Joint Implementation Supervisory Committee

JOINT IMPLEMENTATION MANAGEMENT PLAN
2010–2011

I. Executive summary

A. Experience to date

1.   The first year of operation of the Joint Implementation Supervisory Committee (JISC) was 2006 and by October of that year the verification procedure under the JISC (hereinafter referred to as the Track 2 procedure) was officially launched. Following this operationalization of the procedure, the JISC started receiving submissions of project design documents (PDDs) through independent entities (IEs) and subsequently determinations[1] and verifications.[2] As at 30 September 2009, 194 PDDs, 13 determination reports, six monitoring reports and four verification reports had been submitted. Although the project caseload over this period has been smaller than initially assumed by various stakeholders, this has been due to factors outside the direct control of the JISC.

2.   During 2008–2009 the JISC has further refined and developed procedures and guidance for the Track 2 procedure, and issued clarifications on several matters. Experience so far has suggested that the process is functioning well, and feedback received, including through workshops and round table consultations, indicates that stakeholders are generally satisfied with the performance of the JISC to date.

B. Key objectives of the joint implementation management plan 2010–2011

3.   Based on the estimated project caseload in 2010–2011 and the ongoing work of accrediting IEs, the joint implementation management plan (JI-MAP) for 2010–2011 foresees:

   (a)   Continued uncertainty in the project caseload;

   (b)   Continued review of procedures and modalities of operation of the Track 2 procedure and the accreditation process;

   (c)   Continued interaction between the JISC and IEs;

   (d)   Increased interaction between the JISC and designated focal points (DFPs) of Parties involved in joint implementation (JI) projects;

   (e)   Increased activities in providing information and raising awareness about JI;

   (f)   Continued review of the resources needed to ensure that the JISC and the secretariat sustain the operation of the JI process and implementation of decisions of the Conference of the Parties serving as meeting of the Parties to the Kyoto Protocol (CMP).

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[1]   In the present document, "determination" means determination regarding a PDD in accordance with paragraph 33 of the annex to decision 9/CMP.1.

[2]   In the present document, "verification" means determination of emission reductions or removal enhancements in accordance with paragraph 37 of the annex to decision 9/CMP.1.

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C. Key assumptions regarding project caseload and
accreditation work in the 2010–2011 biennium

4.   For various reasons, including a delay in finalization of national guidelines and procedures for approving JI projects by some Parties included in Annex B to the Kyoto Protocol and recent market developments, the number of projects submitted in the first two years of the operation of the Track 2 procedure (as of 26 October 2006, IEs have been able to submit PDDs) was lower than earlier expected. With the start of the first commitment period under the Kyoto Protocol in 2008 and publication of national guidelines and procedures for approving JI projects by many Parties (29 as at 30 September 2009), the caseload assumption presented in the JI-MAP for 2008–2009 was for the submission of 50–75 cases (PDDs and determinations) per year as well as the start of submission of monitoring reports and verifications. In the course of this biennium the submission rate was lower than the expected levels indicated in the JI-MAP 2008–2009. Estimates were based on indications from IEs and were subject to change owing to the uncertainty regarding the number and timing of submission of JI projects under the Track 2 procedure. Given the continued ongoing uncertainty in the expected number of submissions, and noting however the expected lower frequency of submission of PDDs and greater frequency of determinations, monitoring reports and verifications, it is reasonable to continue to assume a level of submissions of 50–75 cases (PDDs, determinations, monitoring reports and verifications) per calendar year. However, the JISC notes the need to closely monitor the status of submissions and continue to work with IEs and DFPs to improve the reliability of information available for estimating its project related workflows.

5.   As in the previous management plan, the assumption of up to two additional applications for accreditation by the JISC during the biennium remains. With the revision to the accreditation process, the estimation of specific activities within the accreditation workflows (e.g. number, timing and nature of witnessing activities), the estimation of associated resources and work effort have changed from the previous biennium.

6.   However, the JI-MAP attempts to take into account potential budget implications of changes in the key assumptions, notably the growth in submissions of determinations and verifications. This is one of the areas of greatest uncertainty the JISC is faced with in terms of planning its workload and associated resource needs. Therefore, this potential growth is addressed through ensuring an initial resource assessment in the JI-MAP that provides capacity to handle periods of growth while allowing time for appropriate resource deployment if increases are sustained. Taking this into account, the JI-MAP highlights areas where under alternative scenarios the resources and activities would need to be increased.

7.   The JISC, with a view to ensuring the efficient and cost-effective functioning of the Track 2 procedure, and recognizing that the level of activities is to some extent uncertain, continues to try to limit resource requirements where possible. In addition, the JISC notes that despite the uncertainty with regard to the timing of determinations and verifications, and further growth in project submissions in general, the present resource requirements need to be maintained to ensure the adequate operation of the Track 2 procedure. As a further means to increase efficiency the JI-MAP does consider how to engage general temporary assistance and consultancy as an alternative to creating posts as well as increased costs sharing of cross-cutting activities and support within the SDM programme. The latter is one area where, subsequent to the development of the CDM management plan for the 2010–2011 biennium, the JI-MAP will need to be revised to reflect the JI related share of SDM programme costs.

8.   The JI-MAP, notwithstanding the fact that activities of the JISC need to continue to take into account the availability of resources, reflects the following for the biennium 2010–2011:

(a)   An increase in the contribution to secretariat-wide support service costs (USD 304,575 per year);

(b)   An increase in costs for the provision of information technology support by the secretariat;

(c)   An increase in costs paid towards legal, knowledge management, public information, information technology and managerial support provided by other units of the SDM programme;

(d)   JI-related work will not be funded by the UNFCCC core budget (in 2008–2009 was USD 728,394 per year).

9.   On the basis of the current estimate of resource requirements, taking into account elements referred to in paragraphs 4–8 above, the budget for JI related work for the biennium 2010–2011 would be USD 6,865,273. The estimated resource requirements for the biennium, including lower estimations of associated costs for some activities, result in a total funding requirement for the biennium being slightly higher (by 12 per cent) than that of the last biennium (USD 6,131,175) (see chapter V below for details), although there is a year on year decrease of 3 per cent between 2009 and 2010.

Table 1. Summary of resources regarding the joint implementation management plan 2010–2011

	2009[1]	**2010**	**2011**
Total annual budget (USD)	3 520 490	3 423 597	3 441 676
Professional (P) staff	9	8 (9)[2]	8 (9)[2]
General service (G) staff	5	3 (5)[2]	3 (5)[2]
Number of meetings (JISC / JI-AP / DFP and IE round table and/or workshop)	6 / 6 / 2	5 / 6 / 1.5	5 / 6 / 1.5

[1] Taken from the JI-MAP 2008-2009 (Version 02) for comparison.

[2] Values in parenthesis are to be implemented as part of the contingency aspects of the JI-MAP.

Abbreviations: DFP=designated focal point for joint implementation, IE=independent entity, JISC = Joint Implementation Supervisory Committee, JI-AP = Joint Implementation Accreditation Panel, JI-MAP=joint implementation management plan.

II. Introduction

10.   The JI MAP is intended to strengthen the capacity of the JISC and its support structure, including the Joint Implementation Accreditation Panel (JI-AP), accredited independent entities (AIEs) and the secretariat, to address the requirements arising from CMP decisions and the challenges of the JI process.

11.   The JI-MAP for 2010–2011 is presented as part of the report of the JISC to the CMP at its fifth session.[3] The JI-MAP reflects changes that have occurred since the previous JI-MAP was adopted. These are: new requirements and support needs identified by the JISC; an increase in costs due to implementation of the secretariat policy of cost recovery for activities not funded from the core budget; increase in costs associated with the JI share of SDM programme costs; ceasing of UNFCCC core programme budget funding for JI; decrease in the number of expected meetings.

12.   The JI-MAP is based on a proposal made to the JISC by the Executive Secretary. It draws on the annex to decision 9/CMP.1,[4] as well as on subsequent decisions of the CMP concerning JI, and the experience of the JISC to date. It has been elaborated to provide the JISC, and all other actors working on

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[3]   FCCC/KP/CMP/2009/18 (Part I).

[4]   Decision 9/CMP.1, annex.

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JI, with complete information on what is required to deliver JI in terms of roles, functions, caseload and budget needs.

13.   In accordance with decisions 3/CMP.2, 3CMP.3 and 5/CMP.4, the JISC has continuously reviewed and assessed the adequacy of the previous JI-MAPs and, in considering the JI-MAP for 2010–2011, has applied lessons learned.   In line with the process and guidance adopted by the CMP in its decision 3/CMP.2, each version of the JI-MAP is published as an annex to the report of the JISC meeting at which it is adopted. The JISC will continue to ensure any further versions of the JI-MAP are made available in accordance with this decision.

14.   The JISC is aware of the responsibility delegated to it by the provisions included in decision 3/CMP.2 on budgetary matters through the management plan, and it invites the CMP to take note of this JI-MAP and to provide appropriate guidance or clarifications to the JISC and the secretariat, particularly on the implementation of decision 3/CMP.2, paragraphs 9 and 10 (a),[5] with a view to ensuring that the arrangements are satisfactory and provide the necessary accountability.

15.   In addition, the JISC would like to draw the attention of Parties to the status of progress towards becoming self-financing. Decision 3/CMP.3 stated an aim for the JISC to be self-financing as of 2010 at the earliest. To date this has not been achievable due to the lower than expected submission of projects under the Track 2 procedure, and thus a lower than expected income inflow from the charging of fees.

III. Key lessons learned to date

16.   A highlight in the biennium 2008–2009 was the consideration of a further 11 determinations and three verifications under the Track 2 procedure (as at 30 September 2009). With the consideration of verifications, and the accreditation of the IEs involved in the verification, the first project successfully completed the entire Track 2 procedure cycle. The JISC thus has continued to gain experience with the operation of the Track 2 procedure through the consideration of projects at the determinations and verifications stages, as well as through the IEs' submission of a further 87 PDDs over the biennium (as at 30 September 2009, resulting in a total number of 194 PDDs). As the project submission experience continues to grow, the JISC will continue to consider ways to improve the functioning of the Track 2 procedure. In this regard, the JISC has developed and will continue to develop procedures for the operation of the Track 2 procedure, issue revisions or clarifications as appropriate.

17.   The JISC has noted over the three and a half years of its operation the need to continuously engage and develop strong communication channels with various stakeholders in JI so as to collect diverse views of stakeholders over the operation of the Track 2 procedure and reflect them as appropriate in the further improvement of the Track 2 procedure.

18.   The JISC has increased its interaction with IEs over the biennium 2008–2009 through regular interaction with the forum of designated operational entities and accredited independent entities (DOE/AIE coordination forum) at JISC meetings and through dedicated round-table consultations. In addition, the JISC has encouraged IEs to provide views through submissions to the various calls for public inputs on developments of JISC documents and on issues of concerns to the JISC. The JISC has also attempted to engage DFPs more actively, but has had less success than hoped. The JISC plans to increase its efforts for interaction with DFPs in the biennium 2010–2011 through round-table consultations and dedicated DFP events. Since mid-2009 the JISC also has been interacting with project participants on a regular basis, although the modalities for interaction with project participants have not

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5   The CMP requested the JISC to emphasize its executive and supervisory role by, inter alia, establishing or strengthening its support structure as necessary, and that this role should include the general management and organization of its work.

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been finalized yet. The clear communications and understanding of each other's roles in the process remain a high priority for the JISC and the JISC will continue to look for means for furthering the interaction with various stakeholders to ensure smooth functioning of the Track 2 procedure.

19.   A well-established support structure is crucial to the functioning of the Track 2 procedure. This must provide institutional memory and impartial substantive support, elements that are fundamental to the success of the work of the JISC. Such a support structure is in place and has taken shape during the first three and half years of the JISC, but it needs to be maintained, and potentially strengthened in view of developments over this biennium. The strengthening should be through adequate and predictable funding and timely deployment of human resources. The JI-MAP presents a budget that would allow for the delivery of all tasks contained in the plan including those mandated by the CMP in relevant decisions, in particular the tasks given in decision 3/CMP.2, paragraphs 10 and 11, and decision 3/CMP.3, paragraph 6 (c).

20.   The level of human resources set in the JI-MAP for the previous biennium remains adequate for the operation of the Track 2 procedure, noting the need to deploy further resources expeditiously should the need arise. The JISC intends to keep this under careful review to take account of the evolution of the process, as the work shifts from the PDD submission phase to the determination and verification phases, and to ensure its preparedness to handle any spikes in activity or sustained increase in determinations and verifications.

IV. Joint implementation management plan 2010–2011 by focal area

21.   This section of the JI-MAP provides an overview of planned activities and caseload assumptions for the three focal areas of work (project cycle; accreditation; and management, information system and communication) in 2010–2011, and indicates differences from activities carried out in these areas in 2008–2009.

22.   The planned main changes in the focal areas from the biennium 2008–2009 are as follows:

(a)   Fewer JISC meetings;

(b)   More accreditation assessment activities;

(c)   Fewer training activities of external experts for accreditation assessments;

(d)   Increased activities to enhance interaction, communication and knowledge sharing and management;

(e)   Enhanced provision of dedicated legal, communication, knowledge management and management support services;

(f)   Increased information system support and services.

23.   The present JI-MAP does not foresee the transfer of any analytical preparatory work from the JISC and the JI-AP to the secretariat. However, in light of developments under consideration by Parties and possible needs arising for further substantive support to the JISC, this may need consideration in the course of the biennium. Pending any decisions in this regard by the CMP or the JISC, associated resources requirements would need to be identified and taken into account in revisions of the JI-MAP, subject to an appropriate increase in the income.

A. Project cycle

24.   The Project Cycle unit of the JI sub-programme will continue to provide support to the JISC in 2010 and 2011 throughout the full project cycle of the Track 2 procedure. This will include, for example, managing the JI Track 2 project submission process and associated communications, handling public calls for input on substantive matters and public calls for experts, preparing documentation for consideration by the JISC, and coordinating external experts for appraisals of determinations/verifications. In addition, the unit will continue to assist the JISC in the development and revision of procedures and clarifications. The caseload is estimated at 50–75 projects (PDDs, determinations, monitoring reports and verifications) per year, distributed equally throughout the period (estimates continue to be preliminary, as it is not possible to base estimates on past experience). This area of work is characterized by short process turnover times (requiring coordination of external experts and/or JISC members/alternate members) and continuous, uninterrupted workflow throughout the year.

25.   The estimated annual caseload of 50–75 cases is uncertain. If the caseload over the course of the biennium increases beyond this estimate, further revision of the JI-MAP may be necessary, including reconsideration of the required associated financial and human resources. The budget for the 2010–2011 biennium takes this uncertainty into account in order to maintain the capacity to add resources at short notice if needed.

26.   The Project Cycle unit will also continue to support the JISC in its interaction with DFPs. In this capacity, in conjunction with the unit working on management and communication, it will ensure that DFPs are provided with the necessary information and the means to fulfil their roles.

27.   It should be noted that as the number of projects in the system increases, the JISC will consider how the secretariat could further support it in the various steps of the workflow, and though additional functions are not foreseen at present, the JISC may revise this in the JI-MAP in the future.

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Table 2. Planned activities in the project cycle focal area

Actor	Activities in JI-MAP 2010–2011 v01	JI-MAP 2010–2011 v01 assumptions	JI-MAP 2008–2009 assumptions	Actual situation in 2008–2009 (as at 30 September)
JISC	• Conduct appraisals/reviews of determinations by AIEs, as required • Make decisions with regard to determinations under review • Provide explanations for its decisions regarding determinations that have come under review • Provide further guidance and clarifications on the Track 2 procedure • Commence appraisals/reviews of determinations by AIEs and coordinating entities under programmes of activities • Conduct appraisals/reviews of verifications by AIEs, as required • Make decisions with regard to verifications under review • Provide explanations for its decisions regarding verifications • Report to the CMP on outcomes of the Track 2 procedure • Ensure transparency of the process and adequacy of information available to stakeholders • Implement CMP decisions with regard to the Track 2 procedure	• 50–75 cases per year (PDDs and determinations)	• 50–75 cases per year (PDDs and determinations)	• 87 PDD submissions (43.5 per year) • 13 determination submissions • 6 monitoring reports • 4 verifications submitted
Experts	• Prepare inputs to appraisals of determinations submitted • Participate in review teams as appropriate	• 2 experts per case for appraisal inputs (determinations) • 20 appraisals per year	• 2 experts per case for appraisal inputs (determinations) • Use of experts for review teams	• Roster of 28 experts, 18 of whom have been engaged on one or more occasions to provide inputs on determinations

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Actor	Activities in JI-MAP 2010–2011 v01	JI-MAP 2010–2011 v01 assumptions	JI-MAP 2008–2009 assumptions	Actual situation in 2008–2009 (as at 30 September)
Secretariat	• Conduct completeness checks of PDDs submitted • Conduct completeness checks of determinations submitted • Conduct completeness checks of monitoring reports submitted • Conduct completeness checks of verifications submitted • Prepare draft procedures and clarifications for the JISC, as requested • Manage the operation of the project cycle workflow (including appraisals/reviews of determinations and verification) • Manage public calls for input on substantive matters and for specific expertise • Maintain a publicly available list of JI projects (including their status) • Make publicly available relevant information on JI projects • Manage communication with stakeholders related to the project cycle workflow • Manage the collection of fees to cover administrative expenses of the JISC • Ensure accuracy and adequacy of information in the JI information system and on the UNFCCC JI website • Manage communication of project information from the JI information system to the international transaction log • Administration of the designated focal point interface	• Perform indicated activities and support to above caseload • 3 P staff* • 1 G staff	• Perform indicated activities and support to caseload assumptions above • 4 P staff • 2 G staff	• Activities performed and above caseload supported • 3 P staff • 1 G staff

* The need for one additional P staff is foreseen if the caseload increase above the expectations listed in this management plan.

Abbreviations: AIE=accredited independent entity, CMP=conference of the parties serving as meeting of the parties to the Kyoto protocol, JISC = Joint Implementation Supervisory Committee, PDD=project design document.

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B. Accreditation

28.   The Accreditation Unit of the JI sub-programme will continue to provide support to the accreditation process under the JISC in 2010 and 2011. This will include, for example, handling applications for accreditation from IEs, supporting activities of assessment teams (JI-ATs) during their assessments of IEs, providing technical support to the JISC and the JI-AP on their consideration of accreditation-related policy issues, preparing documentation for consideration by the JISC and the JI-AP, providing administrative support to organizing JI-AP meetings, handling public calls for input on substantive matters and public calls for experts for the roster of JI-ATs and replacement of JI-AP members. In addition, the unit will continue to assist the process management unit of the JI sub-programme in its development and revision of documents of a cross-cutting nature.

29.   The Accreditation unit also supports the JISC in its interaction with applicant IEs and AIEs. In this capacity, based on the decision by the JISC, the unit will continue to provide secretarial support to facilitate the organization of meetings of the DOE/AIE coordination forum.

30.   The JI-MAP for 2008–2009 rectified the heavily under-resourced situation in 2008–2009 regarding the work on accreditation. Nevertheless, the continued pressure to move the accreditation process forward as fast as possible, given that the first commitment period is well underway and thus the need to accredit IEs to verify emission reductions or removal enhancements from JI projects, will require the JISC to maintain, if not increase, the support and resources for this work over time, depending on a corresponding increase in the income base.

31.   In addition, to ensure the credibility of the work of AIEs, which is vital for successful operation of the Track 2 procedure, the JISC may need to consider measures to further strengthen the performance of AIEs. Another element that the JISC will need to keep under careful review is the possible lack of competent experts for the assessment of IEs. This difficulty may prompt the need to consider modifications to the JI-MAP in future to ensure appropriate resources and support for this assessment work.

32.   The caseload for the biennium 2010–2011 presented in table 3 is estimated, based on the fact that there are currently 15 applications for accreditation by the JISC and the assumption that there will be two new applications in the next biennium. There is an uncertainty in the estimated caseload, which may significantly increase depending on, inter alia, the progress of JI project approvals by Parties involved and the impact of the outcome of the on-going Conference of the Parties (COP) negotiations on the present operation of and future of project-based mechanisms. If this happens, further revision of the JI-MAP may be necessary, including a reconsideration of the required financial and human resources.

Table 3. Planned activities in the accreditation focal area

Actor	Activities in JI-MAP 2010–2011 v01	JI-MAP 2010–2011 v01 assumptions	JI-MAP 2008–2009 assumptions	Actual situation in 2008–2009 (as at 30 September)
JISC	- Decide on accreditation of entities - Review the accreditation procedure and adopt its revisions as appropriate - Review other regulatory documents and adopt their revisions or new documents as appropriate - Review accreditation standards and make recommendations to the CMP for consideration as appropriate - Report information to the CMP on the accreditation of IEs - Initiate spot-checks of AIEs as appropriate and determine whether accredited IEs (AIEs) continue complying with the accreditation standards - Implement CMP decisions with regard to accreditation - Provide guidance and clarifications on the accreditation process - Provide guidance to the JI-AP to draft regulatory documents	- Up to 14 decisions on initial accreditation - Up to 80 decisions on confirmation of accreditation for sectoral groups - Up to 15 decisions on the result of regular on-site surveillance - Up to 5 decisions on the result of spot-checks 10 decisions on the development or revisions of regulatory documents	- Up to 56 decisions on accreditation 10 decisions related to clarifications and/or guidance	3 decisions on initial accreditation 1 decision on confirmation of accreditation for sectoral group - No decisions on the result of regular on-site surveillances (as the process is newly introduced in Sep. 2009) - No decisions on the results of spot-checks (as no spot-check was initiated) 4 decisions on the development or revisions of regulatory documents
JI-AP	- Consider the results of JI-AT's assessments of IEs and intervene in the assessments as appropriate - Recommend accreditation decisions to the JISC - Draft regulatory documents for consideration by the JISC - Participate in JISC workshops and/or round tables, as appropriate - Monitor performance of JI-AT experts and maintain the roster of experts - Provide training and further guidance to JI-AT experts	2010: 6 meetings 2011: 6 meetings - Up to 14 recommendations to the JISC on initial accreditation - Up to 80 recommendations to the JISC on confirmation of accreditation for sectoral groups - Up to 15 recommendations to the	2008: 6 meetings 2009: 6 meetings - Up to 70 recommendations/ decisions relating to initial application screening, on-site assessments and witnessing activities - Evaluation and selection of up to 20 new assessment team experts 5 procedural documents	2009: 5 meetings (6 meetings planned till end 2009) 3 recommendations on initial accreditation 1 recommendation on confirmation of accreditation for sectoral group - No recommendations on the result of regular on-site surveillance (as the process was newly

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Actor	Activities in JI-MAP 2010–2011 v01	JI-MAP 2010–2011 v01 assumptions	JI-MAP 2008–2009 assumptions	Actual situation in 2008–2009 (as at 30 September)
		JISC on the result of regular on-site surveillance • Up to 5 recommendations to the JISC on the result of spot-checks • 10 recommendations to the JISC on the development or revisions of regulatory documents	• 5 clarification/ guidance documents • 2 training sessions for assessment team experts	introduced in Sep 2009) • No recommendation on the result of spot-checks (as no spot-check was initiated) • 9 recommendations on the development or revisions of regulatory documents
JI-AT experts	• Conduct desk reviews and on-site assessments • Conduct witnessing activities • Conduct regular on-site surveillances • Conduct spot-checks as appropriate • Verification of implementation of corrective actions by IEs • Preparation of assessment reports • Conduct additional assessment work as requested by the JI-AP	• Desk reviews: 3 • On-site assessments : 3 • Witnessing: 80 • Verification of corrective actions: 249 • Reports: 83	• Desk reviews 2008/9: 3 • On-site assessments 2008/9: 3 • Witnessing 2008/9: 51 • Verification of corrective actions 2008/9: 199 • Reports 2008/9: 195	• Desk reviews: 0 • On-site assessments: 1 • Witnessing: 3 • Verification of corrective actions: 16 • Reports: 13

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Actor	Activities in JI-MAP 2010–2011 v01	JI-MAP 2010–2011 v01 assumptions	JI-MAP 2008–2009 assumptions	Actual situation in 2008–2009 (as at 30 September)
Secretariat	- Provide substantive support to the JISC and the JI-AP - Undertake completeness check of the application documentation - Undertake administrative steps to establish JI-ATs - Provide support and facilitate other accreditation-related procedural steps - Prepare draft regulatory documents and guidelines for consideration by the JISC and/or the JI-AP - Facilitate the organization of meetings of the DOE/AIE coordination forum - Provide support to the DOE/AIE coordination forum for its interaction with the JISC - Manage public calls for experts for the JI-AT roster - Manage public calls for experts for the replacement of JI-AP members and prepare shortlist of candidates for consideration by the JISC - Maintain publicly available information with regard to the accreditation process and accreditation status - Collect the application fees and oversee the implementation of the agreed fee structure for assessment activities - Provide information for the JI information system and the UNFCCC JI website - Draft JI-AP progress report to each JISC meeting - Support the development/organization of trainings for experts on the roster for JI-ATs	- Perform indicated activities and support to assumptions above 2 P staff 1 G staff	- Perform indicated activities and support to assumptions above 2 P staff 1 G staff	- Activities performed and above tasks supported 2 P staff 1 G staff

Abbreviations: AIE=accredited independent entity, CMP=conference of the parties serving as meeting of the parties to the Kyoto protocol, IE=independent entity, JISC = Joint Implementation Supervisory Committee, JI-AP = Joint Implementation Accreditation Panel, JI-AT=joint implementation assessment team.

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C. Management, information system and communication

33.   In addition to leading the substantive units referred to in sections A and B above, the Process Management unit of the JI sub-programme:

(a)   Prepares and organizes meetings of the JISC (see chapter VI below for the tentative schedule of meetings in 2010);

(b)   Drafts and finalizes the JI-MAP and the annual report of the JISC to the CMP;

(c)   Identifies and manages necessary human and financial resources;

(d)   Identifies and coordinates special activities such as legal support, knowledge management, outreach, communication and media relations;

(e)   Is responsible for secretariat interactions and supporting JISC interactions with relevant stakeholders (e.g. DFPs and IEs) and representation to and relations with other organizations.

34.   In addition to those listed above, together with team leaders of the other units, the Process Management unit also provides or coordinates the support to the UNFCCC process on JI and relevant issues relating to the carbon market. It ensures cooperation with other secretariat programmes working on, inter alia, the international transaction log, national communications and inventories and Parties' compliance with commitments under the Kyoto Protocol. The manager of the JI sub-programme, who also leads the Process Management unit, is the secretary to the JISC and assists in the coordination and management of the SDM programme.

35.   Together with team leaders of the other units, the Process Management unit also assists the JISC in developing new procedures, further revising existing procedures and providing other substantive support to ensure that COP and CMP decisions are implemented and that the JISC is able to continue providing a robust framework for the JI Track 2 implementation.

36.   The UNFCCC JI information system is based on open source software, which provides for sophisticated electronic workflows relating to the project cycle and procedures, integrating users with different access rights and roles within and outside the secretariat. The system stores documentation relating to the JI project cycle and displays information to users, including the general public, according to their role. The development, programming and maintenance of the system to date has been undertaken by dedicated staff members within the JI sub-programme. In line with a secretariat-wide decision to centralize information technology related developments, in the course of 2010 staff involved in these activities will not belong directly to the JI sub-programme. However, adequate mechanisms are being put in place within substantive programmes to ensure full control over priority setting and quality of deliverables. Because the JI processes and procedures are evolving, redesign and reprogramming of the system are likely to be required during the biennium 2010–2011. The management of quality and continuous demand of new or modified features of the JI information system will require continuous attention. The system, which is to a large extent modelled on that of the CDM, should help to ensure accurate, cost-effective and timely implementation of the various elements of the JI process. This area of work also covers the technical support and administration of the various extranets and listservs supporting the JI process, and handles connectivity and data transmission to the international transaction log as necessary. The secretariat buys equipment for the JI information system and services. The cost of equipment, previously covered to a large extent by the secretariat's core budget, is fully reflected in the JI MAP for 2010–2011.

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37. As of the biennium 2010–2011, services provided by other parts of the secretariat are also included in the JI-MAP, in order to reflect the true cost of the JI mechanism. As in the past, the JI sub-programme has explored ways to reduce costs by sharing resources with the CDM sub-programme. As this is an ongoing effort, further revisions to the JI-MAP will be made to reflect changes to resource management and costs allocation as the effort evolves.

38. With the assistance of team leaders from other units, the Process Management unit plans and organizes outreach activities such as workshops, side events at sessions of the COP/CMP bodies and question-and-answer sessions of the JISC. In 2008–2009, this unit has worked to proactively engage the media and to improve communication with stakeholders, by improving the quality and timeliness of responses to queries, facilitating the work of the JISC in responding to unsolicited communication, supporting the JISC in its implementation of calls for public inputs and by improving the UNFCCC JI website. In the biennium 2010–2011 the unit will expand its efforts to reach out to other target groups and stakeholders, and provide additional outreach support.

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Table 4. Planned activities in the management, information system and communication focal area, by different actors: management

Actor	Activities in JI-MAP 2010–2011 v01	JI-MAP 2010–2011 v01 assumptions	JI-MAP 2008–2009 assumptions	Actual situation in 2008-2009 (as at 30 September)
JISC	• Identify its process and information needs	-	-	-
Secretariat	• Identify its process and information needs • Design, develop, programme and maintain the UNFCCC JI information system • Maintenance of designated focal point interface • Expansion of system, in particular tools for handling electronic decision-making and roster of experts • Manage the procurement of equipment • Provide for interaction between the JI information system and the international transaction log, and with the main UNFCCC website • Provide technical support for internal and external users • Maintain servers and specific hardware • Design and develop electronic workflows as needed • Conduct systems risk analysis and business continuity planning • Software redevelopment and improvement as needed • Analysis and input to the secretariat records management process and system implementation • System maintenance and technical support • Implement and oversee data/system quality assurance and quality control	• Perform indicated activities and support the JISC • 1 P staff • 0.5 G staff • Use of external contractors • Use of other secretariat staff, charged against JI resources *(note these assumptions will be revised following the implementation of a secretariat-wide centralized IT development approach)*	• Perform indicated activities and support the JISC • 1 P staff • Supported by 1 G staff included in the Project Cycle unit (see table 2) • Use of external contractors • Use of other secretariat staff, charged against JI resources	• Activities performed and tasks supported • 1 P staff • Use of external contractors • Use of other secretariat staff, charged against JI resources

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Actor	Activities in JI-MAP 2010–2011 v01	JI-MAP 2010–2011 v01 assumptions	JI-MAP 2008–2009 assumptions	Actual situation in 2008-2009 (as at 30 September)
Secretariat	- Review and improve the UNFCCC JI website, including design and content management - Develop and implement a media and communications strategy for JI - Respond to public and media queries - Organize question-and-answer sessions, side events and other outreach activities - Develop and document communication procedures - Review JISC documentation for readability and impact - Design information and outreach strategies and materials	- Perform indicated activities and support to the JISC - Staffing included in the Management unit (see below) and supported by other JI and SDM units - Perform indicated activities and support to the JISC 10 JISC meetings 3 workshops and/or round tables 2 P staff 1.5 G staff	- Perform indicated activities and support to the JISC - Staffing included in the Management unit (see below) and supported by other units - Perform indicated activities and support to the JISC 10 JISC meetings 2 workshops and/or round tables 2 P staff 1.5 G staff	- Activities performed and tasks supported - Staffing included in the Management unit (see below) and supported by other units - Activities performed and tasks supported 2 JISC meetings 2 P staff 1 G staff

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V. Available resources in support of joint implementation in 2008–2011

39.   In the biennium 2008–2009, the work on JI is funded from a combination of financial resources, namely the core budget of the UNFCCC, voluntary contributions and fees from accreditation applications and for processing verification reports. Since the budget of JI will be fully financed by non-core funds in the biennium 2010–2011, this chapter presents information on supplementary funding and fees for consideration by Parties.

A. Status of supplementary funding to Joint Implementation

40.   Decision 5/CMP.4 recalls the need for contributions to the Trust Fund for Supplementary Activities by Parties included in Annex I to the Convention in order to fund administrative expenses from implementing Article 6 of the Kyoto Protocol. Table 5 presents the status of the sources of supplementary funding for JI as at 30 September 2009 against projected expenditure and reserve by the end of the biennium 2008–2009. Although contributions and fees have been received in 2008 and 2009, it is anticipated that there will be a carry-over of USD 1.0 million, which is not adequate for JI to fully implement its work programme in 2010–2011. However, expenditure for JI activities will be met by available resources by the end of 2009.

**Table 5. Status of supplementary funding and fees for joint implementation
as at 30 September 2009**
(United States dollars)

	2008	2009	2008–2009 total
Income			
Carry-over from 2007[a]	2 037 958	-	2 037 958
Voluntary contributions by Parties (income available)[b]	1 395 409	278 385	1 673 794
Fees from accreditation applications	0	0	0
Fees for processing verification reports (including advance payment)	479 596[c]	692 190	1 171 786
Total income	3 912 963	970 575	4 883 538
Expenditure			
JI expenditure	1 420 231	1 249 249[d]	2 669 480
Less fees set aside as reserve in 2012	479 596	692 190	1 171 786
Balance of funds	**2 013 136**	**-970 864**	**1 042 272**

[a]   Does not include fees for processing verification reports (incl. advance payment) received in 2007.

[b]   Includes only those received (i.e. funds pledged but not transferred are not included) for the biennium 2008–2009 regardless of the date of receipt.

[c]   Includes fees for processing verification reports (including advance payment) received in 2007.

[d]   Projected expenditure by year-end.

B. Proposed budget for the biennium 2010–2011

41.   Chapter IV above has defined the areas of work and nature of services to be provided by the JISC, JI-AP, external experts and the secretariat in the 2010–2011 biennium for JI. The assumptions underlying the budgetary requirements will require continued review and consideration over the course of the biennium in accordance with decision 3/CMP.2. Table 6 indicates the proposed budget by focal area and year.[6]

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[6]   A portion of the funding for the JI sub-programme is expected to cover costs associated with broader JI-related activities (e.g. Track 1 and future negotiations support) and work of the SDM programme of the secretariat, in particular managerial support.

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Table 6. Budget summary, 2010–2011
(*United States dollars*)

Focal area	2010	2011	2010-2011 total
Project cycle	550 427	550 427	1 100 854
Accreditation	854 509	870 508	1 725 017
Management, information system and communication	1 624 796	1 624 796	3 249 592
Subtotal	**3 029 732**	**3 045 731**	**6 075 463**
13% overhead	393 865	395 945	789 810
Total	**3 423 597**	**3 441 676**	**6 865 273**

42.   In order to establish a reserve of funds from accrued fees in 2012 as indicated in table 5 above, JI will rely almost entirely on voluntary contributions from Parties to fund its activities in the biennium 2010–2011. With an adequate build-up of resources received from fees for processing verification reports during the biennium 2010–2011, it may be possible to make JI self-sustainable by 2012. In consideration of the resource requirements for the biennium 2010–2011, Parties will be urged to make voluntary contribution to ensure the continued operations of JI. Based on the projected carry-over of USD 1.0 million, JI will require USD 2.5 million in 2010 to implement the envisaged work and planned activities with regard to consideration of determinations and verifications as well as the accreditation of IEs in 2010–2011.

Table 7. Budget summary by activity area, comparison 2009–2010

Activity area	2009 (USD)	2010 (USD)	Change between 2009 and 2010 (%) *
1. Meetings and activities of the JISC	266 000	332 499	25
2. Activities relating to accreditation of IEs and review of determinations	380 800	437 600	15
3. Technical workshops and round tables (AIEs, DFPs)	149 999	132 000	- 12
4. Structure and support to activity areas 1–3	1 674 082	2 127 631	27
Total (1–4)	2 470 881	3 029 730	23
Overhead	321 215	393 867	23
Supplementary funding total	2 792 096	3 423 597	23
UNFCCC core budget funding total	728 394	0	- 100
Total	**3 520 490**	**3 423 597**	**- 3**

Abbreviations: AIE = applicant independent entity, DFP = designated focal point, IE = independent entity, JISC = Joint Implementation Supervisory Committee.

[a] Increase in rows 1,2 and 4 are largely due to the shift in costs from core to supplementary funding as of 2010.

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43.   Table 8 provides a breakdown of the planned activities (by source of funding) for the biennium 2010–2011.

Table 8. Allocation by activity (total for biennium 2010–2011)

Activity area	Activity	Total
I. Meetings and activities of the JISC	JISC meetings	10 meetings
II. Activities relating to accreditation of IEs and review of determinations	JI-AP meetings	12 meetings
	Accreditation case processing	2 new applications
	Caseload processing	100–150 cases
III. Technical workshops and round tables	Workshops	3 workshops
IV. Structure and support to activity areas 1–3	Staffing	11(14) officials[a] plus GTA

Abbreviations: GTA = general temporary assistance, IE=independent entity, JISC = Joint Implementation Supervisory Committee, JI-AP = Joint Implementation Accreditation Panel.

[a] Level of staffing would reach 14 should it be necessary to implement the contingency plan for additional resources.

C. Detail of the budget for 2010–2011

44.   This section provides details of the JI budget for the year 2010–2011 by focal area.

1. Project cycle

Table 9. Budget for the project cycle focal area in 2010–2011
(*United States dollars*)

Project cycle costs	Supplementary funding
Appraisals and review expertise	40 000
Further specialized expertise	4 000
Staff	1 053 854
Overtime	3 000
13% overhead	143 110
Total	**1 243 964**

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2. Accreditation

Table 10. Budget for the accreditation focal area 2010–2011
(*United States dollars*)

Accreditation costs	Supplementary funding
Two-day meetings of the joint implementation accreditation panel	482 800
Specialized expertise relating to accreditation	130 400
Travel related to on-site assessments and witnessing activities	57 200
JI-AT expert training (30 participants for 2 two-day trainings, plus online training system)	234 000
Staff	815 617
Overtime	5 000
13% overhead	224 252
Total	**1 949 269**

3. Management, information system and communication

Table 11. Budget for management, information system and communication focal area 2010–2011
(*United States dollars*)

Management, information system and communication costs	Supplementary funding
JISC meetings (venue, webcast and attendance of 14 members)	665 000
Technical workshops	263 999
Hardware/software for web interface	40 000
UNFCCC shared cost and services	466 700
Consultancy and/or temporary assistance	49 738
10% share of SDM shared staff costs	416 600
Travel	235 000
Staff	1 104 305
Overtime	8 250
13% overhead	422 447
Total	**3 672 039**

Joint Implementation Supervisory Committee

VI. Schedule of meetings of the
Joint Implementation Supervisory Committee in 2010

Tentative schedule of meetings for 2010[a]

	Mon	Tue	Wed	Thur	Fri	Sat	Sun	Mon	Tue	Wed	Thur	Fri	Sat	Sun	Mon	Tue	Wed	Thur	Fri	Sat	Sun	Mon	Tue	Wed	Thur	Fri	Sat	Sun	Mon	Tue	Wed	Thur	Fri	Sat	Sun	
January					1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	January
February	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28								February
March	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31					March
April				1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30			April
May						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	May
June	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30					June
July				1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31		July
August							1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	August
September	30	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30				September
October					1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	October
November	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30						November
December			1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31			December

Meetings marked:
- **JISC 20** – February 22–24
- **JISC 21** – April 14–16
- **SB32** – June 1–11
- **JISC 22** – June 14–16
- **JISC 23** – September 1–3
- **JISC 24** – November 3–5
- **CMP6** – November 8–19

[a] Dates include informal consultations.

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