

**Annex 9****DRAFT GUIDELINES FOR USERS OF THE
JOINT IMPLEMENTATION PROGRAMME OF ACTIVITIES
DESIGN DOCUMENT FORM****NOTE BY THE SECRETARIAT**

1. At its fourteenth meeting, the JISC requested Mr. Chowdhury, Mr. Fuller, Ms. Gałan, Mr. Björk, Mr. Leguet and Mr. Oderson, supported by the secretariat, to develop, for consideration by the JISC at its next meeting, procedures on project activities under a programme of activities under the JI Track 2 procedure, in accordance with paragraph 6 of decision 5/CMP.4.
2. At its sixteenth meeting the JISC requested the secretariat to prepare, together with the second draft of the JI PoA procedures, the form for submitting a JI PoA.
3. At its seventeenth meeting the JISC considered the first draft of the JI PoA-DD form and requested the secretariat to prepare the the guidelines for users of the JI PoA-DD form.
4. The draft guidelines for users of the JI PoA-DD form , prepared in accordance with paragraph 3 above, as attached below.



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Version 01**



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JOINT IMPLEMENTATION PROGRAMME OF ACTIVITIES
DESIGN DOCUMENT FORM**

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PART I

A. General information on the joint implementation programme of activities design document form

1. These guidelines are to assist users of the joint implementation programme of activities design document (JI PoA-DD) form.
2. The JI PoA-DD form was elaborated by the Joint Implementation Supervisory Committee (JISC) in accordance with decisions 5/CMP.4 and 10/CMP.1, 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) and the procedures for programmes of activities under the verification procedure under the JISC.
3. Project participants that wish to submit a JI PoA to an accredited independent entity (AIE) under the verification procedure under the JISC shall submit a completed JI PoA-DD form.
4. The JI PoA-DD 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 “glossary of joint implementation terms”. 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. The JISC may revise the JI PoA-DD form, if necessary. Revisions come into effect once adopted by the JISC, bearing in mind the provisions below.
7. Revisions of the JI PoA-DD form do not affect design documents that:
 - (a) Have already been used as the basis for a determination by an AIE; or
 - (b) Have already been submitted to an AIE for determination prior to the adoption of the revised JI PoA-DD form; or
 - (c) Are submitted to an AIE within a month following the adoption of the revised JI PoA-DD form.
8. The JISC will not accept documentation using the previous version of the JI PoA-DD form six months after the adoption of a new version.
9. In accordance with the JI guidelines, the working language of the JISC is English. The JI PoA-DD form shall therefore be completed and submitted in English.
10. The JI PoA-DD 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.



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11. If a section of the JI PoA-DD form is not applicable, it shall be explicitly stated that the section is left blank on purpose.



PART II

**A. Information note for the joint implementation programme of activities
design document form**

1. The completed JI PoA-DD form presents information on the essential technical and organizational aspects of a JI PoA and is a key input for determinations as defined in the JI guidelines and in the procedures.
2. The completed JI PoA-DD form contains information on the JI PoA, the baseline, and the monitoring plan chosen.
3. The coordinating entity shall submit the completed JI PoA-DD form, together with attachments, if necessary, to an AIE for determination. The AIE then examines the adequacy of the information provided in the JI PoA-DD, especially whether it satisfies the relevant provisions of the JI guidelines. Based on this examination, the AIE makes a determination regarding the JI PoA.
4. Bearing in mind paragraph 40 of the JI guidelines, the coordinating entity 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 coordinating entity (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 alternates; 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 programme of activities
design document form**

**CONTENTS OF THE
JOINT IMPLEMENTATION PROGRAMME OF ACTIVITIES
DESIGN DOCUMENT FORM**

- A. General description of the JI programme of activities (JI PoA)
- B. Duration of the JI PoA.
- C. Environmental impacts
- D. Stakeholders' comments
- E. Application of a baseline and monitoring plan for each type of joint implementation programme activity (JPA)

Annexes

Annex 1: Contact information on coordinating entity and participants of the PoA

Annex 2: JPA's information table.

Annex 3: Baseline information

Annex 4: Monitoring plan



SECTION A. General description of the JI PoA

A.1. Title of the JI PoA:

Please indicate:

- The title of the JI PoA;
- The sectoral scope(s)¹ to which the JI PoA pertains;
- The version number of the document;
- The date of the document.

A.2. Description of the JI PoA:

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 JI PoA;
- b) Baseline scenario; and
- c) JI PoA scenario (expected outcome, including a technical description).

Please also briefly summarize the background and motivation of the JI PoA, including its JI components.

A.3. Coordinating entity and participants of the JI PoA, as appropriate:

Please list the name of the coordinating entity and participants of the JI PoA and Parties involved in this section and provide contact information in annex 1. Information shall be provided in the following tabular format.

<u>Coordinating entity</u> name		
<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 <u>Party involved</u> is a <u>host Party</u> . Entities that are under the <u>coordinating entity</u> should not be included.		

¹ 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. Technical description of the JI PoA:

A.4.1. Location of the JI PoA:

A.4.1.1. Host Party(ies):

A.4.1.2. Geographical boundary:

Please indicate all the countries, states and regions the JI PoA will cover.

A.4.2. Description of each type of JPA:

Please provide a unique name to identify each type of JPA (these names are used during subsequent additions of JPA to identify the type)

A.4.2.1 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 each type of JPA, including all relevant technical data and the implementation schedule.

A.4.2.2 Eligibility criteria for inclusion of each type of JPA in the JI PoA:

Please describe all the eligibility requirements to include each type of JPA into the JI PoA. Please separate requirements clearly by each type.

A.4.3. Brief explanation of how the anthropogenic emissions of greenhouse gases by sources are to be reduced by the proposed JI PoA or each type of JPA, including why the emission reductions would not occur in the absence of the proposed JI PoA or each type of JPA, 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.). If the explanation is done by type of JPA, please use the same names of types defined in section A.2.1.

A.4.5. Operational, management and monitoring plan:

A.4.5.1. Operational and management plan for the JI PoA:

Please describe how the JI PoA will be operated and implemented, including the maintenance of the records for each JPA, a system/procedure to avoid double counting (e.g. to avoid including a new JPA that has already been determined), provisions to ensure that persons operating JPAs are aware and have agreed to their activity being added to the JI PoA.



A.4.5.2. Monitoring plan:

Please describe the monitoring plan for each type of JPA in the JIPoA, using the same names of types defined in section A.2.1

A.5. Project approval by the Parties involved:

Written project approvals by the Parties involved should be attached, for all Parties identified in section A.3.



SECTION B. Duration of the JI PoA / crediting period

B.1. Starting date of the JI PoA:

The starting date of a JI PoA is the date on which the implementation or action of the programme begins.

Programmes starting as of [2000] [2006] may be eligible as JI PoAs if they meet the requirements of the JI guidelines. ERUs shall only be issued for a crediting period starting after the beginning of 2008.

B.2. Expected operational lifetime of the project:

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

B.3. Length of the crediting period:

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

SECTION C. Environmental impacts

C.1. Documentation on the analysis of the environmental impacts of the JI PoA, including transboundary impacts, in accordance with procedures as determined by the host Party(ies):

Please list and attach the documentation to the JI PoA-DD.

C.2. If environmental impacts are considered significant by the participants or the host Party(ies), 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(ies):

SECTION D. Stakeholders' comments

D.1. Information on stakeholders' comments on the JI PoA, as appropriate:

Please provide:

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

If not applicable, please state so.



SECTION E. Application of a baseline and monitoring plan for each type of JPA

Baseline and monitoring 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 JI-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 type of JPA sector;
- In such a way that emission reduction units (ERUs) cannot be earned for decreases in activity levels outside the type of JPA activity or due to force majeure;
- Taking account of uncertainties and using conservative assumptions.

The coordinating entity shall justify their choice of baseline.

Where applicable, the coordinating entity may opt to apply approved clean development mechanism (CDM) baseline and monitoring methodologies.

Please note that this section E. shall contain all key elements of the baseline. Annex 3 (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.

E.1. Description and justification of the baseline chosen for each type of JPA:

Please describe and justify the baseline chosen for each type of JPA in accordance with appendix B of the JI guidelines, using the following step-wise approach:

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 monitoring"¹, is chosen:

- a) If a JI specific approach regarding baseline setting is used in accordance with paragraph 9 (a) of the "Guidance on criteria for baseline setting and monitoring", please describe the baseline in accordance with paragraph 23 through 29 of the "Guidance on criteria for baseline setting and monitoring". Elements or combinations of approved CDM baseline and monitoring methodologies may be applied, as appropriate, but note that the use of the most recent version(s) is encouraged.

¹ 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").



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b) If an approved CDM baseline and monitoring methodology is used, in accordance with paragraph 10 of the “Guidance on criteria for baseline setting and monitoring”, the most recent version of the CDM methodology shall be applied when the project design document (PDD) is submitted for publication on the UNFCCC JI website. The approved CDM methodology shall be used in its totality, including all explanations, descriptions and analyses. Please indicate the title and reference number of the methodology, as well as its version, and describe why it is applicable.

Step 2. Application of the approach chosen by each type of JPA.

Please apply the approach outlined in step 1 above in the context of each type of JPA.

Please provide the key information and data used to establish the baseline (variables, parameters, data sources etc.) in tabular form by each type of JPA:

Data/Parameter	
Data unit	
Description	
Time of <u>determination/monitoring</u>	
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	

E.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 PoA or the JPA, as appropriate:

Please demonstrate that the JJ PoA or each type of JPA (please indicate explicitly which approach was selected) 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

a) If a JI specific approach is used, please explicitly indicate which of the approaches to demonstrate additionality, defined in paragraph 2 of the annex I to the “Guidance on criteria for baseline setting and monitoring”², is chosen.

² 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”).



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b) If a methodology approved by the CDM Executive Board is used in accordance with paragraph 10 of the “Guidance on criteria for baseline setting and monitoring”, please provide 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.

Step 2. Application of the approach chosen

Please apply the approach outlined in step 1 above

Step 3. Provision of additionality proofs

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

As appropriate, the draft table provided under section E.1. above shall be completed for all relevant data/parameters.

E.3. 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 coordinating entity listed in annex 1.



E.4. Monitoring plan

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

Where applicable, coordinating entity may opt to apply approved CDM baseline and monitoring methodologies.

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

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

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

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

Coordinating entity 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.

E.4.1. Option 1 – Monitoring of the emissions in the JPA scenario and the baseline scenario:

Please state if this section is left blank on purpose. It needs to be demonstrate by each type.

E.4.1.1. Data to be collected in order to monitor emissions from the JPA, 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 PoA-DD form, alternatively the draft table provided under section E above may be completed for all data/parameters.)

It needs to be demonstrate by each type.

E.4.1.2. Description of formulae used to estimate each type of JPA emissions (for each gas, source etc.; emissions in units of CO₂ equivalent):

Formulae should be consistent throughout the document. It needs to be demonstrate by each type.



E.4.1.3. Relevant data necessary for determining the baseline of anthropogenic emissions of greenhouse gases by sources within the JPA 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. It needs to be demonstrate by each type.

E.4.1.4. 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. It needs to be demonstrate by each type.

E. 4.2. Option 2 – Direct monitoring of emission reductions from JPA:

Please state if this section is left blank on purpose. It needs to be demonstrate by each type.

E.4.2.1. Data to be collected in order to monitor emission reductions from each type of JPA, 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 PoA-DD form, alternatively the draft table provided under section E. above may be completed for all data/parameters.)

E.4.2.2. Description of formulae used to calculate emission reductions for each type of JPA (for each gas, source etc.; emissions/emission reductions in units of CO₂ equivalent):

Formulae should be consistent throughout the document.

E.4.3. Treatment of leakage in the monitoring plan:

E.4.3.1. If applicable, please describe the data and information that will be collected in order to monitor leakage effects in each type of JPA:

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

E.4.3.2. Description of formulae used to estimate leakage each type of JPA (for each gas, source etc.; emissions in units of CO₂ equivalent):

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

E.4.4. Description of formulae used to estimate emission reductions for each type of JPA (for each gas, source etc.; emissions/emission reductions in units of CO₂ equivalent):

Formulae should be consistent throughout the document.



E.4.5. 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 each type of JPA:

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.

E.5. Quality control (QC) and quality assurance (QA) procedures undertaken for data monitored:

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

E.6. Name of person(s)/entity(ies) establishing the monitoring plan:

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



Annex 1

CONTACT INFORMATION ON COORDINATING ENTITY AND PARTICIPANTS OF THE JI POA

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

JPA'S INFORMATION TABLE

Information regarding JPAs in the JI PoA is maintained through a table that is created through the JI Infosystem. To add new JPAs to the PoA, the coordinating entity will update the JPA table through the JI Infosystem. The AIE is responsible for updating this table until determination of the JI PoA has been deemed final. The coordinating entity will not be able to make any updates until the determination of the JI PoA has been deemed final. At the moment of the submission of the determination of the JI PoA, at least one JPA of each type shall be included. Using the JI Infosystem's functions to create and update the table, please provide the following information for each JPA :

- Number of the JPA (will be automatically provided when a new JPA is added through the JI Infosystem);
- Name of the JPA: please provide a unique name for each JPA;
- Brief summary: brief description of the JPA;
- Geographical reference: geographical coordinates and/or full address;
- Name and contact details of the entity responsible for the operation of the JPA;
- Host Party(ies): indicate the host Party(ties) of the JPA;
- Starting date: operational starting date of the JPA;
- Length of the crediting period: starting and ending date of the crediting period for the JPA;
- Estimation of emission reduction: the total amount and the annual average of the emission reduction in tonnes of CO₂ equivalent;
- Confirmation that all eligibility criteria described in Section A.4 and Section E are met: please check the box;
- Confirmation that the JPA has not been determined as a single JI project or under a different JI POA: please check the box.



Annex 3

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 4

MONITORING PLAN
