



Annex 2

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

**(Version 06)**



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**(Effective as of 15 April 2010)**



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## A. Introduction

1. The annex to decision 9/CMP.1<sup>1</sup> (hereinafter referred to as JI guidelines) states that the Joint Implementation Supervisory Committee (JISC) is responsible for the accreditation of independent entities (IEs), which make determinations regarding project design documents (PDDs) (from the next paragraph referred to as “determinations”) and determinations of reported greenhouse gas (GHG) emission reductions or enhancements of removals (from the next paragraph referred to as “verifications”) regarding joint implementation (JI) projects that are processed in accordance with the verification procedure under the JISC.

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

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

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

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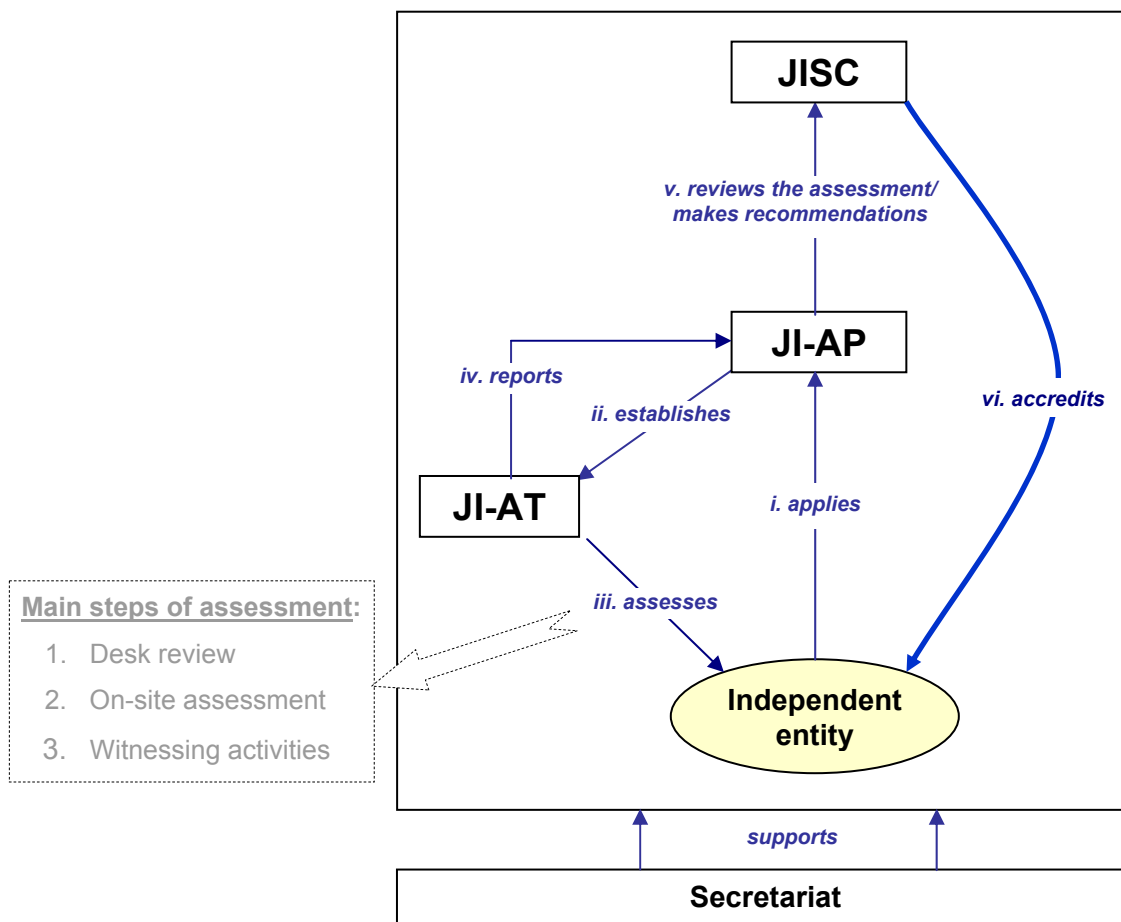
<sup>1</sup> The annex to decision 9/CMP.1 is available on the UNFCCC website at <<http://ji.unfccc.int/resource/docs/2005/cmp1/eng/08a02.pdf#page=2>>.

<sup>2</sup> The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), through paragraph 2 (b) of decision 10/CMP.1, requested the JISC “to further elaborate, as a priority, standards and procedures for the accreditation of independent entities, consistent with appendix A to the guidelines for the implementation of Article 6 of the Kyoto Protocol, taking into consideration, as appropriate, the procedures for accrediting operational entities developed by the Executive Board of the clean development mechanism”.

<sup>3</sup> <<http://ji.unfccc.int>>.

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

Figure 1: Main steps of the JI accreditation process



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

- (a) **Desk review** of the documentation submitted by the applicant IE against the JI accreditation requirements;
- (b) **On-site assessment** at the office(s) of the applicant IE. The purpose of this assessment is to assess whether the operational capability of the applicant IE, as presented in the documentation provided by the applicant IE, meets the JI accreditation requirements, inter alia, whether the applicant IE has in place all required documented policies, procedures, systems and resources.

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



- (c) **Witnessing activities** of the applicant IE's or AIE's performance of a determination or a verification regarding a specific JI project, based on documentary evidence and, if appropriate, with a visit to the applicant IE's or AIE's office or the project site.<sup>5</sup> A witnessing activity is either for the function of determination or verification and for the sectoral scope(s) that the project is associated with. Through a witnessing activity the JI-AT assesses whether the applicant IE or AIE is effectively implementing its documented policies, procedures and systems while performing a determination or verification and whether it has the required competence within the sectoral scope(s) under witnessing. The scope of witnessing activities includes the assessment of substantive decision-making capacity of the applicant IE or AIE, inter alia, in assessing baseline and monitoring methodologies.
5. The performance of an AIE is monitored by the following two means:
- (a) **Regular on-site surveillance**, which is a mandatory assessment of the AIE to check whether it continues to meet the JI accreditation requirements, and is carried out once during each accreditation term. The procedure for regular on-site surveillance is described in detail in section D;
- (b) **Spot-check**, which is an unscheduled assessment determined by the JISC and triggered by well-founded information that raises concerns over the AIE's compliance with the JI accreditation requirements. The JISC may decide to conduct a spot-check at any time during the accreditation term. The procedure for spot-check is described in detail in section E.
6. The fees and costs associated with the processing of application, all assessments and appeals are to be borne by the applicant IE or AIE concerned in accordance with annex 6 "Fees and costs".

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

## B. Conditions of accreditation

### B.1. Sectoral scopes and functions

7. The accreditation of an applicant IE is based on sectoral scope(s)<sup>6</sup> and determination or verification functions. Sectoral scopes are areas of activities with similar types of technical processes or sources of GHG emissions or removals. An AIE may carry out determination and verification functions in specified sectoral scopes. The list of sectoral scopes is contained in annex 1 “List of sectoral scopes and groups”.

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

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

9. The JI-AP, at its next meeting following the submission of the application referred to in paragraph 8 above shall, before considering any other part of the submission:

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

10. If the JI-AP defines (a) new sectoral scope(s) without modifications to the applicant IE’s proposal, the JI accreditation procedure shall apply from the step described in paragraph 37 below.

11. If the JI-AP has modified (a) new sectoral scope(s) proposed by the applicant IE, the JI accreditation procedure shall apply with the following additions before the step described in paragraph 37 below:

- (a) The JI-AP shall preliminarily consider the IE’s submission and provide a list of the additional requirements to be met and/or documentation to be submitted by the IE, if applicable, with regard to conducting determinations and verifications in the new sectoral scope(s).
- (b) The applicant IE shall be informed of:
  - (i) The new sectoral scope(s);
  - (ii) The additional requirements to be met and/or documentation to be submitted by the applicant IE, if applicable.
- (c) The applicant IE shall inform the JI-AP in writing within eight (8) days<sup>7</sup> of receiving the information in sub-paragraph (b) above whether it wishes to proceed with its application for the new sectoral scope(s) or withdraw its application.

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<sup>6</sup> While, in accordance with the JI accreditation standard, AIEs shall have competence in “technical areas” within the sectoral scopes in which they operate, accreditation remains being based on sectoral scope(s).

<sup>7</sup> In this document, number of days means calendar days.



12. The new sectoral scope(s) shall be registered in the revised list of sectoral scopes. The secretariat shall make the revised list of sectoral scopes publicly available on the UNFCCC JI website and announce it through the UNFCCC JI News facility. Annex 1 “List of sectoral scopes and groups” will be updated at the subsequent revision of the JI accreditation procedure. After the revised list of sectoral scopes is made publicly available, any applicant IE or AIE may, within six months, apply for accreditation for the additional sectoral scope(s) without paying an additional application fee (for information on costs see annex 6 “Fees and costs”).

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

13. The sectoral scopes are grouped into sectoral groups for the purpose of granting, confirming and suspending initial accreditation. These groups are presented in annex 1 “List of sectoral scopes and groups”.

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

15. Following a successful desk review, on-site assessment and one witnessing activity conducted in accordance with section C.4.3 below, the JISC shall grant accreditation to an applicant IE simultaneously for all sectoral scopes for which it applied for accreditation, and for both determination and verification functions, regardless of the sectoral group and function witnessed (initial accreditation).

16. To maintain its accreditation for the sectoral scopes in the sectoral group(s) not witnessed at the time of initial accreditation, an AIE shall initiate a witnessing activity for either the determination or verification function for each sectoral group not previously witnessed by submitting the documentary evidence specified in paragraph 76 below within one and half years of the initial accreditation, and subsequently the witnessing activity shall be successfully completed (confirmation of initial accreditation) (for details see annex 3 “Granting, confirmation and suspension of initial accreditation”). This activity, called “ex-post witnessing activity” shall be conducted in accordance with section C.4.3 below.

17. Failing to initiate an ex-post witnessing activity within the timeframe referred to in paragraph 16 above or resulting in an unsuccessful ex-post witnessing activity shall lead to the suspension of the AIE’s accreditation for both functions for all sectoral scope(s) in the same sectoral group for which the accreditation has not been confirmed. The suspension shall be lifted once an ex-post witnessing activity for any sectoral scope in the sectoral group in question and for either function is successfully completed, and the accreditation shall be valid for the remainder of the five-year accreditation term referred to in paragraph 106 below.

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

19. The JISC shall grant accreditation to the IE as a legal entity regardless of whether the entire legal entity or a part of it performs determination or verification work.



**B.4. Acting provisionally as an accredited independent entity**

20. In accordance with paragraph 3 of decision 10/CMP.1<sup>8</sup>, designated operational entities (DOEs) under the clean development mechanism (CDM) may act provisionally as AIEs within the corresponding sectoral scope(s) and function(s) for which they had been designated under the CDM (including provisional designation by the Executive Board of the CDM) before 15 November 2006 if they have applied for JI accreditation in those sectoral scopes.

21. DOEs that did not apply for JI accreditation before 15 November 2006 may resume their status as provisional AIEs from the date they apply for JI accreditation.

22. DOEs acting provisionally as AIEs may not identify a JI project as a witnessing opportunity in accordance with paragraph 75 below, for the function of:

- (a) Determination if the corresponding PDD has been made publicly available through the secretariat in accordance with paragraph 32 of the JI guidelines before 1 January 2008, or the corresponding determination report has already been submitted to the secretariat in accordance with paragraph 34 of the JI guidelines and relevant provisions of the “Procedures on public availability of documents under the verification procedure under the Joint Implementation Supervisory Committee”;
- (b) Verification if the corresponding monitoring report has been made publicly available through the secretariat in accordance with paragraph 36 of the JI guidelines before 1 January 2008, or the corresponding verification report has already been submitted to the secretariat in accordance with paragraph 38 of the JI guidelines and relevant provisions of the “Procedures on public availability of documents under the verification procedure under the Joint Implementation Supervisory Committee”.

**B.5. Scopes and steps of a witnessing activity**

23. The scope of a witnessing activity for the determination function shall cover the steps from making a PDD publicly available through the secretariat in accordance with paragraph 32 of the JI guidelines up to immediately before making the determination regarding the PDD publicly available through the secretariat in accordance with paragraph 34 of the JI guidelines.

24. The scope of a witnessing activity for the verification function shall cover the steps from making a monitoring report publicly available through the secretariat in accordance with paragraph 36 of the JI guidelines up to immediately before making the verification based on the monitoring report publicly available through the secretariat in accordance with paragraph 38 of the JI guidelines.

25. An applicant IE or AIE may make a PDD or monitoring report publicly available through the secretariat in the context of a witnessing activity only after the JI-AT leader has accepted the corresponding project as a witnessing opportunity in accordance with paragraph 75 below.

26. In the course of a witnessing activity the applicant IE or AIE shall submit the determination or verification to the JI-AT.

27. The secretariat shall, subject to confidentiality provisions, transfer to the JI-AT any information it has received within the scope of its mandate with respect to the particular (proposed) witnessing opportunity and/or activity.

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<sup>8</sup> Decision 10/CMP.1 is available at <<http://unfccc.int/resource/docs/2005/cmp1/eng/08a02.pdf#page=14>>.



28. The JI-AT shall consider the determination or verification as part of the documentary evidence submitted from the applicant IE or AIE in accordance with paragraph 76 below.

29. An applicant IE or AIE may make the determination or verification undergoing witnessing publicly available through the secretariat in accordance with paragraphs 34 or 38, respectively, of the JI guidelines only after the JISC has informed the applicant IE or the AIE of its decision regarding witnessing (for an applicant IE) or ex-post witnessing (for an AIE) with respect to that determination or verification.

30. A witnessing activity for the verification function may be based on a project with its monitoring of emission reductions or removal enhancements before the beginning of the year 2008. In this case:

- (a) Emission reductions or removal enhancements shall be monitored according to a PDD for which a determination by an AIE (including DOE acting provisionally as an AIE) has been deemed final;
- (b) Upon acceptance of the witnessing opportunity by the JI-AT leader, the applicant IE or AIE shall make the corresponding monitoring report publicly available through its own channels, informing the secretariat of the publication accordingly. After this, the applicant IE or AIE may start the verification;
- (c) The verification of emission reductions or removal enhancement before the beginning of the year 2008 for the purpose of a witnessing activity may not be the basis for the issuance of emission reduction units (ERUs) by the host Party(ies).<sup>9</sup>

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<sup>9</sup> In accordance with paragraph 5 of decision 9/CMP.1, ERUs shall only be issued for a crediting period starting after the beginning of the year 2008.

## C. Accreditation procedure

31. The procedure for initial accreditation comprises the following six main steps (see the flowchart in annex 2 illustrating the detailed steps of the procedure; the provisions in the present section shall have precedence over the flowchart.):

- (a) Submission of application documentation by an applicant IE (see section C.1 below);
- (b) Completeness check of the application documentation and publication of the applicant IE's name by the secretariat (see section C.2 below);
- (c) Preliminary consideration of the application documentation and establishment of a JI-AT by the JI-AP (see section C.3 below);
- (d) Assessment of the applicant IE by the JI-AT (see section C.4 below), including:
  - (i) Desk review of the application documentation;
  - (ii) On-site assessment at (an) office(s) of the applicant IE, indicated in the application form;
  - (iii) Witnessing activity of the applicant IE's determination or verification performance;
- (e) Review of the assessment and recommendation by the JI-AP to the JISC (see section C.5 below);
- (f) Decision by the JISC regarding accreditation (see section C.6 below).

32. The steps described in sub-paragraphs (d) (iii), (e) and (f) of paragraph 31 above shall apply, *mutatis mutandis*, to the AIE's confirmation or suspension of initial accreditation based on an ex-post witnessing activity.

### C.1. Application for accreditation

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

34. To apply for accreditation, an IE shall submit to the secretariat a set of application documentation containing all the documents specified in annex 4 "Application documentation". The application form (F-JI-A) shall be signed by an authorized signatory of the IE. Unless otherwise stated in the JI accreditation procedure, the JISC, JI-AP, JI-AT and the secretariat shall keep all the documentation, information and communications received from the IE confidential.

35. An IE's application for accreditation shall be considered as submitted when the secretariat has received the application documentation and the application fee.

### C.2. Completeness check and publication of applicant independent entity's name

36. The secretariat shall start processing the application upon receipt of the non-reimbursable application fee referred to in annex 6 "Fees and costs". The secretariat shall start processing of applications in the order in which application fees are received. If the applicant IE proposes (a) new sectoral scope(s), the additional processing steps described in paragraphs 9-12 above shall be taken before proceeding to the following step.

37. The secretariat shall check the completeness and adequacy of the submitted documentation against the required documentation specified in annex 4 “Application documentation”. If the documentation is incomplete and/or inadequate, the secretariat shall inform the applicant IE of the missing/inadequate documentation within 10 days of receiving the application. The following procedure shall resume once all documentation is received.

38. The secretariat shall publish the name of the applicant IE and the sectoral scope(s) for which it has applied for accreditation on the UNFCCC JI website, thereby providing Parties, NGOs accredited with the UNFCCC and stakeholders<sup>10</sup> the opportunity to submit comments or information on the applicant IE within 15 days of publication. The secretariat shall make the comments/information publicly available immediately after the end of the 15-day period.

39. The applicant IE shall inform the JI-AP in writing of any change, either that is planned or took place, in the information submitted and/or required for accreditation (see section H for details). If the nature and timing of changes provided so require, the applicant IE shall bear any associated cost (for details see annex 6 “Fees and costs”).

40. If the application documentation is complete and adequate, the secretariat shall prepare an application file containing all application documentation with comments/information received from stakeholders, if any, and send it to the JI-AP at least 10 days before its next meeting.

### **C.3. Preliminary consideration and establishment of assessment team**

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

- (a) Preliminarily consider the application documentation, the comments/information received from stakeholders, if any, and any other relevant issues;
- (b) Prepare a work plan for the assessment (form F-JI-W);<sup>11</sup>
- (c) Establish a JI-AT by selecting members from the roster of experts referred to in paragraph 3 (d) above, and identify a team leader. The JI-AT shall consist of at least two members, including the team leader. The size of the JI-AT may vary depending on the size of the applicant IE, the documentation submitted and the sectoral scope(s) for which the applicant IE has applied for accreditation.

42. The secretariat shall inform the applicant IE of the composition of the JI-AT. The applicant IE may object to the composition of the JI-AT, in writing to the JI-AP within eight (8) days, identifying and justifying any actual or potential conflict of interest of any of the JI-AT members. If the JI-AP finds the objection valid, it shall identify (a) replacement(s) for the JI-AT member(s) in question.

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

### **C.4. Assessment of applicant independent entity**

#### **C.4.1. Desk review**

44. The JI-AP shall provide the JI-AT:

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<sup>10</sup> In accordance with paragraph 1 (e) of the JI guidelines, stakeholders means the public, including individuals, groups or communities affected, or likely to be affected, by the project.

<sup>11</sup> The forms used in the JI accreditation process are listed in annex 4.



- (a) All application documentation;
- (b) The work plan for the JI-AT, including conclusions of the JI-AP's preliminary consideration of the application.

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

46. If the JI-AT has not requested additional documentation from the applicant IE, it shall prepare a desk review report (form F-JI-DOR) and make it available to the applicant IE within 20 days of receiving the documentation and the work plan. If the JI-AT has requested additional documentation from the applicant IE, this deadline may be extended accordingly. Even if the applicant IE does not submit the requested documentation to the JI-AT within the deadline referred to in paragraph 45 above, the JI-AT shall still prepare a desk review report and make it available to the applicant IE within 20 days of this deadline.

47. If the applicant IE does not submit the additional documentation requested by the JI-AT on time, the applicant IE shall submit it during the JI-AT's visit to the applicant IE's office(s) for the on-site assessment. In this case, the JI-AT may allocate additional time for corresponding review during its visit to the applicant IE's office(s). The applicant IE shall bear any costs associated with such time and work extension.

#### C.4.2. On-site assessment

48. The JI-AT shall begin an on-site assessment by conducting an assessment at (an) applicant IE's office(s) indicated in the application form (F-JI-A) within 60 days from the date of the JI-AT's submission of the desk review report to the applicant IE. For this purpose, the JI-AT leader, with the secretariat's support, shall coordinate the date for the assessment at the applicant IE's office(s), taking into consideration the availability of the team member(s) and the applicant IE. The applicant IE shall cooperate with the JI-AT leader in scheduling the assessment.

49. The JI-AT shall conduct the assessment at the applicant IE's office in accordance with the completed on-site assessment meeting agenda (form F-JI-MA).

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

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

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

53. The applicant IE shall consider the draft on-site assessment report and provide comments to the JI-AT, if any, within eight (8) days of receiving the report.



54. The JI-AT shall consider the applicant IE's comments, finalize the on-site assessment report and make it available to the applicant IE within eight (8) days of receiving the applicant IE's comments.

55. If the JI-AT has not identified any non-conformities, it shall submit the on-site assessment report together with an observation report, if any, to the JI-AP immediately after finalizing the on-site assessment report.

56. If the JI-AT has identified non-conformities, the applicant IE shall, within 30 days of receiving the finalized on-site assessment report, either:

- (a) Propose corrective actions to address the non-conformities, including a timeframe for implementing each action, and submit them to the JI-AT by completing the relevant part of the non-conformity report(s), or;
- (b) Withdraw its application.

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

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

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

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

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



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

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

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

65. The applicant IE shall provide comments on the draft final assessment report within eight (8) days of receiving it.

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

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

68. After considering the final result of the on-site assessment, the JI-AP shall decide whether the desk review and the on-site assessment have been successfully completed. If the JI-AP's decision is positive, it shall issue an indicative letter to the applicant IE.

69. If the JI-AP's decision is negative, it shall recommend to the JISC to reject the application for accreditation with reasons for the recommendation. In this case, the JI-AP shall inform the applicant IE of the recommendation. In accordance with section I below, the applicant IE may submit an appeal to the JISC against the recommendation within eight (8) days of receiving the recommendation subject to meeting the conditions for appeal referred to in paragraph 175 below, or withdraw the application.

70. The recommendation submitted by the JI-AP to the JISC shall be considered confidential.

71. The JISC shall consider the recommendation in a closed session at its next meeting. The rules of procedure of the JISC regarding the availability of documents before its meetings shall apply.

72. The JISC shall decide whether to:

- (a) Request the JI-AP to further clarify or reconsider the recommendation, providing the reason for the request; or
- (b) Reject the application for accreditation.



73. If the JISC rejects the application for accreditation, the IE may re-apply for accreditation.

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

#### C.4.3. Witnessing activity

75. The applicant IE shall identify (a) witnessing opportunity(ies) by filling out the relevant form (form F-JI-WOI) and submitting it to the JI-AT leader. The applicant IE may propose a witnessing opportunity to the JI-AT leader any time after the JI-AP's confirmation of the findings of the on-site assessment including non-conformities and proposed corrective actions as referred to in paragraphs 59-60 above. The JI-AT leader shall decide, in consultation with the JI-AP if appropriate, whether to accept the proposed witnessing opportunity(ies), and communicate its decision to the applicant IE.

76. A witnessing activity begins with an applicant IE's submission to the JI-AT of the documentary evidence of the applicant IE's performance of determination or verification regarding the project that has been accepted as a witnessing opportunity in accordance with paragraph 75 above. The applicant IE shall submit, at a minimum, the following documentary evidence:

- (a) Proposal and contract review report;
- (b) Evidence of the impartiality and competence of the applicant IE's team and internal reviewer involved in the determination or verification
- (c) Determination or verification plan;
- (d) Corresponding PDD or monitoring report;
- (e) Draft determination or verification report, including the outcomes of the internal review;
- (f) Final determination or verification report.

77. A witnessing activity may begin only after the JI-AP has issued an indicative letter to the applicant IE.

78. For each witnessing activity, the JI-AP shall establish a JI-AT by selecting at minimum one methodology expert with expertise in the sectoral scope(s) being witnessed from the roster of experts referred to in paragraph 3 (d) above to work with the JI-AT leader, who, if possible and appropriate, shall be the same JI-AT leader who carried out the on-site assessment or another witnessing activity(ies) of the same applicant IE.

79. The secretariat shall inform the applicant IE of the composition of the JI-AT. The applicant IE may object to the composition of the JI-AT, in writing to the JI-AP within eight (8) days, identifying and justifying any actual or potential conflict of interest of the JI-AT member(s). If the applicant IE expresses such objection and the JI-AP finds it valid, the JI-AP shall identify (a) replacement(s) for the JI-AT member(s) in question.

80. The JI-AT leader shall consider whether to request the JI-AP to approve the inclusion of a visit to the applicant IE's office(s) or the project site in the witnessing activity. Such request may be prompted by, e.g. disagreement between the JI-AT and the applicant IE on the identification or closure of non-conformities during the witnessing activity, among others.





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

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

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

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

85. If the JI-AT has not identified any non-conformity, it shall submit the witnessing activity report with an observation report, if any, to the JI-AP immediately after finalizing them.

86. If the JI-AT has identified non-conformities during the witnessing activity, the applicant IE shall, within 30 days of receiving the finalized witnessing activity report, non-conformity report(s) and/or observation report, either:

- (a) Propose corrective actions to address the non-conformities, including a timeframe for each action, and submit them to the JI-AT by completing the relevant part of the non-conformity report(s); or
- (b) Withdraw the witnessing activity.

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

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

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



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

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

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

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

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

95. The applicant IE shall provide comments on the draft final assessment report within eight (8) days of receiving it.

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

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

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



98. After considering the final result of the witnessing activity, the JI-AP shall decide whether the witnessing activity has been successfully completed. If the JI-AP's decision is positive, it shall recommend the JISC to accredit the applicant IE (in the case of ex-post witnessing activity, confirm the accreditation of the AIE in the sectoral group witnessed). If the JI-AP's decision is negative, it shall recommend the JISC to reject the witnessing activity (in the case of ex-post witnessing activity, suspend the accreditation of the AIE in the sectoral group witnessed).

99. The JI-AP shall submit to the JISC:

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

100. The JI-AP shall inform the applicant IE of its recommendation. If the recommendation is negative, the applicant IE may, in accordance with section I below, submit an appeal to the JISC against the recommendation within eight (8) days of receiving the recommendation subject to meeting the conditions for appeal referred to in paragraph 175 below, or withdraw the witnessing activity.

101. The information submitted by the JI-AP to the JISC in accordance with paragraph 99 above shall be considered confidential.

#### **C.6. Accreditation decision by the JISC**

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

103. The JISC shall decide whether to:

- (a) Accredit the applicant IE as an AIE, specifying the sectoral scope(s) for which it applied for accreditation (in the case of ex-post witnessing activity, confirm the AIE's accreditation for the sectoral scope(s) applied for within the sectoral group witnessed);
- (b) Reject the witnessing activity and not to accredit the applicant IE (in the case of ex-post witnessing activity, reject the witnessing activity and suspend the AIE's accreditation for all sectoral scope(s) applied for within the sectoral group witnessed).

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

105. If the JISC rejects the witnessing activity, the applicant IE may undergo another witnessing activity for the same sectoral group as the unsuccessful witnessing activity.

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



## D. Regular on-site surveillance

107. The JI-AP shall conduct one regular on-site surveillance during the five-year accreditation term of an AIE.

108. The regular on-site surveillance shall include an assessment at the AIE's office(s) and/or at any other site(s) where the JI functions are carried out. The JI-AP shall decide on this/these location(s).

109. The JI-AP shall establish a JI-AT by selecting the members from the roster of experts referred to in paragraph 3 (d) above. The JI-AT shall consist of two members, including the team leader. The JI-AP shall select, if possible, a different team leader from the one who carried out the on-site assessment of the same AIE and select a team member with technical and methodological expertise.

110. The secretariat shall inform the AIE of the composition of the JI-AT. The AIE may object to the composition of the JI-AT, in writing to the JI-AP within eight (8) days, identifying and justifying any actual or potential conflict of interest of the JI-AT member(s). If the AIE expresses such objection and the JI-AP finds it valid, the JI-AP shall identify (a) replacement(s) for the JI-AT member(s) in question.

111. The JI-AP shall prepare a work plan for the regular on-site surveillance (form F-JI-W) that identifies the areas/focus of the assessment, taking into account the results and the scopes of past assessments of the AIE (e.g. on-site assessment, witnessing activities and spot-checks, if applicable, as referred to in sections C.4.2, C.4.3 and E respectively) and information from the secretariat on the AIE's past determinations and/or verifications submitted to the verification procedure under the JISC.

112. The JI-AT shall conduct the regular on-site surveillance in accordance with the work plan. The JI-AT shall prepare a list of documents and information relating to the AIE's determination/verification functions (form F-JI-Addoc) that it deems necessary for the regular on-site surveillance and request the AIE to provide the documentation before the assessment at the AIE's office(s) and/or at any other site(s).

113. The JI-AT leader, with the secretariat's support, shall coordinate the date for the assessment at the AIE's office(s) and/or at any other site(s), taking into consideration the availability of the other team member and the AIE. The AIE shall cooperate with the JI-AT leader in scheduling the assessment.

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

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

116. After the assessment at the AIE's office(s) and/or at any other site(s), the JI-AT shall prepare a draft regular on-site surveillance report and make it available to the AIE, with any non-conformity report(s) and/or observation report, as applicable, within 14 days of the end of the visit to the AIE's office(s) and/or any other site(s).

117. The AIE shall consider the draft regular on-site surveillance report and provide comments to the JI-AT, if any, within eight (8) days of receiving the report.

118. The JI-AT shall consider the AIE's comments, finalize the regular on-site surveillance report and make it available to the AIE within eight (8) days of receiving the AIE's comments.



119. If the JI-AT has not identified any non-conformity, it shall submit the regular on-site surveillance report with an observation report, if any, to the JI-AP immediately after finalizing the regular on-site surveillance report.

120. If the JI-AT has identified non-conformities, the AIE shall, within 30 days of receiving the finalized regular on-site surveillance report, propose corrective actions to address the non-conformities, including a timeframe for implementing each action, and submit them to the JI-AT by completing the relevant part of the non-conformity report(s).

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

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

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

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

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

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

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



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

129. The AIE shall provide comments on the draft final assessment report within eight (8) days of receiving it.

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

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

132. After considering the final result of the regular on-site surveillance, the JI-AP shall decide whether the regular on-site surveillance has been successfully completed. If the JI-AP's decision is positive, it shall recommend the JISC to maintain the AIE's accreditation. If the JI-AP's decision is negative, it shall recommend the JISC to partially or fully suspend the AIE's accreditation.

133. The JI-AP shall submit to the JISC:

- (a) The final assessment report by the JI-AT;
- (b) The JI-AP's considerations and conclusions regarding accreditation;
- (c) The JI-AP's recommendation as to whether to maintain, or partially or fully suspend the AIE's accreditation by specifying the sectoral scopes for suspension.

134. The JI-AP shall inform the AIE of its recommendation. If the recommendation is negative, the AIE may, in accordance with section I below, submit an appeal to the JISC against the recommendation within eight (8) days of receiving the recommendation subject to meeting the conditions for appeal referred to in paragraph 175 below, or withdraw from accreditation.

135. The information submitted by the JI-AP to the JISC in accordance with paragraph 133 above shall be considered confidential.

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



137. The JISC shall decide whether to:

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

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



## E. Spot-check

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

- (a) A request for review of the AIE's determination or verification in accordance with relevant provisions in the JI guidelines;
- (b) Information received by the JISC on changes that may significantly affect the quality of the operations and performance of the AIE (e.g. its ownership, organizational structure, internal policies and procedures, technical expertise of personnel), implemented but not notified in accordance with section H;
- (c) A written, substantiated complaint to the JISC alleging the AIE's failure to comply with the JI accreditation requirements by:
  - (i) Another AIE;
  - (ii) An NGO accredited with the UNFCCC;
  - (iii) Any other stakeholder.
- (d) A JI-AP's recommendation based on:
  - (i) Its assessment of the AIE through an ex-post witnessing activity conducted in accordance with paragraphs 16 and 17 above;
  - (ii) The nature of the changes notified by the AIE in accordance with section H;
  - (iii) A failure to notify significant changes in accordance with section H;
  - (iv) Any other relevant issues identified by the JI-AP.

140. The JISC, at its next meeting after receiving the information referred to in paragraph 139 above, shall consider the case in a closed session and decide whether to conduct a spot-check of the AIE. If the JISC decides to conduct a spot-check, it shall agree on the scope of the spot-check and inform the JI-AP. The scope of the spot-check shall include:

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

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

- (a) Establish a JI-AT;
- (b) Prepare a work plan (form F-JI-W) for the JI-AT, which shall include:





- (i) The reasons that have triggered the spot-check;
- (ii) The elaboration of the scope of the assessment as referred to in paragraph 140 above;
- (iii) The timeframe for the assessment.

142. The secretariat shall inform the AIE of the composition of the JI-AT. The AIE may object to the composition of the JI-AT, in writing to the JI-AP within eight (8) days, identifying and justifying any actual or potential conflict of interest of the JI-AT member(s). If the AIE expresses such objection and the JI-AP finds it valid, the JI-AP shall identify (a) replacement(s) for the JI-AT member(s) in question.

143. If the spot-check involves a visit to the JI project site, the JI-AP shall send a notification to the AIE before the site visit and request the AIE to coordinate necessary arrangements with the project participant(s).

144. The secretariat shall provide the JI-AT with all documentation relevant to conduct the assessment.

145. The JI-AT shall review the documentation provided by the secretariat, prepare an assessment plan and conduct the assessment according to the work plan.

146. The JI-AT, after completion of the assessment, shall prepare a spot-check report within five (5) days and make it available to the AIE. The spot-check report shall contain, as a minimum:

- (a) Relevant assessment reports (forms F-JI-DOR, F-JI-WRdet or F-JI-WRver);
- (b) A description of non-conformities identified, as applicable (form F-JI-NC);
- (c) A final assessment report, including conclusions regarding accreditation or suspension for consideration by the JI-AP.

147. The AIE shall provide the JI-AP with comments on the spot-check report prepared by the JI-AT within 10 days of receiving it.

148. The JI-AP, at its next meeting, shall consider the spot-check report prepared by the JI-AT and the AIE's comments and submit to the JISC its recommendation as to whether to:

- (a) Confirm the AIE's accreditation;
- (b) Partially suspend the AIE's accreditation, specifying the sectoral scope(s) for suspension (partial suspension), with corrective actions to be implemented by the AIE as a precondition for the JISC to lift the suspension;
- (c) Fully suspend the AIE's accreditation for all sectoral scopes (full suspension), with corrective actions to be implemented by the AIE as a precondition for the JISC to lift the suspension;
- (d) Withdraw the AIE's accreditation for all sectoral scopes.

149. The JI-AP shall inform the AIE of its recommendation. The AIE shall have the opportunity of a hearing in a closed session at the next meeting of the JISC. The AIE may request the JISC to postpone the hearing to a subsequent meeting.



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

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

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

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

152. The JI-AT shall verify the implementation of corrective actions and prepare a final assessment report and non-conformity report(s) within eight (8) days of receiving the evidence of the implementation of corrective actions from the AIE and submit them to the JI-AP.

153. The JI-AP shall consider the final assessment report and non-conformity report(s) prepared by the JI-AT at its next meeting, and submit to the JISC its recommendation as to whether to:

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

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

155. The JI-AP shall inform the AIE of its recommendation. The AIE shall have an opportunity of a hearing in a closed session at the next meeting of the JISC. The AIE may request the JISC to postpone the hearing to a subsequent meeting.

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

- (a) Lift the suspension of the AIE's accreditation;
- (b) Lift the suspension and conduct an additional witnessing activity or a follow-up assessment;



- (c) Withdraw the AIE's accreditation. In accordance with paragraph 42 of the JI guidelines, the withdrawal is with immediate effect.

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

158. If the JISC withdraws the AIE's accreditation, the IE may re-apply for accreditation.



## F. Re-accreditation

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

160. An AIE that wishes to apply for re-accreditation shall submit to the secretariat the documentation specified in annex 4 “Application documentation”. The AIE shall pay a non-reimbursable application fee (see annex 6 “Fees and costs”).

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

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

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

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

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

166. An AIE may request re-accreditation at an earlier time to group the re-accreditation or accreditation of several sectoral scopes into one re-accreditation process.



## **G. Accreditation for additional sectoral scope(s)**

167. An AIE may submit an application to be accredited for additional sectoral scope(s) at any time. The steps for initial accreditation described in section C shall apply. Annex 4 “Application documentation” specifies the documentation to be submitted by an AIE applying for accreditation for additional sectoral scope(s).

168. The AIE applying to be accredited for additional sectoral scope(s) shall have the opportunity to request, at the same time, the re-accreditation for the other sectoral scope(s) for which it is already accredited. This may enable the AIE to streamline its re-accreditation schedule and reduce costs.

169. The work of the JI-AP and the JI-AT shall be designed to minimize costs by taking into consideration, as applicable, those sectoral scope(s) for which the AIE is already accredited as well as recent work of the JI-AP and/or JI-AT with the same AIE.

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



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

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

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

172. The JI-AP shall consider the changes notified by the applicant IE/AIE on a case by case basis with possible cost implications to the applicant IE/AIE (for information on costs see annex 6 “Fees and costs”).

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

## I. Appeals by applicant/accredited independent entity

174. After being informed of a recommendation by the JI-AP to the JISC, an applicant IE or AIE (appellant) shall have the opportunity to appeal against the recommendation within eight (8) days. Submissions after the eight (8) day deadline shall not be considered.

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

176. The appeal shall be submitted in writing to the secretary to the JISC<sup>12</sup>.

177. The secretary to the JISC shall immediately inform the JI-AP and the JISC of the appeal.

178. The secretary to the JISC shall submit to the JISC, for consideration at its next meeting, taking into consideration deadlines for the submission of documents provided for in the rules of procedure of the JISC, a file containing:

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

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

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

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

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

183. The JISC shall consider the report from the appeal panel at its next meeting and shall proceed in accordance with the applicable steps of the JI accreditation procedure. The JISC's decision shall be deemed final.

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

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<sup>12</sup> An official of the secretariat designated by its Executive Secretary to serve as secretary to the JISC.

## Annex 1. List of sectoral scopes and groups

1. The following list contains the sectoral scopes on which the accreditation is based:
  - (1) Energy industries (renewable/non-renewable sources)
  - (2) Energy distribution
  - (3) Energy demand
  - (4) Manufacturing industries
  - (5) Chemical industry
  - (6) Construction
  - (7) Transport
  - (8) Mining/mineral production
  - (9) Metal production
  - (10) Fugitive emissions from fuels (solid, oil and gas)
  - (11) Fugitive emissions from production and consumption of halocarbons and sulphur hexafluoride
  - (12) Solvents use
  - (13) Waste handling and disposal
  - (14) Land-use, land-use change and forestry
  - (15) Agriculture
2. The listing of sectoral scopes is based on the list of sectors and sources contained in Annex A of the Kyoto Protocol. Scopes from 1 to 9 are industrial sectors and 10 to 13 are sectors based on sources of GHG emissions.
3. The listing of sectoral scope is the same as the one for the accreditation under the CDM except for the scope 14, reflecting paragraph 13 of decision 16/CMP.1.
4. For the purpose of granting and confirming initial accreditation, respectively based on initial and ex-post witnessing activities, the sectoral scopes are grouped into the following sectoral groups:
  - Group I: Sectoral scopes 1, 2, 3
  - Group II: Sectoral scopes 4, 6, 8, 9, 10
  - Group III: Sectoral scopes 5, 11, 12, 13
  - Group IV: Sectoral scope 7
  - Group V: Sectoral scope 14
  - Group VI: Sectoral scope 15





## Annex 2. Flowchart of the procedure for initial accreditation<sup>13</sup>

**[This annex will be completed later]**

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<sup>13</sup> The flowchart is merely indicative and may not be exhaustive. Refer to section C of the procedure for details.

### Annex 3. Granting, confirmation and suspension of initial accreditation

- Through a witnessing activity, a JI-AT assesses the IE’s performance in (a) specific sectoral scope(s) that the project under witnessing is associated with and for a specific function of an IE in the JI project cycle (i.e. either determination or verification).
- However, to facilitate the accreditation process, the JISC, in accordance with the provisions referred to in section B.3, grants accreditation to the IE for all sectoral scope(s) applied for both functions based on a successful witnessing activity regardless of the sectoral scope(s) and function witnessed. Nevertheless, after the initial accreditation is granted, the AIE shall undergo an ex-post witnessing activity for each sectoral group that has not been witnessed in order to confirm the accreditation in these groups.
- The tables below explain how the granting and confirmation of accreditation referred to in section B.3 is implemented. Two examples are presented to explain the process. It should be noted that in these tables the numbering of the sectoral groups is the same as the one in annex 1 “List of sectoral scope and groups”.

*Example 1: Applicant IE applied for all sectoral scopes*

Sectoral group	I	II	III	IV	V	VI
<b>Witnessing for DET function<sup>14</sup></b>	Successfully completed					
<b>Witnessing for VER function<sup>15</sup></b>	Not required					
<b>Accreditation</b>	Granted for 5 years for both functions	Simultaneously granted for 5 years for both functions	Simultaneously granted for 5 years for both functions	Simultaneously granted for 5 years for both functions	Simultaneously granted for 5 years for both functions	Simultaneously granted for 5 years for both functions
<b>Ex-post witnessing, for either DET or VER function</b>	Not required	Required within 1.5 years	Required within 1.5 years	Required within 1.5 years	Required within 1.5 years	Required within 1.5 years

In this example, the applicant IE has applied for all sectoral scopes in all six sectoral groups. After the successful completion of a witnessing activity for determination function and for (a) sectoral scope(s) included in sectoral group I, accreditation will be granted for all sectoral scopes applied for included in sectoral group I, and simultaneously for the sectoral scopes included in sectoral groups II-VI, for both functions (initial accreditation). However, the AIE shall initiate, for each sectoral group II to VI individually, an ex-post witnessing activity for either function of determination or verification for (a) sectoral scope(s) included in the sectoral group by submitting the documentary evidence referred to in paragraph 76 of the main part of this document within one and a half years of the initial accreditation, and the ex-post witnessing activity shall successfully complete to maintain its accreditation for the scopes included in the sectoral group (confirmation of accreditation). The AIE’s accreditation for sectoral group I for both functions will be maintained for five years regardless of the initiation or the outcomes of the ex-post witnessing activities regarding any of sectoral groups II to VI.

<sup>14</sup> The IE’s function of determination (i.e. determination regarding project design document in accordance with paragraph 33 of the JI guidelines).

<sup>15</sup> The IE’s function of verification (i.e. determination of emission reductions or enhancements of removals in accordance with paragraph 37 of the JI guidelines).

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

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

In this example, the applicant IE applied for sectoral scopes included in sectoral groups I, II and V only. In this case, after the successful completion of a witnessing activity for verification function and for (a) sectoral scope(s) included in sectoral group II, accreditation will be granted for all sectoral scopes applied for included in sectoral group II, and simultaneously for the sectoral scopes included in sectoral groups I and V (initial accreditation). However, the AIE shall initiate, for each sectoral group I and V individually, an ex-post witnessing activity for either determination or verification function for (a) sectoral scope(s) included in these sectoral group, by submitting the documentary evidence referred to in paragraph 76 of the main part of this document within one and half a years of the initial accreditation, and the ex-post witnessing activity shall be successfully completed to maintain its accreditation for the sectoral group (confirmation of accreditation). The AIE's accreditation for sectoral group II for both functions will be maintained for five years regardless of the initiation or the outcomes of the ex-post witnessing activities regarding any of sectoral group I or V.



## Annex 4. Application documentation

1. To apply for initial accreditation, the applicant IE shall provide the following documentation<sup>16</sup> in eight (8) copies to the secretariat:

- (a) Application form for accreditation (F-JI-A) duly filled out;
- (b) Documentation of its legal status including a registration certificate, if any;
- (c) Analysis of financial resources needed for its determination or verification work;
- (d) Documentary evidence of financial resources and stability, such as assets, savings and/or line of credit, etc.;
- (e) Externally audited financial statements (e.g. balance sheets, financial results, profit and loss statements) for the last three years or, for newly established entities, other relevant documentary evidence, such as shareholders commitment;
- (f) Documentary evidence of arrangements to cover the legal and financial risks arising from its determination or verification work, including liability insurance documentation;
- (g) Documentation of the organizational and management structure including definition of responsibilities and allocation of functions of top management, operational management, determination and verification personnel, quality manager and other personnel involved in determination and verification work, including any operational or supervisory committee;
- (h) The names, qualifications, experience and terms of reference of the top management and operational management;
- (i) An organization chart showing the top management and operational management and lines of authority;
- (j) Procedure for the allocation of responsibilities within the entity;
- (k) A statement that its operations are in compliance with applicable national laws;
- (l) Impartiality policy and procedure;
- (m) Documentation and declaration of all types of actual and potential JI activities that it and its related bodies carry out or will carry out, other than determination and verification work, including, at a minimum, identification, development, financing, marketing and promotion of, and consultancy on JI projects;
- (n) Analysis and declaration of all potential conflict of interest situations that may threaten its impartiality in carrying out determination or verification work;
- (o) If the applicant IE is part of a larger organization, and where parts of that organization including the applicant IE are, or may become, involved in the identification, development or financing of any JI project:
  - (i) A clear definition of links and relationships between the applicant IE, other parts of that organization and its related bodies, demonstrating that no conflict of interest exist;

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<sup>16</sup> Except for (a), the documents listed in this paragraph are defined in the “Joint implementation accreditation standards (version 01)”.

- (ii) A demonstration that no actual or potential conflict of interest exists between its functions as an AIE, any other functions that it may have and activities carried out by other parts of that organization and their related bodies, and how business is managed (appropriate measures put in place) to preserve its ability to make impartial judgements and to form impartial opinions in its determination or verification work;
  - (p) Expertise policy;
  - (q) Competence criteria for each function of its personnel performing determination and verification work;
  - (r) Procedures for qualification, recruitment and monitoring performance of its personnel performing determination or verification work;
  - (s) List of personnel qualified for performing determination or verification work, indicating the qualified sectoral scope(s) and technical area(s);
  - (t) Training plan for its personnel performing determination or verification work;
  - (u) Procedures for utilizing external personnel and subcontracting, if any;
  - (v) Procedure for proposal and contract reviews;
  - (w) Procedure for the selection of determination and verification team members and technical experts;
  - (x) Procedure for determination and verification work;
  - (y) Procedure for internal reviews;
  - (z) Procedure for approving final determination and verification opinions and reports;
  - (aa) Demonstration of the top management's commitment to the development and implementation of the quality management system;
  - (bb) Quality policy and manual;
  - (cc) Procedures for documents control and determination and verification records control;
  - (dd) Procedures for internal audits, handling non-conformities, preventive actions and management reviews;
  - (ee) Confidentiality procedure;
  - (ff) Procedures for handling complaints, disputes and appeals;
  - (gg) A declaration that the applicant IE does not have any pending judicial process for malpractice, fraud or other activity incompatible with its determination or verification work.
2. In the case of an application for accreditation for additional sectoral scope(s), the AIE shall submit, as applicable, particular documentation relating to the additional sectoral scope(s) and any documentation listed in paragraph 1 above that have been revised since the submission of the application for initial accreditation.
3. In the case of re-accreditation, the AIE shall submit:



- (a) All documentation listed in paragraph 1 above, ensuring that all information is up-to-date as of the time of submission;
  - (b) List of projects that the AIE has determined and verified, indicating the full status of such projects.
4. All documentation submitted to the secretariat shall be in English, the working language of the JISC.

## Annex 5. Forms used in the JI accreditation process

1. The list below indicates the forms to be filled out by applicant IEs, AIEs, the JI-AP or JI-ATs, step-by-step in the accreditation process. Some forms can be used at several steps. The forms are available on the UNFCCC JI website and may also be requested from the secretariat. Requirements implicit in the questions contained in the forms shall be considered as prescriptive.

### *Application for accreditation*

- F-JI-A = Application for accreditation

### *Desk review*

- F-JI-DOR = Desk review and on-site assessment report
- F-JI-Addoc = List of additional documents/information to be submitted/prepared by applicant IE

### *On-site assessment*

- F-JI-DOR = Desk review and on-site assessment report
- F-JI-NC = Non-conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening, intermediate and closing meetings
- F-JI-MAR = Attendance register for opening and closing meetings
- F-JI-FR = Final assessment report

### *Witnessing activity*

- F-JI-WRdet = Report on witnessing activity – determination
- F-JI-WRver = Report on witnessing activity – verification
- F-JI-WOI = Witnessing opportunities identification
- F-JI-NC = Non conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening and closing meeting (if applicable)
- F-JI-MAR = Attendance register for opening and closing meetings (if applicable)
- F-JI-FR = Final assessment report

### *Regular on-site surveillance*

- F-JI-DOR = Desk review and on-site assessment report
- F-JI-WRdet = Report on witnessing activity – determination
- F-JI-WRver = Report on witnessing activity – verification
- F-JI-Addoc = List of additional documents/information to be submitted/prepared by applicant IE
- F-JI-NC = Non conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening and closing meeting
- F-JI-MAR = Attendance register for opening and closing meetings
- F-JI-FR = Final assessment report

### *Spot-check*

- Spot-check report (forms used for on-site assessment and/or witnessing activities, as applicable)
- F-JI-NC = Non conformity, corrective action and clearance report
- F-JI-OBS = Observation report
- F-JI-MA = Standard agenda for opening and closing meeting (if applicable)
- F-JI-MAR = Attendance register for opening and closing meetings (if applicable)
- F-JI-FR = Final assessment report



*Other*

- F-JI-W = Work plan for JI-AT
- F-JI-CA = Confidentiality and non-disclosure agreement (for JI-AT members)
- F-JI-FAat = Fee agreement for JI-AT members
- F-JI-EVatl = JI-AT leader/member evaluation input
- F-JI-EVatm = JI-AT member evaluation report
- F-JI-IL = Indicative letter



## Annex 6. Fees and costs

1. This annex provides the structure for fees relating to the accreditation of IEs and the costs for various steps of assessment. This annex explains the cost structure as well as the applicable amount of fees/cost.

### *Non-reimbursable application fee*

2. An applicant IE shall pay a non-reimbursable application fee of USD 15,000.<sup>17</sup> The non-reimbursable application fee is calculated on the basis of the estimated average cost per application. The costs arise from the need to carry out tasks such as organizing and servicing JI-AP meetings, the desk review of the application by the JI-AT (estimated as two work days on average for each member) and related administrative processing. When the desk review requires more than two work days, the secretariat will include the cost in its quotation, payable at the on-site assessment.

3. An applicant IE from a Party not included in Annex I or a Party with economy in transition included in Annex I to the Convention may pay 50 per cent of the non-reimbursable fee when the entity applies for accreditation, provided that the entity states its inability to pay the full fee at application, bearing in mind that the need to meet the standards as contained in paragraphs 1 (c) and (d) of appendix A to the JI guidelines. The remaining 50 per cent of the fee shall be paid once and if the entity is accredited and has started its operation.

4. The non-reimbursable application fee is to be paid at the time the application is submitted. Processing of an application begins when the secretariat has received the fee.

### *Reimbursement conditions in case of withdrawal of an application*

5. If the applicant IE decides to withdraw its application, any cost incurred up to that point will not be reimbursed. Only in the case where an applicant IE decides to withdraw its application due to a revision by the JI-AP of its proposed sectoral scope(s) (see section B.2), a reimbursement of 50 per cent of the non-reimbursable application fee will be made.

### *Costs associated with the on-site assessment*

6. The applicant IE shall pay directly and individually to the JI-AT members for the following cost items (the dates, schedules and accommodation arrangements are to be coordinated through the secretariat):

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

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<sup>17</sup> In accordance with the “Provisions for the charging of fees to cover administrative costs relating to the activities of the Joint Implementation Supervisory Committee”, which is available on the UNFCCC JI website at <<http://ji.unfccc.int>>.



7. In addition, the applicant IE shall pay directly to the JI-AT members a fee to cover the cost of the work provided by the team members in accordance with the table below in this annex. The secretariat shall provide the applicant IE with the payment instructions and pre-filled receipts indicating the number of JI-AT members and the days of intervention.

***Costs associated with witnessing activities***

8. The applicant IE or AIE pays, directly and individually to the JI-AT members, a fee for the work provided by the JI-AT members in accordance with the table below in this annex. The secretariat shall provide the applicant IE or AIE with the payment instructions and pre-filled receipts indicating the number of JI-AT members and of the work days relating to the intervention.

9. If a witnessing activity includes a site visit, the applicant IE or AIE shall also pay directly and individually to the JI-AT members for the following cost items (the dates, schedules and accommodation arrangements are to be coordinated through the secretariat), as applicable:

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

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

10. The AIE shall pay directly and individually to the JI-AT members for the following cost items (the dates, schedules and accommodation arrangements are to be coordinated through the secretariat):

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

11. In addition, the AIE shall pay directly to the JI-AT members a fee to cover the cost of the work provided by the team members in accordance with the table below in this annex. The secretariat shall provide the AIE with the payment instructions and pre-filled receipts indicating the number of JI-AT members and the days of intervention.

***Costs associated with changes notified by an applicant IE or AIE***

12. Notification of changes, which an applicant IE may make during the accreditation process or an AIE may make after being accredited in accordance with section H above, may have cost implications. The JI-AP shall assess on a case-by-case basis whether the notification requires additional assessment by the JI-AT, and if so found, specify work days for each JI-AT member to be involved in the additional assessment.

13. An applicant IE shall not be charged any additional fee for these changes if the applicant IE notifies the secretariat of the change(s) before the JI-AT members have signed the confidentiality and non-disclosure agreements (form F-JI-CA). If the applicant IE notifies the secretariat of the change(s) after the JI-AT started a desk review, the JI-AP may decide to charge additional fees to the applicant IE. The additional fee is to cover additional work by the JI-AT members and additional operational costs.

***Costs of spot-checks***

14. The costs of a spot-check shall be covered by the AIE concerned. The secretariat will provide the AIE with an itemized quotation. The AIE shall pay in advance. If the payment is not received within 30 days of receiving the quotation, the secretariat shall inform the JI-AP and the accreditation of the entity is automatically and immediately suspended.

***Costs of an appeal***

15. The costs of an appeal shall be covered by the applicant IE or AIE (appellant) concerned. The secretariat will provide the appellant with an itemized quote for an “appeals fee”. The appellant shall pay in advance. The appeal panel will not consider the appeal until the payment is received. If the fee is not received within 30 days after the quote was provided, the appeal will be deemed withdrawn.

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

**Indicative level of fees to be paid by applicant IE or AIE to JI-AT members<sup>1</sup>**

Task	Number of days		Total cost (No. of days × daily fee <sup>2</sup> ) (USD)
	Team leader	Team member	
<b>Desk review<sup>3</sup></b>			
Preparation of desk review report (F-JI-DOR)	2	2 (1 day × 2 members)	Included in application fee
<b>On-site assessment<sup>3</sup></b>			
Assessment at entity's office	2	4 (2 days × 2 members)	2,400
Preparation of on-site assessment report (F-JI-DOR)	1	1 (0.5 day × 2 members)	800
Verification of implementation of actions to address non-conformities <sup>4</sup>	1	1 (0.5 day × 2 members)	800
Preparation of final assessment report (F-JI-FR)	1	1 (0.5 day × 2 members)	800
<b>Witnessing activity<sup>5</sup></b>	(per activity)	(per activity)	(per activity)
Preparation of witnessing activity report (F-JI-WRdet or F-JI-WRver)	2.5	2.5 (2.5 day × 1 member)	2,000
Verification of implementation of actions to address non-conformities <sup>4</sup>	1	0.5 (0.5 day × 1 member)	600
Preparation of final assessment report (F-JI-FR)	1	0.5 (0.5 day × 1 member)	600
<b>Regular on-site surveillance<sup>6</sup></b>			
Preparation of desk review report (F-JI-DOR)	2	1 (1 day × 1 member)	1,200
Assessment at entity's office	2	2 (2 days × 1 member)	1,600
Preparation of regular on-site surveillance report	1	0.5 (0.5 day × 1 member)	600
Verification of implementation of actions to address non-conformities <sup>4</sup>	1	0.5 (0.5 day × 1 member)	600
Preparation of final assessment report (F-JI-FR)	1	0.5 (0.5 day × 1 member)	600
<b>Other</b>			
Additional assessment activity <sup>7</sup>	To be specified by JI-AP	To be specified by JI-AP	To be specified by JI-AP

- 1) The number of work days indicated in this table shall apply unless a team leader makes a motivated request to the JI-AP that more time is required and the JI-AP agrees to such request. In such a case the applicant IE or AIE would be informed and will have the opportunity to decide whether or not to proceed with the application.
- 2) The daily fee rate is determined by the JISC and is presently set to be USD 400 per day.
- 3) Desk review and on-site assessment are typically undertaken by (the same) three JI-AT members including the team leader.
- 4) Applies only when (a) non-conformity(ies) are identified.



- 5) The number of witnessing activities depends on the number of sectoral scope(s) to be considered in an application (6 if an entity applies for all 15 scope(s)). A witnessing activity is typically undertaken by two JI-AT members including the team leader.
- 6) The scope of the regular on-site surveillance may vary depending on the AIE and is to be determined by the JI-AP through the work plan for the JI-AT. The items listed here are merely indicative.
- 7) Applies to any additional assessment activities by JI-ATs after the completion and payment of fees for desk review, on-site assessment or witnessing activity. Such additional assessment activities include e.g. assessments prompted by notifications of changes, spot-checks and appeals in accordance with relevant provisions of the JI accreditation procedure.



## Annex 7. Abbreviations

AIE	Accredited independent entity
CMP	Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol
COP	Conference of the Parties to the United Nations Framework Convention on Climate Change
IE	Independent entity
JI	Joint implementation
JI-AP	Joint Implementation Accreditation Panel
JI-AT	Joint implementation assessment team
JISC	Joint Implementation Supervisory Committee
PDD	Project design document
UNFCCC	United Nations Framework Convention on Climate Change