



Switzerland's National Guidelines and Procedures for Approving Article 6 Projects (Joint Implementation)

1 Institutional Issues

The Federal Office for the Environment (FOEN) is the responsible Office for the implementation of the Kyoto Protocol's legal requirements in Switzerland. For the flexible mechanisms, a national Secretariat called Swissflex has been established within the Climate Division of the FOEN.

Activities relating to the implementation of the flexible mechanisms as well as the examination and approval of project proposals are coordinated by an inter-departmental working group called IDA-Swissflex. Besides FOEN, the members of this group are drawn from the Swiss Federal Office of Energy (SFOE), the State Secretariat for Economic Affairs (seco) and the Swiss Agency for Development and Co-operation (SDC).

The national Secretariat represents the Swiss Designated National Authority (DNA) under the Clean Development Mechanism (CDM) as well as the Designated Focal Point (DFP) under Joint Implementation (JI).

2 Eligibility Criteria

An entity or person domiciled in Switzerland and wishing to participate in a Joint Implementation project activity implemented outside Switzerland and to transfer resulting ERUs into an account of the Swiss national registry requires a Letter of Approval from the Swiss DFP. The **Letter of Approval** allows a specific participant to participate in a specific project.

The Swiss DFP accepts all types of projects which are in accordance with the Kyoto Protocol. Activities related to the construction or rehabilitation of nuclear plants are not considered as being in accordance with these provisions. Afforestation and reforestation projects using genetically modified organisms (GMOs) or alien invasive species are not eligible for a Swiss Letter of Approval.

In the case of **hydroelectric power projects generating more than 20 MW**, project participants are required to provide the completed WCD Compliance Report Template¹ stating that the recommendations contained in the report of the World Commission on Dams² and the relevant international criteria and guidelines (e.g. those of the OECD³) have been respected during the development of such project activities. The WCD Compliance Report must be validated by an AIE.

¹ WCD Compliance Report Template: <http://www.environment-switzerland.ch/emissionshandel/05556/05558/>

² Report: „Dams and Development – A New Framework for Decision-Making, November 2000“
<http://www.dams.org/report/>

³ E.g. OECD Paper TAD/ECG(2007)9 on Export Credits and Credit Guarantees, June 2007; and OECD DAC: Guidelines on Aid and Environment N°3, Guidelines for Aid Agencies on Involuntary Displacement and Resettlement in Development Projects, Paris, 1992.

Apart from the criteria listed above, the issuance of the Letter of Approval may be refused only in exceptional cases, where projects are in breach of Swiss Foreign or Development Policies.

3 Procedure and requirements for the issuance of a Letter of Approval

Under Joint Implementation, there are two procedures: Parties meeting all eligibility requirements listed in paragraph 21 of the JI guidelines⁴ may choose a simplified approach called track 1. The host Party can determine the procedures. There is no validation and verification under UNFCCC rules. The approach under track 2 is similar to a CDM project involving the PDD being publicly available for commentary, determination by an Accredited Independent Entity (AIE) and the possibility of Review by the JI Supervisory Committee.

3.1 Documentation required

For issuance of a Letter of Approval under **track 1 procedure**, the following documents have to be sent (preferably in electronic format) to the Swiss DFP (swissflex@bafu.admin.ch)

- The latest version of the Project Design Document (PDD);
- The Letter of Approval or Letter of Endorsement issued by the host country (original version AND translation into English);
- The completed Excel sheet entitled "JI-Request for LoA";
- The completed WCD Compliance Report Template and the Validation Report by an AIE (if required).

For issuance of a Letter of Approval under **track 2 procedure** the following documents have to be sent (preferably in electronic format) to the Swiss DFP (swissflex@bafu.admin.ch):

- The latest version of the Project Design Document (PDD);
- The Draft Final Determination Report of the chosen AIE;
- The Letter of Approval or Letter of Endorsement issued by the host country (original version AND translation into English);
- The completed Excel sheet entitled "JI-Request for LoA";
- The completed WCD Compliance Report Template and the Validation Report by an AIE (if required).

3.2 Internal procedures and timing

The Swiss DFP will check the documentation received against the above-mentioned criteria and the requirements of the Kyoto Protocol. The Swiss DFP does not perform a substantive evaluation of the project itself, as this is considered being covered by the AIEs. The Swiss DFP may reject issuance of the Letter of Approval if suspicion of unsatisfactory work by the AIE is entertained. If a request for issuance is rejected, reasoning for the refusal is provided with proposals for correction, if applicable.

Letters of Approval are issued once a month (see below for the precise deadlines).

The Swiss DFP does currently not raise fees for the issuance of Letters of Approval.

⁴ <http://unfccc.int/resource/docs/2005/cmp1/eng/08a02.pdf#page=2>

Steps	Who	What	Time
1	Project participant	Sends required documents to the Swiss DFP (swissflex@bafu.admin.ch): <ul style="list-style-type: none"> - PDD (final version) - Draft Final Determination Report (only for track 2) - Letter of Approval or Endorsement by the host country (original version AND official translation into English by a certified translator must be provided) - The completed Excel sheet entitled "JI-Request for LoA" (to be downloaded on the website⁵) - The completed WCD Compliance Report Template and the Validation Report by an AIE (if required) 	Submission of requests: anytime, but requests are processed once a month. This deadline is the 10 th of each month.
2	Swiss DFP	<ul style="list-style-type: none"> - Checks the documents against general requirements and national criteria - Issues the Letter of Approval or rejects issuance - If issuance for a Letter is rejected, a reasoning for the refusal is provided 	Issuance of LoAs: between the 25 th -27 th of the same month.

Table 1: Procedure for the issuance of a Letter of Approval

4 Contact and Information

Federal Office for the Environment (FOEN)
SwissFlex / Climate Division
CH-3003 Berne
Switzerland

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⁵ <http://www.bafu.admin.ch/emissionshandel/05556/05560/index.html?lang=en>