



Annex 5

**GUIDELINES FOR USERS OF THE
JOINT IMPLEMENTATION PROJECT DESIGN DOCUMENT FORM
FOR SMALL-SCALE PROJECTS
AND THE FORM FOR SUBMISSION OF
BUNDLED JOINT IMPLEMENTATION SMALL-SCALE PROJECTS**

(Version 04)



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JOINT IMPLEMENTATION PROJECT DESIGN DOCUMENT FORM
FOR SMALL-SCALE PROJECTS
AND THE FORM FOR SUBMISSION OF
BUNDLED JOINT IMPLEMENTATION SMALL-SCALE PROJECTS**

Version 034

| <i>Revision history of the document</i> | | |
|---|----------------------|--|
| Document version | Adoption | Revision |
| Version 01 | JISC 05 ¹ | Initial adoption of the document developed on the basis of paragraphs 2 (d), (e) and (f) of decision 10/CMP.1 |
| Version 02 | JISC 06 | <ul style="list-style-type: none"> Revision to reflect the amendment of the thresholds for type II and type III joint implementation (JI) small-scale (SSC) projects in paragraph 14 of decision 3/CMP.2 in line with the revised thresholds for SSC project activities under the clean development mechanism as defined in paragraph 28 of decision 1/CMP.2 Amendment of the “glossary of joint implementation small-scale terms” (regarding the terms “Party involved” and “project approval by the Parties involved”) |
| Version 03 | JISC 13 | Revision to increase the transparency of requirements as well as the consistency of JI project design documents (PDDs) prepared (during the course of this work, inter alia, the glossaries of JI terms originally contained in the single guidelines for users ² were consolidated in a separate document for reasons of transparency and comprehensiveness) |
| Version 04 | JISC 18 | Revision to reflect updates contained in version 02 of the “Guidance on criteria for baseline setting and monitoring” adopted at JISC 18. |

¹ Fifth meeting of the Joint Implementation Supervisory Committee

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



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PART I

A. General information on the joint implementation project design document form for small-scale projects and the form for submission of bundled joint implementation small-scale projects

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



10. In accordance with the JI guidelines, the working language of the JISC is English. The JI SSC PDD form and the F-JI-SSC-BUNDLE shall therefore be completed and submitted in English.
11. The JI SSC PDD form and the F-JI-SSC-BUNDLE shall not be altered. They shall be completed without modifying/adding headings, logo, format or font. Tables shall not be modified or deleted (unless otherwise indicated). However, rows may be added as needed.
12. The completed JI SSC PDD form and F-JI-SSC-BUNDLE shall include in section A.1. the version number and the date of the document.
13. If a section of the JI SSC PDD form or the F-JI-SSC-BUNDLE is not applicable, it shall be explicitly stated that the section is left blank on purpose.
14. The JI SSC PDD form and the F-JI-SSC-BUNDLE are applicable to JI SSC projects only.



B. Glossary of joint implementation terms

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

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

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

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

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

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

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

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

⁵ Article 6, paragraph 1, of the Kyoto Protocol

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



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

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



PART II

A. Information note for the joint implementation project design document form for small-scale projects

1. The completed JI SSC PDD form presents information on the essential technical and organizational aspects of a SSC project and is a key input for determinations regarding the SSC project under the verification procedure under the JISC as defined in paragraphs 30–45 of the JI guidelines.
2. The completed JI SSC PDD form contains information on the SSC project, the baseline, and the monitoring plan chosen.
3. The three types of JI SSC projects are mutually exclusive. If a JI project includes more than one JI SSC project type component, it can benefit from the specific provisions for JI SSC projects, if each component meets the relevant threshold criterion, i.e. for a project with both a renewable energy and an energy efficiency component the thresholds for type I and type II JI SSC projects have to be met. Such SSC projects may submit one JI SSC PDD, provided that information regarding the following (sub)sections is provided separately for each of the components of the project:
 - A.4.2. Small-scale project type(s) and category(ies);
 - A.4.3. Technology(ies) to be employed, or measures, operations or actions to be implemented by the small-scale project;
 - A.4.4. Brief explanation of how the anthropogenic emissions of greenhouse gases by sources are to be reduced by the proposed small-scale project, including why the emission reductions would not occur in the absence of the proposed small-scale project, taking into account national and/or sectoral policies and circumstances;
 - B. Baseline;
 - D. Monitoring plan;
 - E. Estimation of greenhouse gas emission reductions.
4. The project participants shall submit the completed JI SSC PDD form, together with attachments, if necessary, to an AIE for determination. The AIE then examines the adequacy of the information provided in the JI SSC PDD, especially whether it satisfies the relevant provisions of the JI guidelines and the provisions for JI SSC projects developed by the JISC. Based on this examination, the AIE makes a determination regarding the SSC project.



5. Bearing in mind paragraph 40 of the JI guidelines, project participants shall submit documentation that contains confidential/proprietary information in two versions:

- A marked-up version where all confidential/proprietary parts have been made illegible by the project participants (e.g. by covering those parts with black ink) so that it can be made public;
- A version containing all information, i.e. including parts which shall be treated as strictly confidential by all persons handling this documentation (AIEs, JISC members and alternate members, and panel, subcommittee and working group members, external experts requested to consider such documents in support of the work of the JISC, and the secretariat, as applicable).

6. Specific information on the usage of the JI SSC PDD form with regard to bundled SSC projects is given in part III of this document.



**B. Specific guidelines for users of the joint implementation project design document form
for small-scale projects**

**CONTENTS OF THE
JOINT IMPLEMENTATION PROJECT DESIGN DOCUMENT FORM
FOR SMALL-SCALE PROJECTS**

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

Annexes

Annex 1: Contact information on project participants



SECTION A. General description of the small-scale project

A.1. Title of the small-scale project:

Please indicate:

- The title of the SSC project;
- The sectoral scope(s)⁸ to which the SSC project pertains;
- The version number of the document;
- The date of the document.

A.2. Description of the small-scale project:

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

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

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

A.3. Project participants:

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

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

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

A.4. Technical description of the small-scale project:

A.4.1. Location of the small-scale project:

A.4.1.1. Host Party(ies):

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

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

⁸ The list of sectoral scopes adopted by the JISC is available on the UNFCCC JI website (<<http://ji.unfccc.int/>>) in section "Reference" ("Procedures").



A.4.1.4. Detail of physical location, including information allowing the unique identification of the small-scale project:

Please do not exceed one page.

A.4.2. Small-scale project type(s) and category(ies):

Please specify and justify the SSC project type(s) and category(ies) of the proposed JI SSC project. JI SSC projects have to conform to one of the SSC project categories approved by the Executive Board of the clean development mechanism (CDM)⁹ or an additional SSC project category approved by the JISC. Additional SSC project categories under JI may be approved by the JISC either on its own initiative or based on submissions by project participants.

Project participants may make a substantiated request in writing to the JISC providing information about the project/technology and a definition of the new SSC project category proposed. In approving additional SSC project categories the JISC may draw on expertise, as appropriate. The JISC shall expeditiously, if possible at its next meeting, make a decision. Changes in the list of eligible SSC project categories do not affect JI SSC projects whose determination has already been published in accordance with paragraph 34 of the JI guidelines.

Please also demonstrate that the proposed project is eligible as a SSC project and show that it meets the relevant JI SSC threshold(s) during the whole crediting period. If during any monitoring period relevant JI SSC thresholds are exceeded on an annual average basis, this shall be determined by the AIE and ERUs shall only be issued up to the maximum emission reduction level estimated for the JI SSC project for that period in the SSC PDD.

A.4.3. Technology(ies) to be employed, or measures, operations or actions to be implemented by the small-scale project:

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

A.4.4. Brief explanation of how the anthropogenic emissions of greenhouse gases by sources are to be reduced by the proposed small-scale project, including why the emission reductions would not occur in the absence of the proposed small-scale project, taking into account national and/or sectoral policies and circumstances:

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

⁹ The most recent list of SSC project categories approved by the Executive Board of the CDM is available under <<http://cdm.unfccc.int/methodologies/SSCmethodologies/approved.html>>.



A.4.4.1. Estimated amount of emission reductions over the crediting period:

| | |
|---|---|
| Please indicate the length of the <u>crediting period</u> and provide estimates of total as well as annual emission reductions. Information shall be provided using the following tabular format. | |
| | Years |
| Length of the <u>crediting period</u> | |
| Year | Estimate of annual emission reductions in tonnes of CO ₂ equivalent |
| Year A | |
| Year B | |
| Year ... | |
| Total estimated emission reductions over the <u>crediting period</u> (tonnes of CO ₂ equivalent) | |
| Annual average of estimated emission reductions over the <u>crediting period</u> (tonnes of CO ₂ equivalent) | |

A.4.5. Confirmation that the proposed small-scale project is not a debundled component of a larger project:

Please confirm and show that the proposed JI SSC project is not a debundled component of a larger project.

A.5. Project approval by the Parties involved:

Written project approvals by the Parties involved should be attached.



SECTION B. Baseline

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

In general, a baseline shall be established:

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

Project participants shall justify their choice of baseline.

~~As appropriate~~ **Where applicable**, project participants may **opt to**, ~~but are not obliged to~~, apply **an approved CDM** -simplified baseline and monitoring methodologies for SSC project activities.. ~~In this case, all explanations, descriptions and analyses shall be made in accordance with the selected methodology.~~



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

Please describe and justify the baseline chosen in accordance with appendix B of the JI guidelines **and the “Guidance on criteria for baseline setting and monitoring”**, 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 “~~e~~**Guidance on criteria for baseline setting and monitoring**” and provisions for JI SSC projects¹⁰, 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 provide a detailed theoretical description of the baseline in a complete and transparent manner, as well as a justification in ~~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. In such a case, ~~but note that the use of the most recent valid version(s) is encouraged.~~ **a) If an approved simplified CDM baseline and monitoring methodology is used, please provide a reference (including version) and justify its applicability.**

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

b)) If an approved CDM baseline and monitoring methodology for SSC project activities is used in its totality, in accordance with paragraph 10 of the “Guidance on criteria for baseline setting and monitoring”, the most recent valid version of the CDM methodology shall be applied when the PDD is submitted for publication on the UNFCCC JI website¹¹, allowing for a grace period of two months. Please indicate the title and reference number of the methodology, as well as its version, and describe why it is applicable. Please also provide all explanations, descriptions and analyses pertaining to the baseline in accordance with the approved methodology selected.

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

Step 2. Application of the approach chosen

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

¹⁰ The current versions of the guidance on criteria for baseline setting and monitoring and the provisions for JI SSC projects adopted by the JISC are available on the UNFCCC JI website (<<http://ji.unfccc.int/>>) in section “Reference” (“Guidance / Clarifications”).

¹¹ In accordance with paragraph 32 of the JI guidelines.



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

| | |
|--|--|
| 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 | |

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

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

Step 1. Indication and description of the approach applied

a) If a JI-specific approach is used please explicitly indicate which of the approaches to demonstrate additionality, defined in the **paragraph 2 of the annex I to the JISC's "Guidance on criteria for baseline setting and monitoring"**¹², is chosen, **and provide a justification of its applicability, with a clear and transparent description, as well as references, as appropriate.**

ab) If a an approved CDM baseline and monitoring 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 **indicate 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.

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

Step 2. Application of the approach chosen

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

Step 3. Provision of additionality proofs

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



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

Effects of national and/or sectoral policies and circumstances on the baseline of the proposed JI SSC project shall be summarised in this section as well.

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

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

Please define the project boundary of the proposed JI SSC project.

For details please refer to the JISC's "**G**uidance on criteria for baseline setting and monitoring" and provisions for JI SSC projects¹³.

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

Please provide date of baseline setting (DD/MM/YYYY).

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

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



SECTION C. Duration of the small-scale project / crediting period

C.1. Starting date of the small-scale project:

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

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

C.2. Expected operational lifetime of the small-scale project:

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

C.3. Length of the crediting period:

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

Please note that ERUs shall only be issued for a crediting period starting after the beginning of 2008 and that the crediting period shall not extend beyond the operational lifetime of the project. The crediting period can extend beyond 2012 subject to the approval by the host Party.¹⁴

¹⁴ The status of emission reductions or enhancements of net removals generated by JI projects after the end of the first commitment period may be determined by any relevant agreement under the UNFCCC.



SECTION D. Monitoring plan

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

~~As appropriate~~ **Where applicable**, project participants may **opt to, but are not obliged to**, apply **the an approved CDM simplified baseline and monitoring methodology for SSC project activities**. ~~most recent versions of the simplified baseline and monitoring methodologies for SSC project activities approved by the Executive Board of the CDM. In this case, all explanations, descriptions and analyses shall refer to the selected methodology.~~

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

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

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

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

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



D.1. Description of monitoring plan chosen:

Please provide an outline of the monitoring plan, using the following step-wise approach (a detailed description shall be provided in section D.2.):

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

Please explicitly indicate which of the approaches regarding monitoring, defined in the JISC's "Guidance on criteria for baseline setting and monitoring" and provisions for JI SSC projects¹⁵, is chosen:

a) If a JI specific approach is used for monitoring in accordance with paragraph 9 (a) of the "Guidance on criteria for baseline setting and monitoring", please describe the monitoring plan in accordance with paragraph 30 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. In such a case, the use of the most recent valid version(s) is encouraged. Please provide a detailed theoretical description in a complete and transparent manner, as well as a justification referring to the JISC's guidance on criteria for baseline setting and monitoring. Please include in the description all assumptions, formulae, parameters, data sources and key factors, and state how uncertainties are taken into account and conservativeness is safeguarded.

~~a) If an approved simplified CDM baseline and monitoring methodology is used, please provide a reference (incl. version) and justify its applicability.~~

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

b) If an approved CDM baseline and monitoring methodology for SSC project activities is used in its totality, in accordance with paragraph 10 of the "Guidance on criteria for baseline setting and monitoring", the most recent valid version of the CDM methodology shall be applied when the PDD is submitted for publication on the UNFCCC JI website¹⁶, allowing for a grace period of two months. Please indicate the title and reference number of the methodology, as well as its version, and describe why it is applicable. Please also provide all explanations, descriptions and analyses pertaining to monitoring in accordance with the approved methodology selected. -b)

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

Step 2. Application of the approach chosen

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

¹⁵ The current versions of the guidance on criteria for baseline setting and monitoring and the provisions for JI SSC projects adopted by the JISC are available on the UNFCCC JI website (<<http://ji.unfccc.int/>>) in section "Reference" ("Guidance / Clarifications").

¹⁶ In accordance with paragraph 32 of the JI guidelines.



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

Please also indicate how data will be archived.



D.2. Data to be monitored:

Please provide single tables for all data/parameters and complete them in line with the approach regarding monitoring chosen. In doing so, please explicitly and clearly distinguish:

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

Please use the draft table below and copy it for each data and parameter:

| | |
|--|--|
| 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 | |

This section shall also provide for the collection of information on environmental impacts, in accordance with procedures as required by the host Party, where applicable. Please provide information on the collection of information on the environmental impacts of the SSC project. Please provide reference to the relevant host Party regulation(s). If not applicable, please state so.

D.3. Quality control (QC) and quality assurance (QA) procedures undertaken for data monitored:

Please explain qualitatively how quality control and quality assurance procedures are undertaken.

D.4. Brief description of the operational and management structure that will be applied in implementing the monitoring plan:



D.5. Name of person(s)/entity(ies) establishing the monitoring plan:

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



SECTION E. Estimation of greenhouse gas emission reductions

Estimates and formulae used should be consistent throughout the document.

E.1. Estimated project emissions and formulae used in the estimation:

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

E.2. Estimated leakage and formulae used in the estimation, if applicable:

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

E.3. Sum of E.1. and E.2.:

E.4. Estimated baseline emissions and formulae used in the estimation:

Estimates should be given for each gas, source etc. (emissions in units of CO₂ equivalent). Please also provide the formulae used.

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

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

| The result of the application of the formulae mentioned above shall be indicated using the following tabular format. | | | | |
|--|---|---|--|--|
| Year | Estimated <u>project</u> emissions (tonnes of CO ₂ equivalent) | Estimated <u>leakage</u> (tonnes of CO ₂ equivalent) | Estimated <u>baseline</u> emissions (tonnes of CO ₂ equivalent) | Estimated emission reductions (tonnes of CO ₂ equivalent) |
| Year A | | | | |
| Year B | | | | |
| Year ... | | | | |
| Total (tonnes of CO ₂ equivalent) | | | | |



SECTION F. Environmental impacts

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

If applicable, please provide a short summary and attach the documentation to the JI SSC PDD.

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



SECTION G. Stakeholders' comments

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

Please provide:

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

If not applicable, please state so.



Annex 1

CONTACT INFORMATION ON PROJECT PARTICIPANTS

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



PART III

A. Information note for project bundling, including the form for submission of bundled joint implementation small-scale projects

1. Projects meeting the relevant JI SSC threshold(s) and not being a debundled component of a large project may be bundled at the following stages in the project cycle under the verification procedure under the JISC:
 - (a) PDD;
 - (b) Determination referred to in paragraph 33 of the JI guidelines;
 - (c) Monitoring;
 - (d) Determination referred to in paragraph 37 of the JI guidelines.
2. Bundled JI SSC projects may, but do not necessarily, pertain to the same SSC project category.
3. All projects in the bundle shall:
 - (a) Have the same crediting period; and
 - (b) Comply with the provisions for JI SSC projects developed by the JISC, in particular the relevant JI SSC threshold(s); and
 - (c) Retain their distinctive characteristics (i.e. location, technology/measure etc.).
4. The composition of a bundle shall not change over time.
5. If proposed JI SSC projects are to be bundled, a completed F-JI-SSC-BUNDLE and a written statement signed by all project participants indicating that they agree that their individual projects are part of the bundle and nominating one project participant to represent all project participants in communicating with the JISC shall be sent to the AIE.
6. The Parties involved in the projects of the bundle shall indicate in their project approval in accordance with paragraph 31 (a) of the JI guidelines that they are aware of the bundle.
7. The AIE shall forward the documents referred to in paragraphs 5 and 6 above to the secretariat when making the determination referred to in paragraph 33 of the JI guidelines with regard to the projects in the bundle publicly available in accordance with paragraph 34 of the JI guidelines. All documents referring to a bundle shall be submitted to the secretariat at the same time.
8. In the case of project bundling, taking into account paragraphs 9 and 10 below, a single SSC PDD may be used for the whole bundle provided that all the projects pertain to the same JI SSC project category, apply the same technology or measure and are located in the territory of the same host Party. Otherwise, separate SSC PDDs have to be submitted for each project in the bundle. All SSC PDDs pertaining to a particular bundle shall be published at the same time, whenever the publication of PDDs is required under the verification procedure under the JISC.
9. If projects in a bundle use the same baseline, this has to be justified by considering the particular situation of each project in the bundle.
10. If projects are bundled, a separate monitoring plan shall apply for each of the constituent projects or an overall monitoring plan, which, inter alia, may also propose to monitor performance of the



constituent projects on a sample basis, shall apply for the bundled projects. In the latter case the projects have to be located in the territory of the same host Party, have to pertain to the same SSC project category and have to apply the same technology or measure, and the AIE shall determine, in accordance with paragraph 11 below, that the overall monitoring plan reflects good monitoring practice appropriate to the bundled projects and provides for collection and archiving of the data needed to calculate the emission reductions achieved by the bundled projects.

11. In the case of project bundling the AIE shall also determine that the conditions for bundling are satisfied, including that the overall monitoring plan for the bundled SSC projects is appropriate, if applicable. The determination by the AIE pursuant to paragraph 33 of the JI guidelines takes into account and concerns all the projects in the bundle. If the determination is conducted on the basis of an overall monitoring plan, a common monitoring report shall be provided in accordance with paragraph 36 of the JI guidelines and the determination referred to in paragraph 37 of the JI guidelines shall cover all of the bundled projects.

12. If a review is requested in accordance with paragraph 35 of the JI guidelines with regard to a bundled project, the determination of all projects in the bundle is concerned.

13. If during any monitoring period relevant JI SSC thresholds are exceeded on an annual average basis, this shall be determined by the AIE and ERUs shall only be issued up to the maximum emission reduction level estimated for the bundle for that period in the F-JI-SSC-BUNDLE.

14. If JI SSC projects are bundled, a single report by the AIE on the determination referred to in paragraph 37 of the JI guidelines:

- (a) Shall be provided in the case of usage of a single SSC PDD as referred to in paragraph 8 above and an overall monitoring plan as referred to in paragraph 10 above;
- (b) May be provided in all other cases if it appraises each bundled project separately and covers the same monitoring period.



B. Specific guidelines for users of the form for submission of bundled joint implementation small-scale projects

SECTION A. General description of the bundle

A.1. Title of the bundle:

Please indicate:

- Title of the bundle;
- Cross-reference(s) to the PDD(s) of the SSC projects bundled;
- Version number and date of the document;
- Version number(s) and date(s) of the cross-referenced PDD(s).

A.2. Description of the bundle:

Please include in the description the purpose of bundling.

A.3. Project participants:

Please list project participants and Parties involved in this section and attach contact information to the completed form. Information shall be provided in the following tabular format.

| Party involved * | Legal entity <u>project participant</u> (as applicable) | Please indicate if the <u>Party involved</u> wishes to be considered as a <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 |
| ... | • ... | ... |

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



SECTION B. Technical description of the bundle

B.1. Location of the small-scale projects bundled:

B.1.1. Host Party(ies):

B.1.2. Region(s)/State(s)/Province(s) etc.:

B.1.3. City(ies)/Town(s)/Community(ies) etc.:

B.1.4. Details of physical locations, including information allowing the unique identification of the small-scale projects bundled:

Please do not exceed one page.

B.2. Type(s), category(ies) and technology(ies)/measure(s) of the small-scale projects bundled:

Please complete the following table. Add rows, as needed.

| Title of the <u>SSC project</u> | <u>SSC project type</u> | <u>SSC project category</u> | Technology/measure |
|---------------------------------|-------------------------|-----------------------------|--------------------|
| | | | |
| | | | |
| | | | |

Please demonstrate that the bundled SSC projects will meet the relevant JI SSC threshold(s) during the whole crediting period. If during any monitoring period relevant JI SSC thresholds are exceeded on an annual average basis, this shall be determined by the AIE and ERUs shall only be issued up to the maximum emission reduction level estimated for the bundle for that period in the F-JI-SSC-BUNDLE.

B.3. Fulfilment of the provisions for project bundling:

Please briefly describe how the provisions for project bundling are fulfilled.

B.4. Estimated amount of emission reductions over the crediting period:

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

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



SECTION C. Duration of the bundle / crediting period

C.1. Starting date of the bundle:

The starting date of the bundle is the date on which the implementation or construction or real action of the earliest SSC project begins.

Please also state the starting dates of the proposed JI SSC projects in the bundle. Projects starting as of 2000 may be eligible as JI SSC projects if they meet the requirements of the JI guidelines. ERUs shall only be issued for a crediting period starting after the beginning of 2008. The project participants shall choose the starting date of the crediting period of the single SSC projects to be on or after the date the first emission reductions are generated by the projects.

C.2. Expected operational lifetime of the small-scale projects bundled:

Please state the expected operational lifetime of the projects in the bundle in years and months as well as its ending date. The crediting period of the single SSC projects shall not extend beyond the operational lifetime of the projects.

C.3. Length of the crediting period:

All projects in the bundle shall have the same crediting period. Please state the length of the crediting period in years and months as well as its starting date.



SECTION D. Monitoring plan

D.1. Monitoring plan(s) used:

Please state whether an overall monitoring plan shall be applied. If projects are bundled, a separate monitoring plan shall apply for each of the constituent projects or an overall monitoring plan, which, inter alia, may also propose to monitor performance of the constituent projects on a sample basis, shall apply for the bundled projects. In the latter case the projects have to be located in the territory of the same host Party, have to pertain to the same SSC project category and have to apply the same technology or measure, and the AIE shall determine that the overall monitoring plan reflects good monitoring practice appropriate to the bundled projects and provides for collection and archiving of the data needed to calculate the emission reductions achieved by the bundled projects.