AIE's past determinations and/or verifications submitted to the verification procedure under the JISC.
87. The JI-AT shall conduct the regular on-site surveillance in accordance with the work plan. The JI-AT shall prepare a list of documents and information relating to the AIE's determination/verification functions (form F-JI-Addoc) that it deems necessary for the regular on-site surveillance and request the AIE to provide the documentation before the assessment at the AIE's office(s) and/or at any other site(s).
88. The JI-AT leader, with the secretariat's support, shall coordinate the date for the assessment at the AIE's office(s) and/or at any other site(s), taking into consideration the availability of the other team member and the AIE. The AIE shall cooperate with the JI-AT leader in scheduling the assessment.
89. If the JI-AT identifies any non-conformities and/or observations, it shall prepare during the assessment at the AIE's office(s) and/or at any other site(s) (a) non-conformity report(s) (form F-JI-NC) and/or an observation report (F-JI-OBS).
90. At the end of the assessment at the AIE's office(s) and/or at any other site(s), the JI-AT shall provide the AIE with the details of its assessment regarding compliance with the JI accreditation requirements, the bases for the non-conformities and/or observations, if any, as described in non-conformity report(s) and/or observation report and any additional comments. The AIE shall have the opportunity to seek clarification and ask questions on the assessment.
91. After the assessment at the AIE's office(s) and/or at any other site(s), the JI-AT shall prepare a regular on-site surveillance report and make it available to the AIE, with the non-conformity report(s) and/or observation report as appropriate, within 14 days.
92. If the JI-AT has identified non-conformities, the AIE shall, within 30 days after receiving of the regular on-site surveillance report, propose corrective actions to address the non-conformities, including a timeframe for each corrective action, and submit them to the JI-AT by completing the relevant part of the non-conformity report(s).
93. The JI-AT shall consider the proposed corrective actions and inform the AIE of its acceptance or rejection of all or part of the proposal within eight (8) days after receiving them. In case of rejection, the AIE shall propose other corrective action(s) by revising the relevant part of the non-conformity report(s) within 15 days from receipt of the rejection. The JI-AT shall consider the revised proposed corrective action(s) within eight (8) days after receiving them.



94. Once the JI-AT accepts the proposed corrective actions to all non-conformities, it shall submit to the JI-AP the non-conformity report(s) and observation report if any, with the regular on-site surveillance report. If the JI-AT does not accept the revised proposed corrective actions or the AIE does not propose revised corrective actions within 15 days from the JI-AT's initial rejection, the JI-AT shall submit the case to the JI-AP with the regular on-site surveillance report.

95. The JI-AP shall, at or before its next meeting, consider whether the non-conformities and/or observations identified during the assessment at the AIE's office(s) and/or at any other site(s) appropriately cover all relevant issues and the proposed corrective actions appropriately address all non-conformities. If necessary, the JI-AP may change the non-conformities and/or observations, and/or the JI-AT's acceptance or rejection of the proposed corrective actions. The JI-AP shall communicate the results of its review to the JI-AT. The JI-AT shall inform the AIE of the status of the regular on-site surveillance, including non-conformities, observations and proposed corrective actions.

96. If the JI-AP considers the proposed corrective actions insufficient, the AIE shall propose other corrective actions to the JI-AP through the JI-AT by revising the relevant part of the non-conformity report(s) within 15 days from the JI-AT's communication. In this case, the JI-AP, at or before its next meeting, shall decide whether to accept the proposed corrective actions. If the JI-AP still considers the proposed corrective actions insufficient, it shall decide whether to allow the AIE to propose other corrective actions or recommend to the JISC suspension of the AIE's accreditation.

97. The AIE shall complete the implementation of all accepted corrective actions and submit to the JI-AT the documentary evidence of their implementation and the non-conformity report(s) with the relevant part completed within 30 days from the acceptance of the corrective actions. If the AIE does not complete the implementation of the corrective actions or fails to provide evidence of it within 30 days, the JI-AT shall present the case to the JI-AP for its consideration on the course of actions.

98. The JI-AT shall verify the implementation of the corrective actions and complete the relevant part of the non-conformity report(s) within 10 days after receiving documentation demonstrating the implementation.

99. If the JI-AT considers the implementation of the corrective actions satisfactory for all non-conformities, it shall prepare a draft final assessment report (form F-JI-FR) and make it available to the AIE, with the non-conformity report(s), with within eight (8) days after verifying the implementation.

100. If the JI-AT considers the implementation of the corrective actions unsatisfactory, it shall inform the AIE of this, and the AIE shall further implement the corrective actions and submit further documentation within 10 days. The JI-AT shall verify the further implementation of the corrective actions within 10 days. If, for at least one non-conformity, the JI-AT still considers the further implementation of the corrective actions unsatisfactory, or the AIE does not further implement the corrective actions within the extended deadline, the JI-AT shall prepare a draft final assessment report and make it available to the AIE, with the non-conformity report(s), within eight (8) days after the extended deadline.

101. The AIE shall provide comments on the draft final assessment report within eight (8) days.

102. The JI-AT shall, taking into consideration the AIE's comments, complete the final assessment report within eight (8) days after receiving the AIE's comments and submit it to the JI-AP with the non-conformity report(s).



103. The JI-AP shall, at or before its next meeting, review the reports prepared by the JI-AT. The JI-AP may request the JI-AT to clarify the final assessment report and/or the non-conformity report(s). If the JI-AP considers that the JI-AT has closed the non-conformities without appropriate implementation of corrective actions by the AIE or appropriate verification by the JI-AT, it may also request the JI-AT or the AIE to take any appropriate action and submit the evidence of it to the JI-AP within the timeframe specified by the JI-AP. Once the JI-AP has received clarification from the JI-AT on the reports, or the evidence of the requested actions from the JI-AT or the AIE through the JI-AT, the JI-AP shall conclude its review of the regular on-site surveillance.

104. After considering the final result of the regular on-site surveillance, the JI-AP shall decide whether the regular on-site surveillance has been successfully completed and recommend to the JISC to:

- (a) Maintain the AIE's accreditation; or
- (b) Partially or fully suspend the AIE's accreditation, specifying the sectoral scope(s) for suspension.

105. The JISC shall consider the JI-AP's recommendation in a closed session at its next meeting. The rules of procedure of the JISC regarding the availability of documents before its meetings shall apply.

106. The JISC shall decide whether to:

- (a) Maintain the AIE's accreditation; or
- (b) Partially or fully suspend the AIE's accreditation, specifying the sectoral scope(s) for suspension.

107. The JISC shall inform the AIE of its decision and provide the corresponding reasons. The JISC shall make the decision publicly available in accordance with the rules of procedure of the JISC.

108. The costs relating to the regular on-site surveillance shall be borne by the AIE in accordance with annex 5 "Fees and costs".



E. Spot-check

109. The JISC may decide to conduct a spot-check of an AIE at any time. Triggers of a spot-check are:

- (a) A request for review of the AIE's determination or verification in accordance with relevant provisions in the JI guidelines;
- (b) Information received by the JISC on changes that may significantly affect the quality of the operations and performance of the AIE (e.g. its ownership, organizational structure, internal policies and procedures, technical expertise of personnel), implemented but not notified in accordance with section H;
- (c) A written, substantiated complaint to the JISC alleging the AIE's failure to comply with the JI accreditation requirements by:
 - (i) Another AIE;
 - (ii) An NGO accredited with the UNFCCC;
 - (iii) Any other stakeholder.
- (d) A JI-AP's recommendation based on:
 - (i) Its assessment of the AIE through an ex-post witnessing activity conducted in accordance with paragraphs 17 and 18 above;
 - (ii) The nature of the changes notified by the AIE in accordance with section H;
 - (iii) A failure to notify significant changes in accordance with section H;
 - (iv) Any other relevant issues identified by the JI-AP.

110. The JISC, at its next meeting after receipt of the information referred to in paragraph 109 above, shall consider the case in a closed session and decide whether to conduct a spot-check of the AIE. If the JISC decides to conduct a spot-check, it shall agree on the scope of the spot-check and inform the JI-AP. The scope of the spot-check shall include:

- (a) The assessment modality (i.e. assessment based on documentation and/or involving site visit) and location(s) (AIE's office(s) or JI project site);
- (b) Specific focus of the assessment, such as:
 - (i) Quality and operational management of the AIE in relation to its performing determination and verification functions;
 - (ii) Institutional and organisational structure of the AIE, in particular, for performing determination and verification functions in an independent and impartial manner;
 - (iii) Competencies of the AIE to perform determination and verification functions;
 - (iv) Any other areas relevant to assessing the AIE's compliance with the JI accreditation requirements.

111. The JI-AP shall consider the case and:

- (a) Establish a JI-AT;



- (b) Prepare a work plan (form F-JI-W) for the JI-AT, which shall include:
- (i) The reasons that have triggered the spot-check;
 - (ii) The elaboration of the scope of the assessment;
 - (iii) The timeframe for the assessment.
112. If the spot-check involves a visit to the JI project site, the JI-AP shall send a notification to the AIE before the site visit and request the AIE to coordinate necessary arrangements with the project participant(s).
113. The AIE shall pay for the cost of the spot-check in accordance with annex 5 “Fees and costs”.
114. The secretariat shall provide the JI-AT with all documentation relevant to conduct the assessment.
115. The JI-AT shall review the documentation provided by the secretariat, prepare an assessment plan and conduct the assessment according to the work plan.
116. The JI-AT, after completion of the assessment, shall prepare a spot-check report within five (5) days and make it available to the AIE. The spot-check report shall contain, as a minimum:
- (a) Relevant assessment reports (forms F-JI-DOR, F-JI-WRdet or F-JI-WRver);
 - (b) A description of non-conformities identified, as applicable (form F-JI-NC);
 - (c) A final assessment report, including conclusions regarding accreditation or suspension for consideration by the JI-AP.
117. The AIE shall provide the JI-AP with comments on the reports prepared by the JI-AT within 10 days after receiving them.
118. The JI-AP, at its next meeting, shall consider the reports prepared by the JI-AT and the AIE’s comments and submit to the JISC its recommendation as to whether to:
- (a) Confirm the AIE’s accreditation;
 - (b) Partially suspend the AIE’s accreditation, specifying the sectoral scope(s) for suspension (partial suspension), with corrective actions to be implemented by the AIE as a precondition for the JISC to lift the suspension;
 - (c) Fully suspend the AIE’s accreditation for all sectoral scopes (full suspension), with corrective actions to be implemented by the AIE as a precondition for the JISC to lift the suspension;
 - (d) Withdraw the AIE’s accreditation for all sectoral scopes.
119. The secretariat shall forward the JI-AP’s recommendation to the AIE. The AIE shall have the opportunity of a hearing in a closed session at the next meeting of the JISC. The AIE may request the JISC to postpone the hearing to a subsequent meeting.
120. The JISC shall consider the JI-AP’s recommendation and the information presented by the AIE at the hearing, and decide whether to:
- (a) Confirm the AIE’s accreditation;

- (b) Partially suspend the AIE's accreditation specifying the sectoral scope(s) for suspension (partial suspension), indicating corrective actions to be implemented by the AIE as a precondition for the JISC to lift the suspension. In accordance with paragraph 42 of the JI guidelines, the suspension is with immediate effect;
- (c) Fully suspend the AIE's accreditation for all sectoral scopes (full suspension), indicating corrective actions to be implemented by the AIE as precondition for the JISC to lift the suspension. In accordance with paragraph 42 of the JI guidelines, the suspension is with immediate effect;
- (d) Withdraw the AIE's accreditation for all sectoral scopes. In accordance with paragraph 42 of the JI guidelines, the withdrawal is with immediate effect.

121. In case of partial or full suspension of the AIE's accreditation, the JISC shall specify in its decision:

- (a) The timeframe for the AIE to implement corrective actions;
- (b) The modalities for verifying the implementation of corrective actions.

122. The JI-AT shall verify the implementation of corrective actions and prepare a final assessment report and non-conformity report(s) within eight (8) days after receipt of the evidence of the implementation of corrective actions from the AIE.

123. The JI-AP shall consider the reports prepared by the JI-AT at its next meeting and submit to the JISC its recommendation as to whether to:

- (a) Revoke the suspension of the AIE's accreditation;
- (b) Revoke the suspension and conduct an additional witnessing activity or a follow-up assessment to ensure that the implemented corrective actions have resolved all non-conformities;
- (c) Withdraw the AIE's accreditation.

124. If the AIE does not implement the corrective actions within the specified timeframe, the JI-AP shall recommend to the JISC the withdrawal of the AIE's accreditation.

125. The secretariat shall forward the JI-AP's recommendation referred to in paragraphs 123 or 124 above to the AIE. The AIE shall have an opportunity of a hearing in a closed session at the next meeting of the JISC. The AIE may request the JISC to postpone the hearing to a subsequent meeting.

126. The JISC shall consider the JI-AP's recommendation and the information presented by the AIE at the hearing, and decide whether to:

- (a) Revoke the suspension of the AIE's accreditation;
- (b) Revoke the suspension and conduct an additional witnessing activity or a follow-up assessment;
- (c) Withdraw the AIE's accreditation. In accordance with paragraph 42 of the JI guidelines, the withdrawal is with immediate effect.

127. The secretariat shall inform the AIE of the JISC's decision and provide the corresponding reasons. The secretariat shall update relevant records and publicly available list of AIEs, as appropriate.



F. Re-accreditation

128. AIEs, at least nine (9) months before the expiry date of their accreditation, shall inform the secretariat whether they wish to apply for re-accreditation.

129. An AIE that wishes to apply for re-accreditation shall submit to the secretariat the documentation specified in annex 3 “Application documentation”. The AIE shall pay a non-reimbursable application fee (see annex 5 “Fees and costs”).

130. The activities to be carried out in the re-accreditation process shall include a desk review of documentation, an assessment of the AIE’s work performed during the last accreditation term, an on-site assessment, and (a) witnessing activity(ies). The required number of witnessing activities shall be determined by the JI-AP based on the AIE’s performance during the last accreditation term.

131. The JI-AT, in carrying out the desk review and the assessment of the AIE’s work, shall identify the areas to be focused on during the on-site assessment and include them in the assessment plan for the AIE. The JI-AT may apply sampling methods taking into consideration the work performed by the AIE and request for any additional information/documents.

132. The witnessing activity may be combined with the on-site assessment if such opportunity exists.

133. The provisions for initial accreditation described in section C shall apply as applicable for re-accreditation.

134. The re-accreditation process shall be undertaken with a view to the JISC making a decision regarding re-accreditation, reduction of sectoral scopes, suspension or withdrawal of accreditation based on the recommendation of the JI-AP.

135. 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.



G. Accreditation for additional sectoral scope(s)

136. An AIE may submit an application to be accredited for additional sectoral scope(s) at any time. The steps for initial accreditation described in section C shall apply. Annex 3 “Application documentation” specifies the documentation to be submitted by an AIE applying for additional sectoral scope(s).

137. 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 the other sectoral scope(s) for which it is already accredited. This may enable the AIE to streamline its re-accreditation schedule and reduce costs.

138. 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 AIE is already accredited as well as recent work of the JI-AP and/or JI-AT with the same AIE.

139. The recommendations of the JI-AP to the JISC, referred to in the steps for initial accreditation described in section C, shall distinguish between accreditation for additional sectoral scope(s) and, if applicable, re-accreditation.



H. Notification on change of status of applicant/accredited independent entity

140. An applicant IE/AIE shall inform the secretariat of any planned changes, three (3) months before their implementation, and any unforeseen change(s) within 15 days from the date it (they) took place, significantly affecting its:

- (a) Legal, commercial or organizational status, e.g. ownership, partnerships, location of registered office(s);
- (b) Key professional staff;
- (c) Management system;
- (d) Compliance with the JI accreditation requirements.

141. The JI-AP shall consider the changes notified by the applicant IE/AIE on a case by case basis with possible cost implications to the applicants IE/AIE (for information on costs see annex 5 “Fees and costs”).

142. If an applicant IE/AIE does not notify the secretariat of changes within the deadline, except for an unforeseeable and justifiable case, the JI-AP may recommend to the JISC to initiate a spot-check or undertake any other appropriate action.



I. Appeals by applicant/accredited independent entity

143. 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.

144. The appeal may only address the qualification of the JI-AT and/or non-compliance with the JI accreditation procedure.

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

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

147. 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:

- (a) The appeal submitted by the appellant;
- (b) The recommendation of the JI-AP challenged by the appellant;
- (c) A list of five (5) candidates for an appeal panel.

148. The JISC shall consider the file and establish an appeal panel of three (3) members.

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

150. If the appeal panel concludes that the appellant has raised an issue related to the qualification of the JI-AT and/or non-compliance with the JI accreditation procedure, the appeal panel shall review the conduct of the assessment activity for the purpose of the appeal.

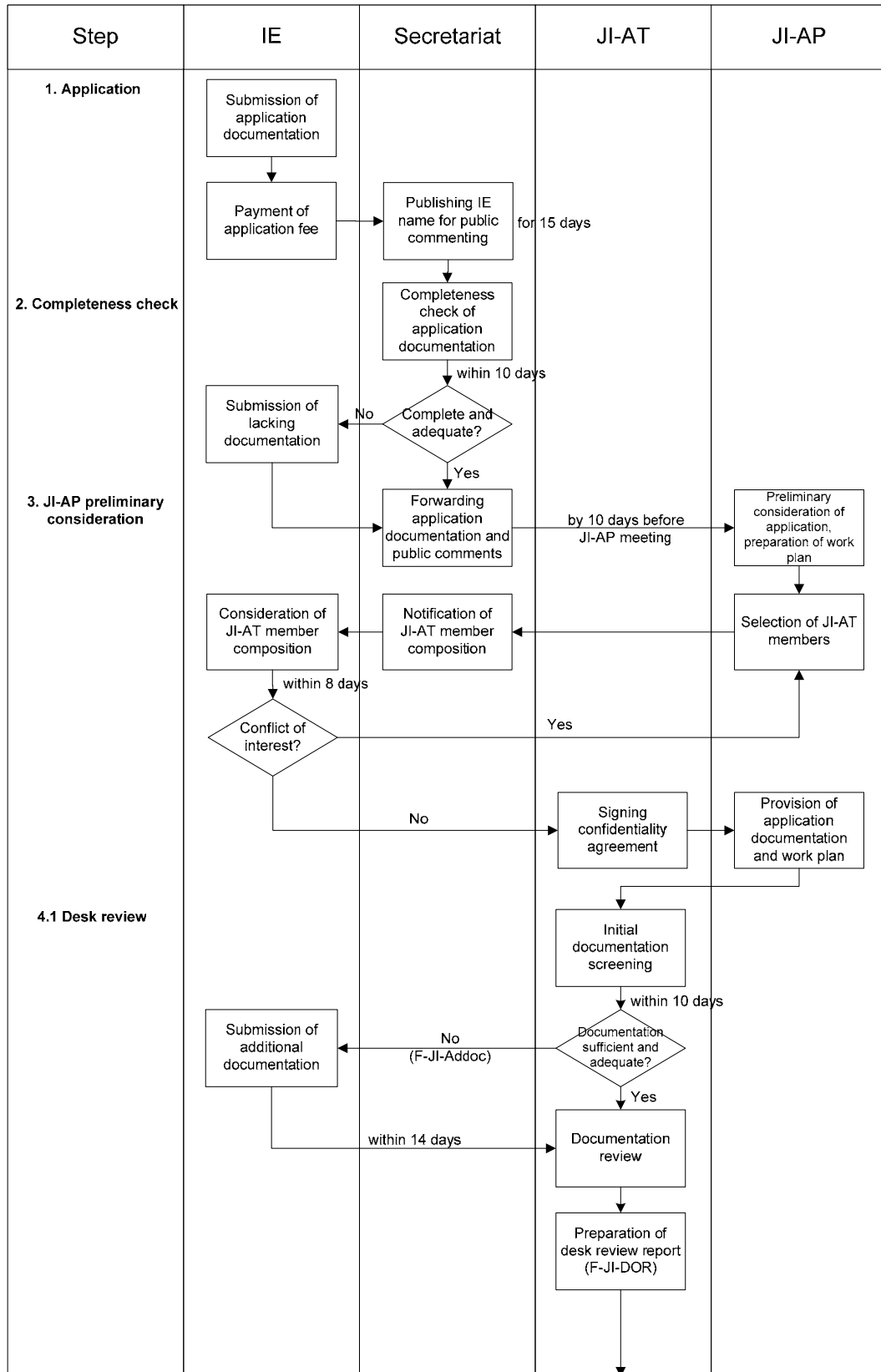
151. The appeal panel shall prepare a report for consideration by the JISC at its next meeting.

152. 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 JI accreditation procedure. The JISC's decision shall be deemed final.

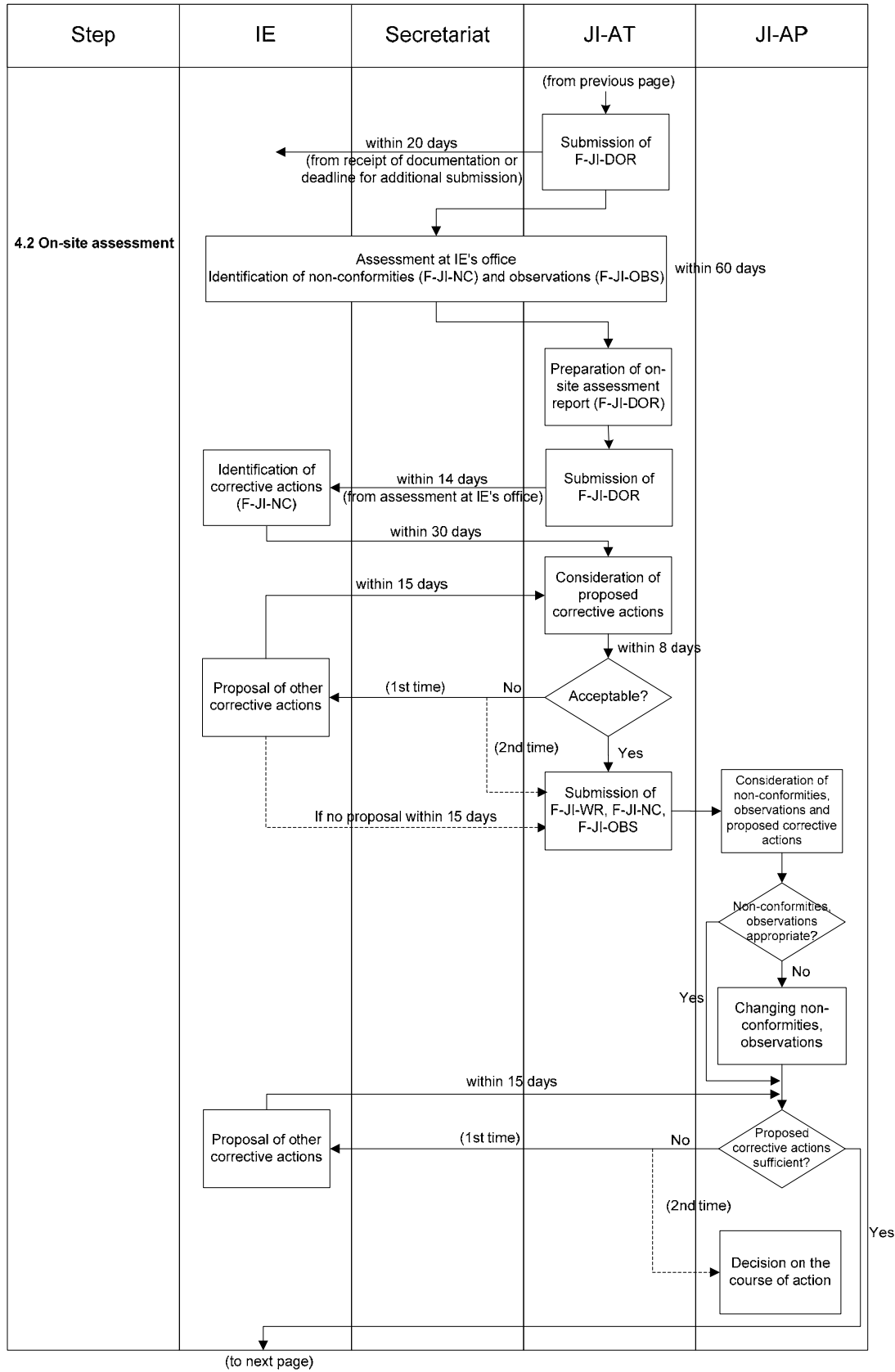
153. Following the JISC's decision, the secretariat shall make available a copy of the report of the appeal panel to the appellant and the JI-AP.

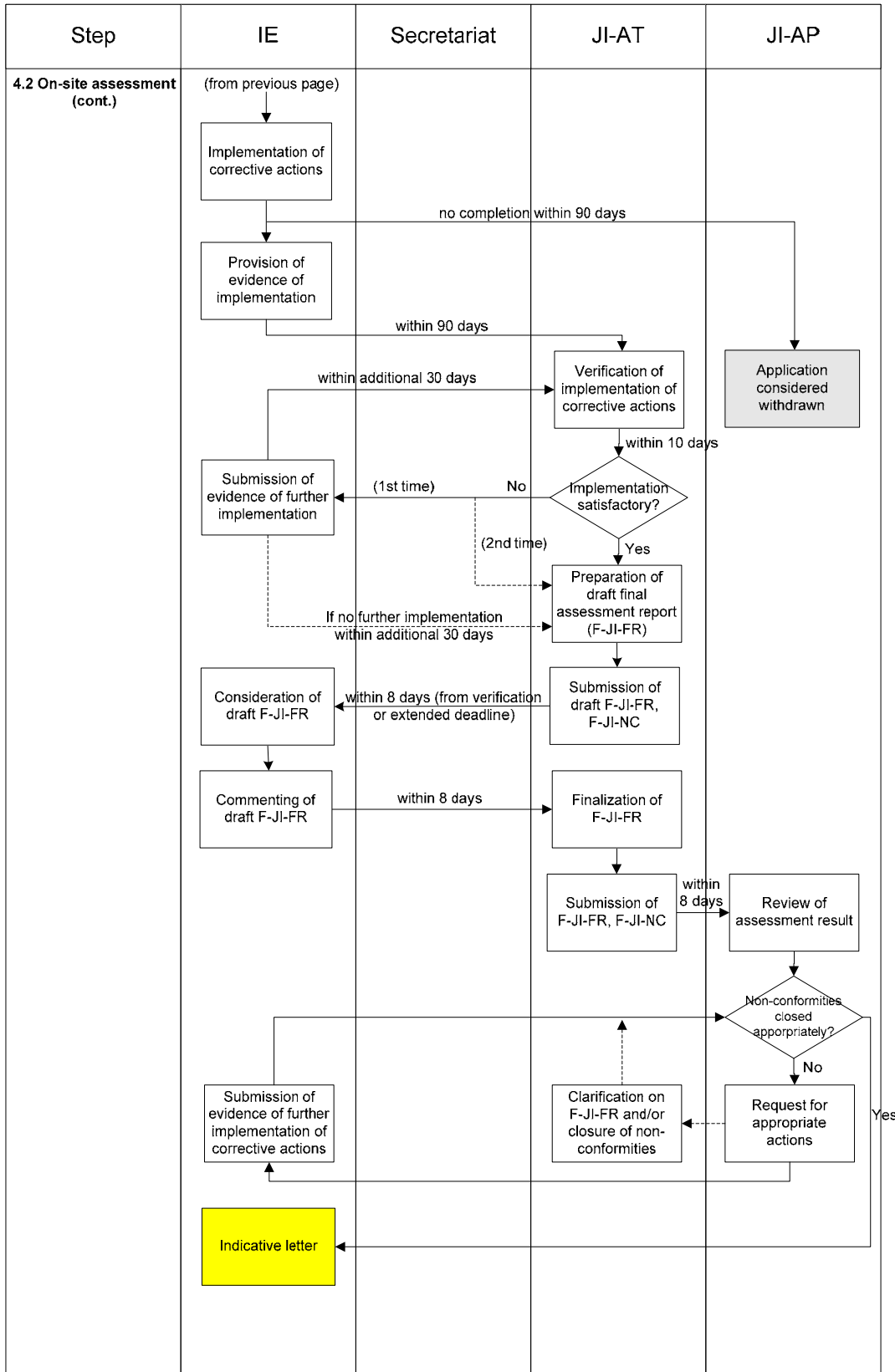
154. The cost of processing an appeal shall be covered in accordance with the provisions in annex 5 "Fees and costs" by the appellant.

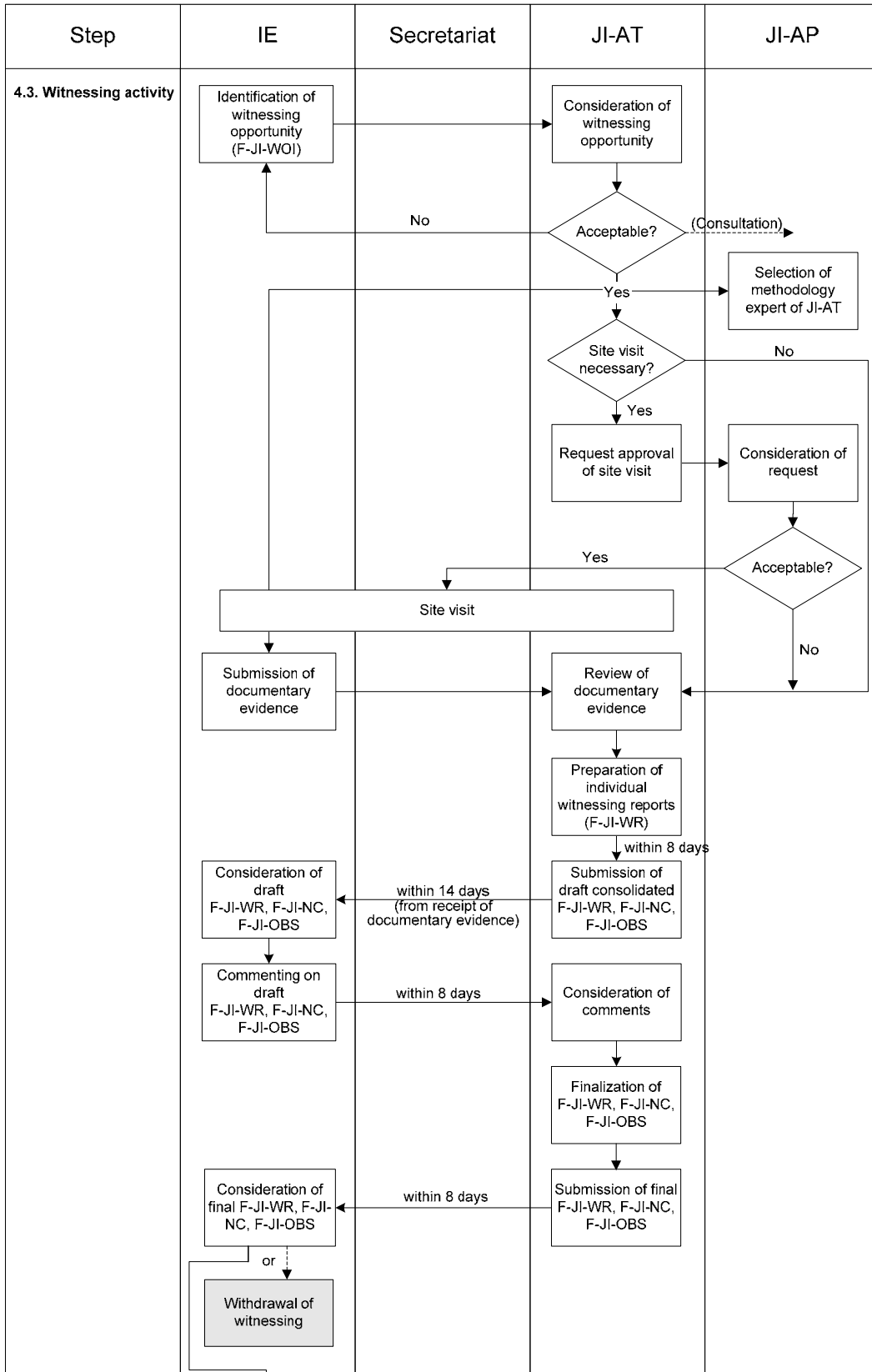
Annex 1. Flowchart of the procedure for initial accreditation¹¹



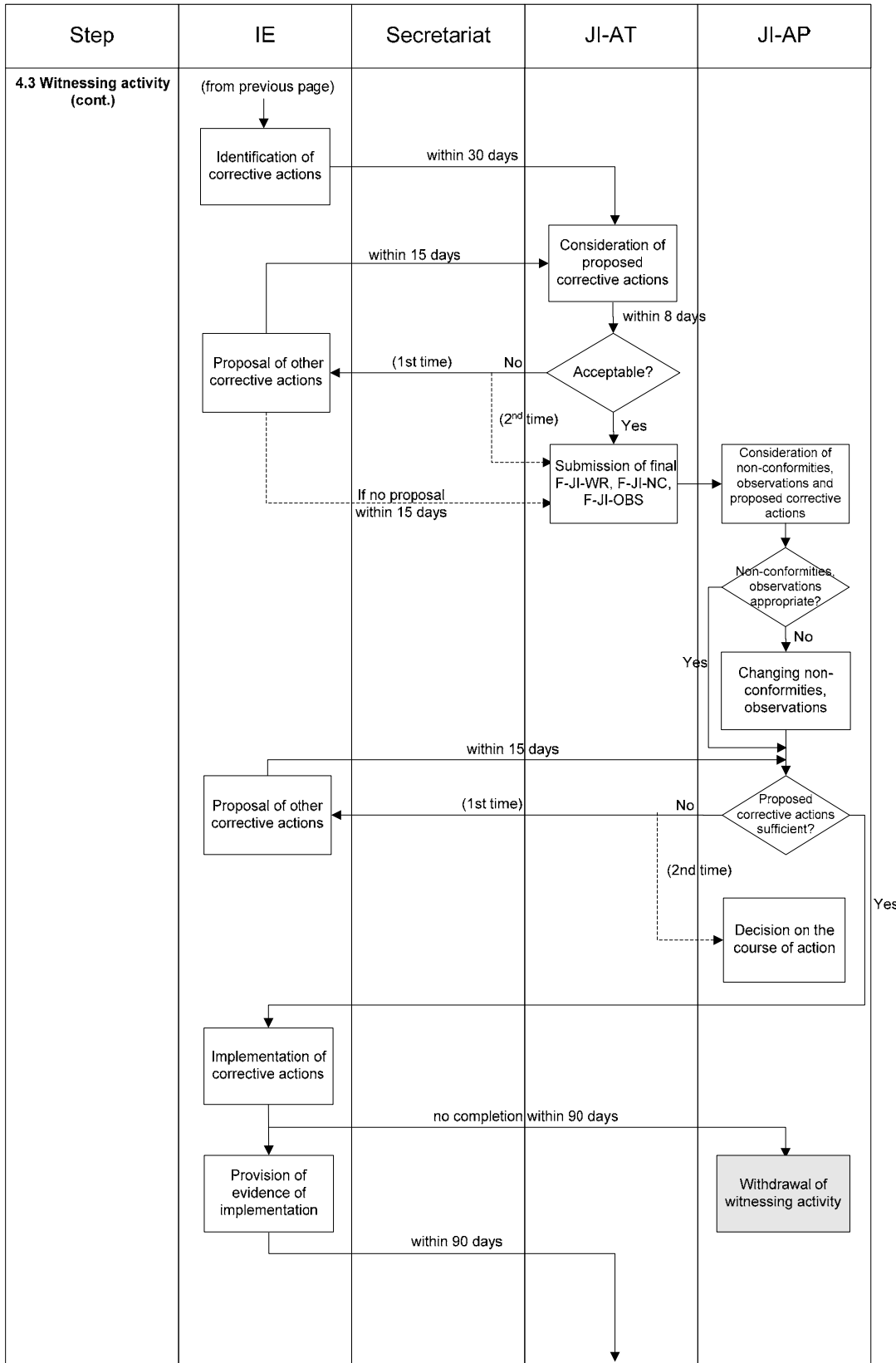
¹¹ The flowchart is merely indicative and may not be exhaustive. Refer to section C of the procedure for details.



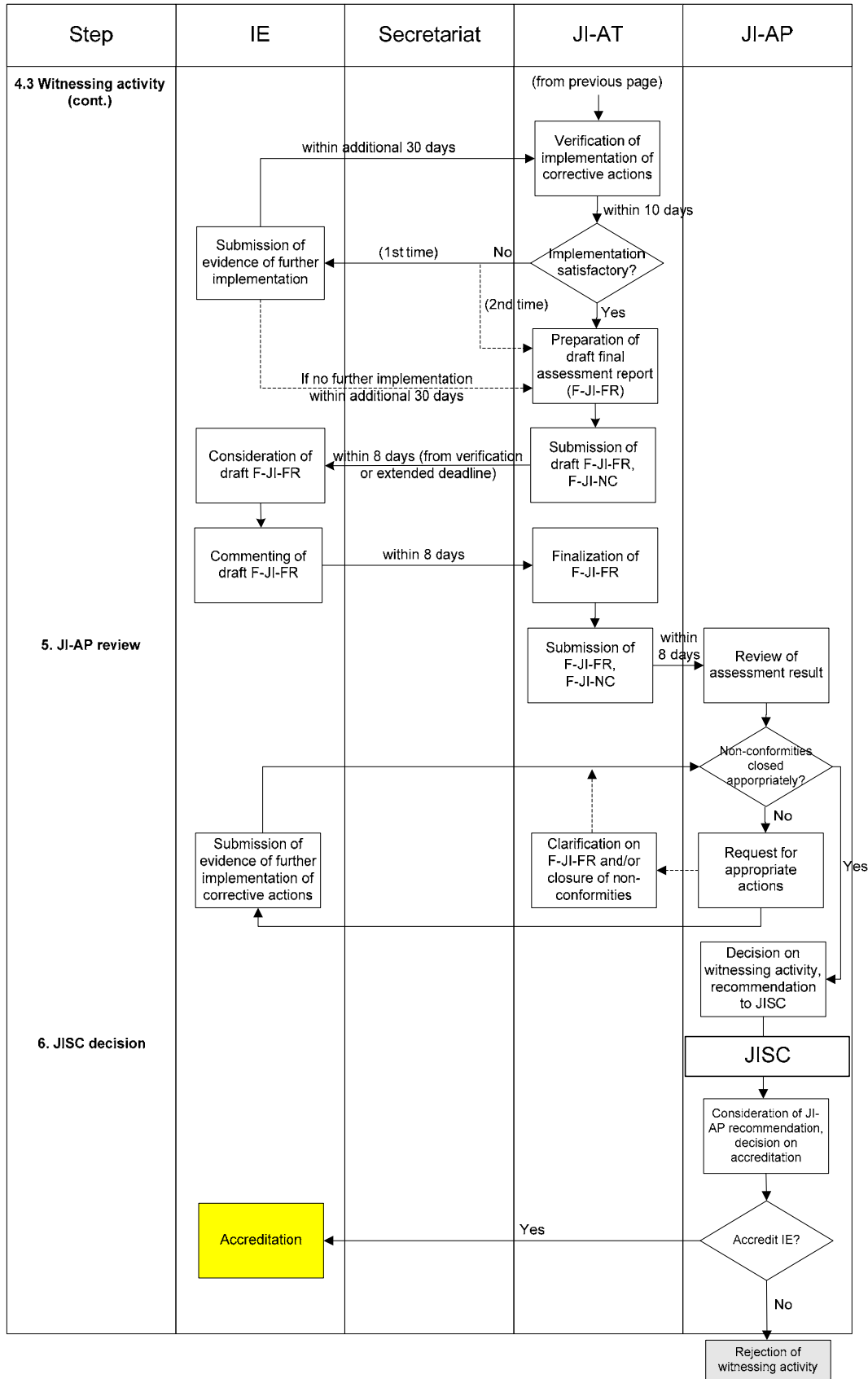




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Annex 2. Granting, confirmation and suspension of initial accreditation

- Through a witnessing activity, a JI-AT assesses the IE's performance in (a) specific sectoral scope(s) that the project under witnessing is associated with and for a specific function of an IE in the JI project cycle (i.e. either determination or verification).
- However, to facilitate the accreditation process, the JISC, in accordance with the provisions referred to in section B.3, grants accreditation to the IE for all sectoral scope(s) applied for both functions based on a successful witnessing activity regardless of the sectoral scope(s) and function witnessed. Nevertheless, after the initial accreditation is granted, the AIE shall undergo an ex-post witnessing activity for each sectoral group that has not been witnessed in order to confirm the accreditation in these groups.
- The tables below explain how the granting and confirmation of accreditation referred to in section B.3 is implemented. Two examples are presented to explain the process. It should be noted that in these tables the numbering of the sectoral groups is the same than the one in the current document "List of sectoral scope" (P-JI-ACCR-03).

Example 1: Applicant IE applied for all sectoral scopes

Sectoral group	I	II	III	IV	V	VI
Witnessing for DET function¹²	Successfully completed					
Witnessing for VER function¹³	Not required					
Accreditation	Granted for 5 years for both functions	Simultaneously granted for 5 years for both functions	Simultaneously granted for 5 years for both functions	Simultaneously granted for 5 years for both functions	Simultaneously granted for 5 years for both functions	Simultaneously granted for 5 years for both functions
Ex-post witnessing, for either DET or VER function	Not required	Required within 1.5 years	Required within 1.5 years	Required within 1.5 years	Required within 1.5 years	Required within 1.5 years

In this example, the applicant IE has applied for all sectoral scopes in all six sectoral groups. After the successful completion of a witnessing activity for determination function and for (a) sectoral scope(s) included in sectoral group I, accreditation will be granted for all sectoral scopes applied for included in sectoral group I, and simultaneously for the sectoral scopes included in sectoral groups II-VI, for both functions (initial accreditation). However, the AIE shall initiate, within one and a half years of this initial accreditation, and for each sectoral group II to VI individually, an ex-post witnessing activity for either function of determination or verification for (a) sectoral scope(s) included in these sectoral groups to maintain its accreditation for the scopes included in the groups II-VI (confirmation of accreditation). The AIE's accreditation of sectoral group I for both functions will be maintained for five years regardless of the initiation or the outcomes of the ex-post witnessing activities regarding any of sectoral groups II to VI.

¹² The IE's function of determination (i.e. determination regarding project design document in accordance with paragraph 33 of the JI guidelines).

¹³ The IE's function of verification (i.e. determination of emission reductions or enhancements of removals in accordance with paragraph 37 of the JI guidelines).

Example 2: Applicant IE applied for sectoral scopes relating only to some sectoral groups

Sectoral group	I	II	III	IV	V	VI
Witnessing for DET function		Not required				
Witnessing for VER function		Successfully completed				
Accreditation	Simultaneously granted for 5 years for both functions	Granted for 5 years for both functions			Simultaneously granted for 5 years for both functions	
Ex-post witnessing, for either DET or VER function	Required within 1.5 years	Not required			Required within 1.5 years	

In this example, the applicant IE applied for sectoral scopes included in sectoral groups I, II and V only. In this case, after the successful completion of a witnessing activity for verification function and for (a) sectoral scope(s) included in sectoral group II, accreditation will be granted for all sectoral scopes applied for included in sectoral group II, and simultaneously for the sectoral scopes included in sectoral groups I and V (initial accreditation). However, the AIE shall initiate, within one and half a years of this initial accreditation, and for each sectoral group I and V individually, an ex-post witnessing activity for either determination or verification function for (a) sectoral scope(s) included in these sectoral groups to maintain its accreditation for sectoral group I and V (confirmation of accreditation). The AIE's accreditation of sectoral group II for both functions will be maintained for five years regardless of the initiation or the outcomes of the ex-post witnessing activities regarding any of sectoral group I or V.



Annex 3. Application documentation

1. To apply for accreditation, the applicant IE shall provide the following documentation in eight (8) copies to the secretariat. Documentation must be submitted in English, the working language of the JISC:

- (a) Application form for accreditation (F-JI-A) duly filled out;
- (b) Documentation on its legal entity status (either domestic legal entity or international organization) (*JI guidelines*¹⁴);
- (c) The names, qualifications, experience and terms of reference of the senior executive, board members, senior officers and other relevant personnel (*JI guidelines*);
- (d) An organizational chart showing lines of authority, responsibility and allocation of functions stemming from the senior executive (*JI guidelines*);
- (e) Its quality assurance policy and procedures (*JI guidelines*), including a procedures manual on how the entity conducts determinations and verifications;
- (f) Administrative procedures, including document control (*JI guidelines*);
- (g) 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*);
- (h) Its procedures for handling complaints, appeals and disputes (*JI guidelines*);
- (i) Particular documents relating to sectoral scope(s) relevant to its application;
- (j) 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*);
- (k) A statement that operations of the applicant IE are in compliance with applicable national laws;
- (l) 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*):
 - (i) 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*);
 - (ii) A clear definition of links with other parts of the organization, demonstrating that no conflicts of interest exist (*JI guidelines*);
 - (iii) 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*);

¹⁴ Elements in this list that are taken from the JI guidelines are marked accordingly.



- (iv) 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 additional sectoral scope(s), the AIE shall submit, as applicable, particular documentation relating to the additional sectoral scope(s) and any documentation listed in paragraph 1 above that have been revised since the initial application.
- 3. In the case of re-accreditation, the AIE shall submit:
 - (a) All documentation listed in paragraph 1 above, ensuring that all information available to the JISC and the JI-AP reflects the most up-to-date information;¹⁵
 - (b) List of projects that the AIE has determined and verified, indicating the full status of such projects.

¹⁵ Regarding provisions for notification on change of status of an AIE see section H.

Annex 4. Forms used in the JI accreditation process

1. The list below indicates the forms to be filled out by applicant IEs, AIEs, the JI-AP or JI-ATs, step-by-step in the accreditation process. 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

- 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-FR = Final assessment report

Witnessing activity

- F-JI-WRdet = Report on witnessing activity – determination
- F-JI-WRver = Report on witnessing activity – verification
- 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-FR = Final assessment report

Regular on-site surveillance

- F-JI-DOR = Desk review and on-site assessment report
- F-JI-WRdet = Report on witnessing activity – determination
- F-JI-WRver = Report on witnessing activity – verification
- F-JI-Addoc = List of additional documents/information to be submitted/prepared by applicant IE
- 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
- F-JI-MAR = Attendance register for opening and closing meetings
- F-JI-FR = Final assessment report

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-FR = Final assessment report



Other

- F-JI-W = Work plan 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/member evaluation input
- F-JI-EVatm = JI-AT member evaluation report
- F-JI-IL = Indicative letter

Annex 5. 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.¹⁶

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.¹⁷ 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.1), a reimbursement of 50 per cent of the non-reimbursable application fee will be made.

Costs associated with the on-site assessment

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):

- (a) Airfare for each team member on the assessment mission (business class fare in case of flight time being more than four hours);
- (b) United Nations daily subsistence allowance to each team member on the assessment mission (the rate and number of days to be guided by the secretariat).

¹⁶ For indicative level of fees for different steps of assessment, refer to the “Indicative level of fees to be paid to joint implementation assessment team by applicant independent entity or accredited independent entity” (P JI-ACCR-05), which is available on the UNFCCC JI website <<http://ji.unfccc.int>>.

¹⁷ For the current level of non-reimbursable application fee, refer to the “Provisions for the charging of fees to cover administrative costs relating to the activities of the Joint Implementation Supervisory Committee”, which is available on the UNFCCC JI website <<http://ji.unfccc.int>>.



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.

Costs associated with witnessing activities

8. A witnessing activity may be carried out 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:

- (a) Airfare for each member (business class fare in case of flight time being more than four hours);
- (b) United Nations daily subsistence allowance applicable to each member on the witnessing mission (the rate and number of days to be guided by the secretariat).

Costs associated with the regular on-site surveillance of an AIE

11. The AIE 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):

- (a) Airfare for each team member on the assessment mission (business class fare in case of flight time being more than four hours);
- (b) United Nations daily subsistence allowance to each team member on the assessment mission (the rate and number of days to be guided by the secretariat).

12. In addition, the AIE 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.

Costs associated with changes notified by an applicant IE or AIE

13. 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:

- (a) Addition or subtraction to the list of sectoral scopes applied for;
- (b) Changes in the legal status of the entity;
- (c) Changes in ownership;
- (d) Substantial changes in documentation.



14. 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 (2) 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.

15. Any changes of an AIE shall be considered by the JI-AP and related cost shall be decided on a case-by-case basis.

16. 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

17. 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

18. 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 the payment is received. If the fee is not received within 30 days after the quote was provided, the appeal will be deemed withdrawn.

19. If the JISC finds that the appeal has merit, the entire “appeals fee” payment shall be refunded to the appellant.



Annex 6. 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